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Vienna

**MID-TERM  
INDEPENDENT PROJECT EVALUATION  
OF THE  
GLOBAL PROGRAMME FOR COMBATING  
WILDLIFE AND FOREST CRIME  
ANALYTIC TOOLKIT**

**GLOZ31  
GLOBAL**

**AUGUST 2020**



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This independent evaluation report was prepared by an evaluation team consisting of Mr. Peter Allan (Team Leader), Director, Allan Consultancy Ltd. and Mr. Jonathan Barzdo (Wildlife and Forest Crime Expert). The Independent Evaluation Section (IES) of the United Nations Office on Drugs and Crime (UNODC) provides normative tools, guidelines and templates to be used in the evaluation process of projects. Please find the respective tools on the IES web site: <http://www.unodc.org/unodc/en/evaluation/evaluation.html>

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# ABBREVIATIONS AND ACRONYMS

Abbreviation or Acronym	Full name	Abbreviation or Acronym	Full name
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora	ToR	Terms of Reference
ER	Evaluation Report	UK	United Kingdom of Great Britain and Northern Ireland
EU	European Union	UN	United Nations
GA	General Assembly	UNDP	United Nations Development Programme
GP	Global Programme	UNEG	United Nations Evaluation Group
HRGE	Human Rights and Gender Equality	UNEP	United Nations Environment Programme
ICCWC	International Consortium on Combating Wildlife Crime	UNODC	United Nations Office on Drugs and Crime
IES	Independent Evaluation Section	VIC	Vienna International Centre
INTERPOL	International Criminal Police Organisation	WCO	World Customs Organization
IR	Inception Report	WLFC	Wildlife and Forest Crime
MA	Management Authority	WWF	World Wide Fund for Nature
MS	Member State		
MSC	Most Significant Change		
RP	Regional Programme		
SDG	Sustainable Development Goals		

## INTRODUCTION

### PROJECT DESCRIPTION

In 2014 the United Nations Office on Drugs and Crime (UNODC) established a Global Programme for Combating Wildlife and Forest Crime GLOZ31 (hereafter the GP) which serves to deliver a range of technical assistance activities, within several thematic areas, towards achieving the key project objective of strengthening capacity to prevent and combat Wildlife and Forest Crime (WLFC) on a regional, national and local basis.

### PROJECT OBJECTIVES

One of the main tools central to GP implementation is the WLFC Analytic Toolkit, a tool developed jointly by UNODC in partnership with the members of the International Consortium on Combating Wildlife Crime (ICWC)<sup>1</sup> to review the national capacity of a Member State (MS) to respond to wildlife and forest crime. The Toolkit was developed before the GP was established and has been at the heart of GP activity since its inception. The GP states that “*The Toolkit is the foundation for the work we do*” and it is further noted as one of five key GP tools. The Toolkit aims to provide evidence-based situational analysis of the preventive, law enforcement and prosecutorial response to the crime, to review the data-gathering and analysis processes, to identify gaps and to provide recommendations to be implemented in the short and long terms to address wildlife and forest crime.

### PURPOSE AND SCOPE OF EVALUATION

This is the Evaluation Report (ER) of the WLFC Analytic Toolkit which contributes to the GP’s Outcome 5 ‘Member States have a better understanding of their criminal justice and preventive responses related to WLFC’, Output 5.2 ‘National assessments and action plans to effectively address wildlife and forest crime developed’<sup>2</sup>. The national assessments and action plans are the output from the deployment of the process known as the Analytic Toolkit.

The main objectives of this evaluation are: to i) measure the degree of implementation, efficiency, relevance and quality of the WLFC Analytic Toolkit, assess the extent to which project stakeholders, target groups, and other beneficiaries have benefitted from this Tool; and ii) provide accountability to Member States and donors by determining whether objectives were met and resources were wisely utilized.<sup>3</sup>

### METHODOLOGY OF THE EVALUATION

This evaluation followed a mixed-methods as well as gender-responsive evaluation methodology, in line with United Nations Evaluation Group (UNEG) and UNODC norms and standards, guidelines, and requirements. A preliminary desk review was undertaken and an Inception Report (IR) created to identify information gaps and design data collection instruments (see Annex II) to fill those gaps. Face-to-face and telephone interviews were conducted, missions to Austria, Mozambique and Viet Nam were undertaken, allowing a more in-depth

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<sup>1</sup> ICWC members are UNODC, CITES Secretariat (the Convention on International Trade in Endangered Species of Wild Fauna and Flora), INTERPOL (the International Criminal Police Organization), The World Customs Organization (WCO), and the World Bank

<sup>2</sup> Project Revision GLOZ31, August 2018 p.12

<sup>3</sup> Terms of Reference, October 2019 p.10

examination of the Mozambique and Viet Nam assessments, a Most Significant Change (MSC) narration was completed, and a survey administered.

### EVALUATION TEAM

The evaluation team consisted of: Mr Peter Allan, Director of Allan Consultancy Ltd., an external independent lead evaluator with expertise in intelligence analysis training and project and programme evaluations within the criminal justice sector; and Mr Jonathan Barzdo, an external independent expert with expertise in wildlife trade regulation and monitoring. The process was backstopped and quality assured by UNODC's Independent Evaluation Section (IES).

### MAIN FINDINGS

#### *Design*

When created in 2012, the WLFC Analytic Toolkit was well designed. The need for evidence-based reporting on WLFC had been established through research by the ICCWC partners, and the Toolkit was designed in response to that research. UNODC, through the GP, was tasked with developing the Toolkit assessment process and the eight-step approach to creating the assessment report has been vindicated. The process manages to identify and engage the most relevant national actors and encourages multi-agency cooperation. The subsequent design, development, and implementation of an Indicator Framework (IF), from 2016 onward, has enhanced the Analytic Toolkit process when deployed in parallel with the Toolkit.

#### *Relevance*

The Analytic Toolkit remains relevant to a broad range of stakeholders. The UN General Assembly (GA) in 2013 noted the value of the Toolkit and the GP views it as an integral part of its work toward delivering on Sustainable Development Goal (SDG) 15, target 15.7, to end poaching and trafficking of protected species of wildlife. Donors have demonstrated its relevance through continued funding of the Toolkit. And it remains broadly relevant to Member States, as evidenced by the number of States requesting the Toolkit and by the content of the assessment reports themselves. However, the countries where assessments have been undertaken were not necessarily those where it was most in need.

Since 2012, WLFC has changed, yet the Toolkit has remained broadly unaltered during those intervening eight years. Corruption and money laundering are not included but have been identified as significant factors as drivers of WLFC. In addition, the fisheries and forestry crime types should be added and utilised as needed by each country. The section within Toolkit assessments on 'data and analysis' is seldom well populated and would benefit from an approach that would see it included as an element of the other sections, i.e. legislation, enforcement, judiciary and prosecution, and drivers and prevention.

#### *Efficiency*

The financial resources deployed by the ICCWC partners, primarily through UNODC, are efficiently utilised in bringing an Analytic Toolkit assessment to completion. The timeline for producing the Indicator Framework and assessment report is similarly efficient, notwithstanding elements that fall outside the influence of the partners. Efficiency savings (and effectiveness improvements) could be realised by providing better guidance to those charged with producing the assessment reports, the majority of whom are external consultants. A structured debrief after the assessment process has been completed would allow lessons to be learned and best practices identified, thereby improving efficiency and effectiveness of future Toolkit and Indicator Framework deployments.

### *Effectiveness*

When the effectiveness of the Analytic Toolkit is measured in terms of whether it has provided UN Member States with national assessments and action plans to address WLFC, important progress has been made. In the eight years since the Toolkit was created, assessments have been conducted in 12 out of 193 Member States. It is at various stages of development for 12 others. The decision to request an assessment rests with each State, but the number undertaken has been limited by the resources available.

### *Impact*

There have been positive impacts from the undertaking of Toolkit assessments: bringing together relevant officials from different government agencies; raising awareness; thorough reviews of legislation and processes in place to deal with WLFC; identification of actions needed to improve responses to WLFC; etc. Many recommendations have been implemented. In a number of cases, this was done by donor agencies or NGOs coincidentally, and not as a response to a Toolkit recommendation. Many recommendations from Toolkit assessments have not been implemented. Several factors may be a hindrance or a disincentive to implementation, including, in particular: the number and complexity of recommendations and the resources required for implementation; and the lack of follow-up of recommendations at national level, which may result from unclear responsibility, or from coordination being too infrequent or completely absent.

### *Sustainability*

Although the Toolkit assessment process raises awareness of WLFC with key national stakeholders, it is far from clear to what extent the increased awareness of WLFC continues after the assessment process is complete. Cooperation between relevant government agencies is augmented during the assessment process but the indications are that the same level of cooperation does not continue. With staff changes, many agencies are not even aware of the assessment having taken place. There is limited evidence that the assessment and Action Plan are the basis for government response to WLFC. Considerable effort is needed to ensure that the positive effects of a Toolkit assessment are sustained in the years following its conduct.

### *Partnership and cooperation*

At the international level, although the Toolkit was originally envisaged as a product of ICCWC developed by UNODC in consultation with other partners, in practice UNODC has taken the lead in the implementation where the involvement of all 5 ICCWC partners has remained limited. This may be starting to change, as evidenced by the positive statements made by the ICCWC partners during their last meeting in January 2020. At the national level, the launch of each Toolkit assessment has promoted cooperation among agencies concerned with wildlife and forest crime. But this cooperation can be short-lived for a variety of reasons, including frequency of staff changes and possibly competition for national funding.

### *Human Rights and Gender Equality*

Whilst UNODC and the ICCWC partners understand the need for the Toolkit assessment process to recognise and – where possible – to mainstream human rights and gender equality, there is a distinct lack of guidance, advice and/or instruction on how this could be meaningfully achieved. There is also an apparent lack of relevant global research on those issues regarding the specifics of how they impact upon wildlife and forest crime. The UNODC and wider UN focal points on human rights and gender issues seem to have had a limited involvement at the time of the Toolkit development.

### MAIN CONCLUSIONS

The Analytic Toolkit has proved popular with the donor community and State beneficiaries. It has also proven to be broadly relevant and effective in raising awareness with national and international stakeholders and encouraging multi-agency cooperation. It has helped spawn additional products such as the Indicator Framework and has promoted progress in tackling WLFC nationally through, for example, providing stimulus for legislative changes to more effectively tackle WLFC.

Whilst the quality of the product remains high, there is a need to update the content of the Analytic Toolkit assessments to reflect the changing face of WLFC globally more accurately. This will include considering factors such as corruption and money laundering and other crime areas such as fisheries and forestry crime. This review should also enhance the guidance given to those who are expected to conduct the assessment and write the subsequent report including advice, guidance, and support in the construction of achievable recommendations and realistic action plans.

The ethos of the Toolkit assessment is centred around partnership, cooperation and the willingness of national stakeholders and actors to come together to tackle WLFC. This partnership ethos should be reflected in the ICCWC partners, yet there has been a reducing commitment from the partners over recent years as the Analytic Toolkit has become viewed as a 'UNODC' project. The skills, knowledge and – where possible – financial resources of the ICCWC partners need to be more fully leveraged to ensure the provision of the most effective output.

### MAIN RECOMMENDATIONS

The evaluation provides seven recommendations. The three most important ones are included below and all seven recommendations are included in the evaluation matrix as well as in the main body of the report.

#### RECOMMENDATION 1 – TOOLKIT DESIGN

*UNODC GPWLFC Analytic Toolkit Project Management Team* should incorporate in the Analytic Toolkit new sections on a) corruption, b) money laundering, c) cybercrime, d) fisheries crime, and e) forestry crime. Fisheries and / or forestry crime can be completed if appropriate to the country. The current section on 'Data and Analysis' should be incorporated as a sub-heading in the other sections. The current section on 'Drivers and Prevention' should be expanded to include i) alternative livelihoods under 'Social capacity-building', ii) the effects of wildlife trade on human health under 'Trade and legal markets', and iii) 'Other considerations' which will capture newly emerging trends and threats. This redesign should provide a report template with standardised sections to ensure each assessment report has the same basic structure.

#### RECOMMENDATION 2 – PARTNERSHIP

*UNODC GPWLFC Analytic Toolkit Project Management Team* should confirm with all ICCWC partners their commitment to the Toolkit assessment process and the provision of support as required throughout the assessment process.

#### RECOMMENDATION 3 – INDICATOR FRAMEWORK

*UNODC GPWLFC Analytic Toolkit Project Management Team* should run the Indicator Framework within the Toolkit assessment process. This advice can be disregarded in cases where beneficiary needs and objectives would be better addressed by implementation of the IF alone. In discussion with the ICCWC partnership the IF should be expanded to include a differentiation between wildlife and forest crime, include an 'unable to answer' option, and should reflect the section headings of the revised Toolkit assessment, thereby creating a mechanism that provides a tangible and complementary link between the two products.

## LESSONS LEARNED AND BEST PRACTICES

The lesson learned and best practice below represent the most important considerations. All others are included in the main body of the report.

The Toolkit failed to maintain the continued, practical assistance and commitment of all the founding ICCWC partners. This was due in large part to UNODC taking *de-facto* ownership of the process and the other ICCWC partners perceiving this as a UNODC project.

The Analytic Toolkit assessment process is an excellent vehicle to identify and bring together appropriate national actors to work together in tackling WLFC. The addition of the complementary Indicator Framework has helped improve the overall value of the product.

# SUMMARY MATRIX OF FINDINGS, EVIDENCE AND RECOMMENDATIONS

Findings	Evidence (sources that substantiate findings)	Recommendations (incl. recipient)	Management Response (accepted, partially accepted or rejected)
<p>1. The Toolkit has not been redesigned since its inception in 2012. Since then, the Wildlife and Forest Crime (WLFC) environment has changed and there is a need for the Toolkit to reflect those changes.</p>	<p>Desk Review, Interview, and Most Significant Change (MSC) narration</p>	<p>1. <b>Toolkit Design:</b>  <i>UNODC GPWLFC Analytic Toolkit Project Management Team</i> should incorporate in the Analytic Toolkit specific sections on a) corruption, b) money laundering, c) cybercrime, d) fisheries crime, and e) forestry crime. Fisheries and / or forestry crime can be completed if appropriate to the country. The current section on 'Data and Analysis' should be incorporated as a sub-heading in the other sections. The current section on 'Drivers and Prevention' should be expanded to include i) alternative livelihoods under 'Social capacity-building', ii) the effects of wildlife trade on human health under 'Trade and legal markets', and iii) 'Other considerations' which will capture newly emerging trends and threats. This redesign should provide a report template with standardised sections to ensure each assessment report has the same basic structure. (6 months)<sup>4</sup></p>	<p>Accepted</p>

<sup>4</sup> Expected time for completion of recommendation

INDEPENDENT PROJECT EVALUATION OF THE ANALYTIC TOOLKIT

Findings	Evidence (sources that substantiate findings)	Recommendations (incl. recipient)	Management Response (accepted, partially accepted or rejected)
<p>2. The International Consortium on Combating Wildlife Crime (ICWC) partners are not fully contributing to the assessment process and their subject matter expertise is being lost reducing the overall quality and potential impact of the final product.</p>	<p>Desk Review, Interview and Case Studies</p>	<p><b>2. Partnership:</b>  <i>UNODC GPWLFC Analytic Toolkit Project Management Team</i> should confirm with all ICWC partners their commitment to the Toolkit assessment process and the provision of support as required throughout the assessment process. (12 months)</p>	<p>Accepted</p>
<p>3. The Indicator Framework (IF) was developed and introduced in 2016 and has proved popular and effective. There is currently no specific requirement to run the IF and the Toolkit assessment together; however there appears to be benefit in so doing.</p>	<p>Desk Review and Interview</p>	<p><b>3. Indicator Framework:</b>  <i>UNODC GPWLFC Analytic Toolkit Project Management Team</i> should advise that all new country applications for Toolkit assessments should run the Indicator Framework within the Toolkit assessment process. This advice can be disregarded in cases where beneficiary needs and objectives would be better addressed by implementation of the IF alone. In discussion with the ICWC partnership the IF should be expanded to include a differentiation between wildlife and forest crime, include an ‘unable to answer’ option, and should reflect the section headings of the revised Toolkit assessment, thereby creating a mechanism that provides a tangible and complementary link between the two products. (6 months)</p>	<p>Accepted</p>

INDEPENDENT PROJECT EVALUATION OF THE ANALYTIC TOOLKIT

Findings	Evidence (sources that substantiate findings)	Recommendations (incl. recipient)	Management Response (accepted, partially accepted or rejected)
<p>4. The Toolkit assessment process relies heavily upon the quality and expertise of the consultants employed to write the assessment report. To date insufficient help and guidance has been provided to this group.</p>	<p>Desk Review, Interview, and Case Studies</p>	<p><b>4. Guidance:</b> In parallel with the redesign of the Toolkit assessment process, including the Indicator Framework, <i>UNODC GPWLFC Analytic Toolkit Project Management Team</i> should develop guidance notes for consultants charged with conducting the assessment, drawing upon the experience of previous assessment authors. Part of this guidance should include advice on how to incorporate human rights and gender along with instruction on recommendation writing. (6 months)</p>	<p>Accepted</p>
<p>5. There is no systemic mechanism for learning lessons or identifying good practice from previous assessment processes. To date this has only been partially achieved through ad-hoc discussions and by using consultants for more than one assessment, thereby benefiting from their previous experience.</p>	<p>Desk Review and Interview</p>	<p><b>5. Feedback:</b> <i>UNODC GPWLFC Analytic Toolkit Project Management Team</i> should add a ‘ninth step’ in the assessment process, namely a ‘structured debrief’ of consultants and others integrally involved in the assessment process, to learn lessons and identify good practice. (12 months)</p>	<p>Accepted</p>

INDEPENDENT PROJECT EVALUATION OF THE ANALYTIC TOOLKIT

Findings	Evidence (sources that substantiate findings)	Recommendations (incl. recipient)	Management Response (accepted, partially accepted or rejected)
<p>6. The development of recommendations and an action plan from the Toolkit assessment process is not expressly required but is generally supplied. In many instances there are too many recommendations, they are not always realistic and there is a lack of clarity on the ownership of the action plan to implement those recommendations. This can lead to ineffective action.</p>	<p>Desk Review, Case Studies, Interview and MSC narration</p>	<p><b>6. Action Plan:</b> In discussion with the ICCWC partnership, <i>UNODC GPWLFC Analytic Toolkit Project Management Team</i> should provide guidance for national partners on the ownership, implementation and follow-up of the action plan. This may include obtaining feedback from relevant national partners of their willingness and ability to commit to action plan implementation and review. (12 months)</p>	<p>Accepted</p>
<p>7. There is no structured approach to integrating human rights and gender issues into the Toolkit assessment process. Whilst the Global Programme (GP) on WLFC does have some guidance, it is unclear how (or if) this can be replicated within the Toolkit.</p>	<p>Desk Review, Case Studies, and Interview</p>	<p><b>7. Human Rights and Gender:</b> In discussion with the ICCWC partnership and relevant human rights and gender resources within the United Nations family, including UNODC's human rights and gender focal points, <i>UNODC GPWLFC Analytic Toolkit Project Management Team</i> should identify how these issues should be accounted for in the Toolkit assessment process. (6 months)</p>	<p>Accepted</p>

## BACKGROUND AND CONTEXT

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### The Global Programme

In 2014, UNODC established a Global Programme (GP) which serves to deliver a range of technical assistance activities within several thematic areas towards achieving the key project objective of strengthening capacity to prevent and combat Wildlife and Forest Crime (WLFC) on a regional, national and local basis. The GP also addresses awareness raising of WLFC among different stakeholders at the global and regional levels, including civil society, aimed at contributing to the reduction of demand for wild fauna and flora.

This is the Evaluation Report (ER) of the United Nations Office on Drugs and Crime (UNODC) Global Programme for Combating Wildlife and Forest Crime (hereafter 'the Global Programme' or 'GP') GLOZ31 focusing on Outcome 5 '*Member States have a better understanding of their criminal justice and preventive responses related to WLFC*', Output 5.2 '*National assessments and action plans to effectively address wildlife and forest crime developed*'<sup>5</sup>. The national assessments and action plans are the output from the deployment of a process known as the Analytic Toolkit.

## OVERALL CONCEPT AND DESIGN

### The Analytic Toolkit

One of the main tools central to GP implementation is the Wildlife and Forest Crime Analytic Toolkit, a tool developed jointly by UNODC in partnership with the members of the International Consortium on Combating Wildlife Crime (ICWC)<sup>6</sup> to review the national capacity of a Member State to respond to wildlife and forest crime. The GP states that "*The Toolkit is the foundation for the work we do*" and it is further noted as one of key five GP tools<sup>7</sup>. The Toolkit aims to provide evidence-based situational analysis of the preventive, law enforcement and prosecutorial response to such crime, to review data-gathering and analysis processes, identify gaps, and provide recommendations to be implemented in the short and long terms to address wildlife and forest crime.

It was developed in 2012 and has not been officially revised since, although lessons learned and good practice from the experience of implementation have been communicated in an ad-hoc fashion by those closely involved. Subsequently the ICWC Indicator Framework for Wildlife and Forest Crime (IF) was developed by the CITES Secretariat. It was considered that the IF has a valuable complementary role to the Toolkit and as a result it was decided to include IF implementation as part of the implementation of the Toolkit process. The map overleaf illustrates the countries where the Analytic Toolkit has been implemented, specifically, Bangladesh, Bosnia and Herzegovina,<sup>8</sup> Botswana, Congo, Gabon, Madagascar, Mexico, Mozambique, Nepal, Peru, United Republic of Tanzania, and Viet Nam. It also highlights where the Indicator Framework and / or Toolkit assessment is ongoing, and countries that have submitted a request.

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<sup>5</sup> Project Revision GLOZ31, August 2018 p.12

<sup>6</sup> ICWC members are UNODC, CITES Secretariat (the Convention on International Trade in Endangered Species of Wild Fauna and Flora), INTERPOL, The World Customs Organization (WCO), and the World Bank

<sup>7</sup> GP WLFC Presentation September 2019

<sup>8</sup> No activities have been implemented in Bosnia and Herzegovina and the Republic of Congo.

## PURPOSE AND SCOPE

The main objectives of this evaluation are: i) to measure the degree of implementation, efficiency, relevance and quality of the Wildlife and Forest Crime Analytic Toolkit, assess the extent to which project stakeholders, target groups, and other beneficiaries have benefitted from this Tool; and ii) to provide accountability to Member States and donors by determining whether objectives were met and resources were well utilized.<sup>9</sup>

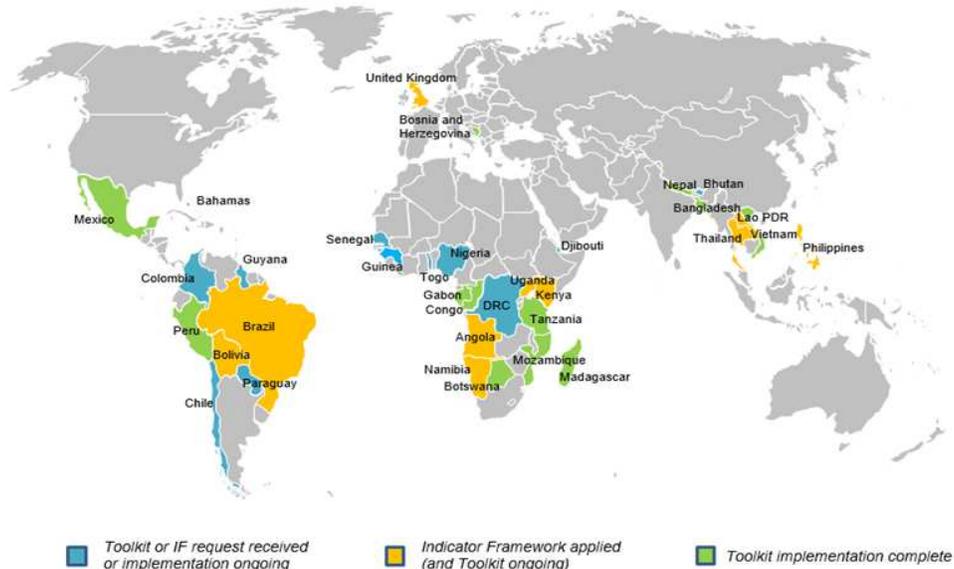
## THE COMPOSITION OF THE EVALUATION TEAM

The evaluation team consisted of one external independent lead evaluator and one external independent expert. The process was backstopped and quality assured by UNODC’s Independent Evaluation Section (IES).

The lead evaluator (male) has for the last decade specialised in intelligence analysis training and project and programme evaluations within the criminal justice sector, many of which have involved the UN system in general and UNODC. He has over twenty years of experience as a Senior Intelligence Analyst for the UK Intelligence Services and latterly for the EU Agency for Law Enforcement Cooperation (Europol). The expert (male) has over forty years’ experience in the area of wildlife trade regulation and monitoring. He formerly served as: Head of the Wildlife Trade Monitoring Unit of the World Conservation Monitoring Centre; consultant to the European Commission, where he drafted the EU regulations to implement the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES); and for 24 years with UNEP at the CITES Secretariat, where he was Chief of Governing Bodies and Special Adviser on Implementation.

## MAP OF PROJECT COUNTRIES

Map 1. Countries where the Analytic Toolkit or Indicator Framework has been implemented



Source: CITES document CoP18 Inf. 45:  
<https://cites.org/sites/default/files/eng/cop/18/inf/E-CoP18-Inf-045.pdf>

<sup>9</sup> Terms of Reference, October 2019 p.10

## EVALUATION METHODOLOGY

This evaluation followed a mixed-methods as well as gender-responsive evaluation methodology in line with UNEG and UNODC norms and standards, guidelines and requirements. The evaluation used purposive sampling<sup>10</sup> for use in standard case evaluation and to obtain an accurate representation of the universe of which the Programme consists. This informed all of the data-collection instruments including face-to-face interviews, telephone interviews and emailed follow-up questions. This purposeful sampling uses random probability along with criterion-i sampling, i.e. participants were drawn from agencies, organizations or systems involved in the implementation process. Individuals were selected by the evaluators from a list of key stakeholders and beneficiaries prepared by the project management team and by subsequent 'snowballing' by the evaluators. The individuals were assumed to possess knowledge and experience with the phenomenon of interest (i.e. the implementation of the analytic Toolkit) and therefore would be able to provide information that is both detailed (depth) and generalizable (breadth).

This evaluation report is constructed under the following methodological approach. Initially for the Inception Report (IR), a desk review of project documentation supplied by the Global Programme was completed. From this IR and desk review, any gaps that existed in the information to fulfil the Terms of Reference (ToR) requirements were identified and the ToR questions were redesigned - where required - to fill these gaps. Some existing questions were altered to clarify the questions themselves, and due care and attention was paid to ensure Human Rights and Gender Equality were properly addressed. Subsequently three data-collection instruments were developed and deployed. These were:

1. Semi-Structured, in-depth interviews. These interviews captured the feedback and voices of all stakeholder groups that were involved in or impacted by the implementation of the Analytic Toolkit. The majority of the interviews were face-to-face but, where that proved impractical to achieve, further interviews were conducted by Skype or telephone.
2. Most Significant Change (MSC) narration analysis. The theory and use of MSC narration is a well-documented and researched approach to evaluating and monitoring change projects. It is particularly useful in the evaluation of outcomes and impact and does not rely on the identification and monitoring of indicators. It is a systematic collection and then analysis of significant changes over a defined period of time. It allows interviewee respondents to answer an open-ended question in a way which highlights their own personal understanding and appreciation of the project or programme. This was integrated into the semi-structured interviews and formed a survey question.

The MSC question used for this evaluation was: *What is the most significant change you have seen as a direct result of the implementation of the Toolkit?*

3. Survey. The methodology developed at the Inception Report stage envisaged distributing a survey to beneficiaries/users of the Toolkit. However, during the face-to-face interviews in Austria, Mozambique and Viet Nam, as well as in concurrent Skype/telephone interviews, it became clear that this was not a realistic possibility. A lack of in-country ownership of the Toolkit Assessment, coupled with the passage of a substantial amount of time since the Toolkit deployment in many countries, meant there were few obvious persons to whom the survey could be disseminated with any prospect of a meaningful response. A truncated survey was

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<sup>10</sup> Purposive sampling (also known as judgment, selective or subjective sampling) is a sampling technique in which the researcher relies on his or her own judgment when choosing members of a population to participate in the study. In purposive sampling, personal judgment needs to be used to choose cases that help answer research questions or achieve research objectives. <https://research-methodology.net/sampling-in-primary-data-collection/purposive-sampling/>

sent by e-mail to a select few individuals, but only one response was received, potentially confirming the hypothesis of a lack of suitable recipients.

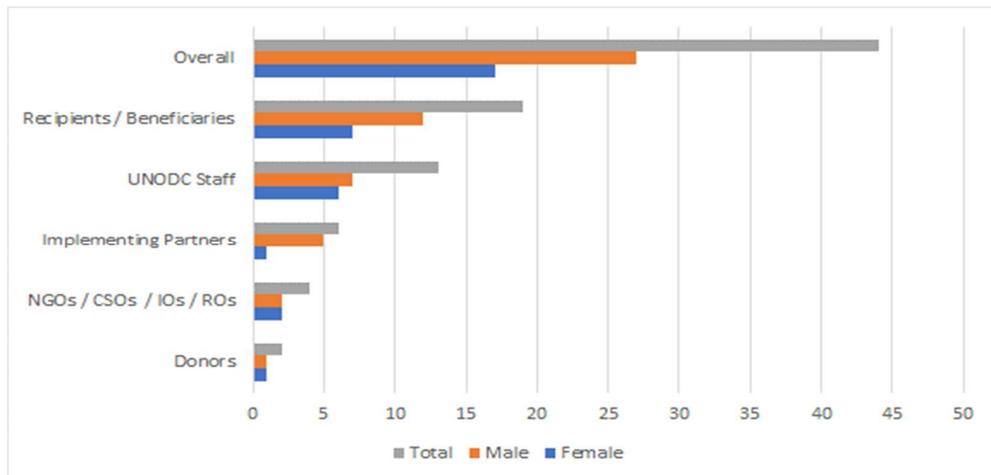
To derive robust findings and conclusions, the evaluation utilised a mixture of primary and secondary sources of data. The primary data sources included, among others, interviews with key stakeholders (face-to-face or by telephone), field missions and observations. Secondary data sources included all the documents and archival data available from the Global Programme, complemented by those available from partner organisations. Overall, the evaluation followed a mixed-methods, inclusive and participatory approach (through attempts to hear gender balanced voices from multiple stakeholder groups) and methodology, with adequate triangulation and counterfactuals to arrive at credible, reliable and unbiased findings. The evaluation also sought to integrate the human rights and gender dimensions, which was accomplished through a deliberate approach to trying to achieve gender balance in interviews and specific questions within the data collection on human rights and gender issues. The evaluation methodology is further elaborated below.

During the inception phase, a review and analysis of relevant documents supplied by the GP was undertaken, including concept notes, progress reports, revisions, and publications (Annex IV). The evaluation team also conducted initial interviews with GP staff to finalise the scope of the evaluation, which was outlined in the Inception Report (IR). The IR also refined evaluation questions, methodology and tools.

There were then field missions to two of the countries where the Analytic Toolkit had been implemented (Mozambique and Viet Nam). These countries were selected on the basis of various criteria that attempted to give a cross-section of Toolkit assessment issues, e.g. source / transit / destination countries, non-English and non-French speaking countries, different geographical locations, and length of time since the assessment was conducted. These in-person visits were conducted to understand the reality of trying to make the Toolkit work ‘on the ground’ and observe the challenges and barriers faced by working and delivering capacity building in those environments. In addition, a visit was made to the GP’s HQ at the UN’s Vienna International Centre (VIC) in Austria, to gain insight into the dynamic of the GP and its relationship with the appropriate UNODC Field Offices.

Running concurrently with the field mission, there were interviews with key stakeholders in person, over the phone or via Skype, using semi-structured protocols listed in Annex II. Overall, 44 in-depth interviews were conducted, 17 females and 27 males (see Figure 1 below). These interviews sought to capture the voices of key representatives of all stakeholder groups, identified on the basis of stakeholder analysis conducted in consultation with the GP during the Inception Report phase. In addition, those who could not be reached by face-to-face, telephone or Skype interview were provided with the questions via e-mail.

Figure 1. Stakeholders interviewed for this independent evaluation



Source: Elaboration from interview data (see Annex IV)

There was further document data collection and analysis from a wide range of sources, most notably additional data made available from the ICCWC partner organisations i.e. CITES Secretariat, INTERPOL, the World Bank and the World Customs Organization. This included both qualitative and quantitative data, collected by these partners from their own Wildlife and Forest Crime sources.

The analysis process itself involved the input of face-to-face and Skype/telephone interview information, coded against the evaluation criteria (design, relevance, etc.) and each evaluation question within those sub-headings. These were then cross-referenced with data collected from the other data sources, thus providing an overview of all data known under each sub-heading and question. From this, the findings were ascertained, conclusion extracted, and recommendations developed.

### LIMITATIONS TO THE EVALUATION

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The contract for the Wildlife Crime Expert was issued only five working days prior to the start of the mission. This meant the Inception Report could not be provided to Independent Evaluation Section (IES) the required ten to fourteen working days before the beginning of the mission. Additionally, it gave a restricted amount of time for the Expert to contribute to the Inception Report. The IES recognised this situation and provided dispensation for the Inception Report to be completed and submitted during the evaluation team's mission to Vienna from the 13th – 14th February 2020.

The Toolkit has been implemented in 12 countries. Owing to time and budget constraints, the evaluation team only had time to visit two of those countries, for a total of 3.5 days and a two-day visit to the Vienna HQ of the Global Programme itself. As a result, certain geographical areas where the Toolkit has been implemented were not visited, e.g. Latin America and South East Europe. To mitigate these limitations, telephone/Skype interviews and e-mail exchanges were conducted with individuals who had knowledge of the development and implementation of the Toolkit in those geographical areas.

A comprehensive survey had been envisaged to be sent to – and to capture the views of – recipients and beneficiaries of the Toolkit. However, it became clear during the field visits and interviews that there were very few people who could be identified to whom the survey could be sent, owing to a lack of in-country ownership of the implementation of the Toolkit assessment. This was mitigated by ensuring face-to-face and telephone interviews were conducted with those recipients and beneficiaries that could be identified

#### Covid-19

It should be noted that the planning, data collection and analysis for this evaluation took place before the full extent of the impact of COVID-19 was appreciated. The recommendations from the first draft of this report were supplied to the GP and an on-line meeting was held with the GP project management team, IES representatives, and the evaluators. The discussion allowed the evaluators to reflect upon how the project management team anticipated Covid-19 impact upon the utility and practical application of the recommendations. This allowed for modification of those recommendations where appropriate.

## II. EVALUATION FINDINGS

### DESIGN

#### EVALUATION QUESTIONS:

- To what extent was the design based on a need's assessment and context analysis and how could it be further improved?

The main objective of the Global Programme (GP) for Combating Wildlife and Forest Crime is to 'Assist Member States (MS) to more effectively prevent, identify, investigate, prosecute and adjudicate wildlife, forest and fisheries crime related offences as well as other environmental crimes.' The GP was initiated in 2014, two years after the Toolkit had been developed and implemented. Thus, the Toolkit became the first GP tool and has remained an ever present focus for the GP "The Toolkit is the foundation for the work we do".<sup>11</sup> Within the Logical Framework for the GP are six 'Intervention Areas' each with its own outcome and outputs. The Analytic Toolkit falls under intervention area 5 'Data collection, analysis and reporting', with an outcome stated as 'Member States have a better understanding of their criminal justice and preventive responses related to Wildlife and Forest Crime (WLFC)'. To achieve this outcome, there are 3 outputs; and output 5.2 relates directly to the Analytic Toolkit and states that 'National assessments and actions plans to effectively address WLFC are developed'<sup>12</sup>.

Thus, the Analytic Toolkit, from a GP design perspective, is a logical approach to take when addressing outcome No.5. Similarly, with the GP thematically contributing to broader United Nations Office on Drugs and Crime (UNODC) strategic framework programming, e.g. within the Regional Programme (RP) for South East Asia and strategic framework sub-programme No.1 on Transnational Organized Crime and Illicit Trafficking, the Analytic Toolkit is contributing to this broader UNODC work. It should be noted that the GP began two years after the Analytic Toolkit had been developed. The GP was therefore making use of a product that had already been developed. To identify the extent to which the Analytic Toolkit was based on a need, it is necessary to look further back in time.

In November 2009, various international organizations and agencies with mandates in law enforcement and criminal justice capacity-building – as they relate to wildlife and forest offences – decided to come together to work jointly as an international consortium. Representatives from the CITES Secretariat, the International Criminal Police Organization (INTERPOL), UNODC, the World Bank and the World Customs Organization (WCO) held their first-ever joint meeting in Vienna, to design a strategy intended to combat illegal trade in wild animals and plants. At its initial meeting, ICCWC requested UNODC take the lead in developing an analytic Toolkit concerning existing wildlife and forest law enforcement systems. Thus, the need had been identified by those five actors from their global WLFC perspective and not directly driven by individual Member State requests.

This lack of Member State (MS) enthusiasm in many countries around the time of ICCWC inception and the Analytic Toolkit development was a recognised phenomenon. 'For most countries, combating wildlife and forest crime is not currently a priority and often remains overlooked and poorly understood, despite the actual and potential scale and consequences.'<sup>13</sup> The ICCWC therefore drew on reporting and analysis from its constituent members (the five partners) to ascertain need.

<sup>11</sup> GP WLFC Presentation September 2019

<sup>12</sup> GLOZ31 Semi-Annual Report 2019 p.12

<sup>13</sup> Wildlife and Forest Crime Analytic Toolkit 2012, p.4

The Toolkit was ‘built on the technical expertise of all ICCWC partners as well as through extensive consultations with experts from across the globe from a variety of related fields’.<sup>14</sup> It was based on: (a) lessons learned from national and international efforts to curtail illegal trade in wildlife, plants, animal derivatives and plant material; (b) scholarly analyses and the examination of cases; and (c) consultations with key stakeholders and relevant experts. Yet, even the five partners recognised this reporting was scarce and incomplete. ‘Despite a prolific production of bibliographical material, there is not enough available expertise on this phenomenon [Wildlife and Forest Crime], and studies based on systematic empirical analysis are still scarce.’<sup>15</sup>

ICCWC looked to fill a need that had hitherto been tacitly acknowledged to exist but had never been quantified globally nor generally prioritised by national governments. The subsequent number of requests from national governments to implement the Analytic Toolkit assessment process and the delivery of the Analytic Toolkit assessments, coupled with the conclusions and action plans from those assessments, would suggest there was (and continues to be) a need.

Diagram 1. Step-by-step process of the Analytic Toolkit Assessment



Source: ICCWC Toolkit Implementation – Step-by-step process Annex A

From the design perspective, the step-by-step approach of the Analytic Toolkit assessment process (as shown in Diagram 1 above)<sup>16</sup> works well and needs little adjustment (see recommendation number 5, p.29), as evidenced by feedback from all stakeholder groups. It should be noted that step 4 had the ‘Indicator Framework’ aspect added to it upon completion of the design of the IF in 2016. However, certain elements within those steps need further consideration and will be examined under the appropriate sub-headings in this ‘Findings’ Section.

The Analytic Toolkit has not been updated since its creation in 2012 and many interviewees highlighted that WLFC has changed in certain areas since then and that the Toolkit should reflect those changes. However, there has been a significant development, which has the potential to impact upon the Analytic Toolkit process and design. It is the creation and application of the 2016 ICCWC Indicator Framework (IF) for Combating Wildlife and Forest Crime.

The IF ‘has been developed to work alongside the ICCWC Toolkit and provide an additional assessment tool for use at a national level. While the ICCWC Toolkit provides the means for a comprehensive analysis, the ICCWC Indicator Framework allows for a more rapid assessment of a national law enforcement response to wildlife crime’.<sup>17</sup> The IF<sup>18</sup> has 50 indicators grouped across eight enforcement outcomes and gives practical guidance for completion of a self-assessment. This includes the need to engage with as broad a range of national stakeholders as possible, as happened in 2019 at an IF workshop in Namibia.<sup>19</sup>

<sup>14</sup> <https://cites.org/eng/prog/iccwc.php/Tools>

<sup>15</sup> Wildlife and Forest Crime Analytic Toolkit 2012, p.4

<sup>16</sup> The term Indicator Framework appears in later versions of the step-by-step descriptions; however it is not reflected in the on-line CITES step-by-step guide.

<sup>17</sup> ICCWC Indicator Framework, July 2016, p.3

<sup>18</sup> [https://cites.org/sites/default/files/eng/prog/iccwc/E-ICCWC-Ind-FW-Assessment\\_guidelines\\_and\\_template.pdf](https://cites.org/sites/default/files/eng/prog/iccwc/E-ICCWC-Ind-FW-Assessment_guidelines_and_template.pdf)

<sup>19</sup> Ministry of Environment and Tourism, the Ministry of Agriculture, Water and Forestry, the Anti-Corruption Commission, the Office of the Prosecutor-General, the Namibian Police Force, the Financial Intelligence Centre and Namibia Customs and Excise.

The IF can be deployed as a stand-alone product. The ICCWC further guidance is that it should be used ‘to work alongside the ICCWC Toolkit’. All the 50 indicators of the IF can be mapped to one of the five areas of the Toolkit assessment namely: i) Legislation; ii) Enforcement; iii) Judiciary and Prosecution; iv) Drivers and Prevention; and v) Data and Analysis. To date, most of the recent Toolkit assessment processes (e.g. Namibia, Bolivia and Lao People’s Democratic Republic) are incorporating the IF self-assessment into the overall Toolkit assessment process. Whilst this evaluation report recognises that in some instances it may be circumspect to conduct only an IF assessment (and not a full Toolkit assessment), it is suggested that ICCWC reiterate the advantages of having the IF assessment as part of the overall Toolkit assessment process.

In this regard it is important that the connection between the IF and the Toolkit assessment report – and the subsequent Action Plan – is more explicitly highlighted and that both products are better designed to complement each other. There is scope for the linkage between indicators in the Toolkit Assessment Action Plan and the IF to be further elaborated. And, whilst it is understood that the IF is enforcement based (which forms one of the five areas in the Analytic Toolkit assessment), it can be seen that the 50 indicators actually address all of the five areas to a greater or lesser extent (28 enforcement, 13 legislation, 10 prosecution and judiciary, 9 drivers and prevention, and 2 data and analysis).<sup>20</sup> The possibility of restructuring the IF to mirror the Analytic Toolkit structure, and to develop further ‘standardised’ indicators for the Toolkit assessment areas, should be seriously considered. In this way, the IF would become an integral, non-optional part of the Toolkit assessment process.

It is recognised that there may be circumstances where the application of only the IF is advisable. For example, where it is used as an instrument to revise and update previous Toolkit assessments, or if country-specific resources or objectives are more suited to an IF specific approach.

### SUMMARY - DESIGN

The need for an evidence-based approach to tackling Wildlife and Forest Crime was identified from research initiated by the ICCWC partners, and UNODC was tasked to develop the agreed Analytic Toolkit assessment process. This was completed in 2012 and adopted by the UNODC Global Programme on Combating Wildlife and Forest Crime in 2014 as part of their response to tackling WLFC. The Toolkit design is robust and reflected needs at the time but requires updating along with the closer integration of the IF into the Toolkit assessment process.

## RELEVANCE

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### EVALUATION QUESTIONS:

- To what extent have the objective and outcomes of the Toolkit been consistent and relevant with regard to recipients’ requirements, country needs, global priorities as well as partners’ and donors’ policies?
- What elements would be additionally beneficial to add to (or remove from) the Toolkit to meet the requirements of the beneficiaries?

The United Nations General Assembly (GA) noted in a resolution of the 25<sup>th</sup> July 2013<sup>21</sup> that it encouraged ‘the United Nations Office on Drugs and Crime, in coordination with other members of the International Consortium on Combating Wildlife Crime, to continue its efforts to provide technical assistance and training to

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<sup>20</sup> Some indicators can be used in more than one area; thus it totals more than 50.

<sup>21</sup> E/RES/2013/40

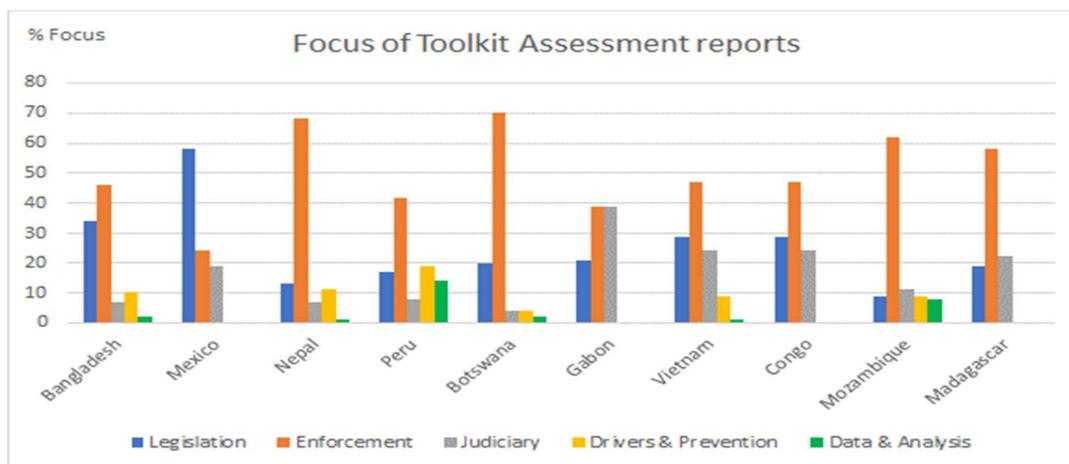
combat illicit trafficking in protected species of wild fauna and flora, as well as to develop tools, such as the wildlife and forest crime analytic toolkit, in accordance with the rules and procedures of the United Nations'. Thus, at a global level, the priority was established, and the role of the Analytic Toolkit was expressly included.

Both the Analytic Toolkit and the Global Programme (GP) were developed before the adoption of Sustainable Development Goals (SDGs). Through subsequent GP project revisions and UNODC's adoption of the lead role on reporting against goal 15, target 15.7 (to end poaching and trafficking of wildlife), the programme has fully incorporated the SDG priorities. Specifically, the GP directly contributes to the following SDGs: goal 14 "Life below water", which aims to conserve and sustainably use the oceans, seas and marine resources for sustainable development", goal 15 "Life on land", which aims to protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, and combat desertification. Lastly, goal 16 "Peace, justice and strong institutions", which aims to promote just, peaceful and inclusive societies, is also supported by the programme, with a focus on rule of law, as well as targets 16.4 (reduction of illicit financial flows) and 16.5 (reduce corruption and bribery). Each Toolkit assessment, as an output of the GP, contributes to these goals.

As noted earlier in this report (see p.7) the ICCWC recognised a national need to tackle WLFC with little input from Member States. However, the subsequent number of requests from Member States for the Toolkit assessment process to be undertaken since its inception vindicates the approach taken and indicates there was – and continues to be – a need.

Regarding the relevance of the assessment report, Figure 2 illustrates the focus within various Toolkit assessment reports by taking a simple measurement of the percentage of the report written on each of the five areas covered by those reports.<sup>22</sup> Expressed as totals, there have been 239 pages written of which 52% have been written on enforcement, 25% on legislation, 13% on the judiciary, 7% on drivers and prevention, and 3% on data and analysis.

Figure 2. Focus of Toolkit Assessment reports



Source: Self-elaboration based on analysis of Toolkit reports

In all but one example, the focus of the assessment has fallen within the 'enforcement' category and the 'Data and Analysis' category provides little information in comparison. This does not imply that this category is not important, only that the assessment has found it difficult to obtain pre-existing relevant and useful information. The Toolkit guidance document highlights this as a consistent difficulty: "Remarkably, few governments have systematic, if any, statistics on wildlife and forest offences. In many countries, statistics on wildlife and forest offences are not collected at all, and even if they are collected, they are often fed into broad

<sup>22</sup> The assessment reports on Gabon, Congo and Madagascar followed a different structure, which did not include specific chapters on 'Drivers and Prevention' and 'Data and Analysis'.

*categories and become inseparable and indistinguishable*"<sup>23</sup>. This is confirmed when reviewing the assessments where typical responses within the category are: *"Many agencies are working on WLFC issues, yet the extent and scale of the problem in Botswana is unclear. Statistical information was not readily available to the team. It is evident that substantial information is held by a wide range of organisations, including NGOs and the private sector. Yet there is currently a lack of a central coordination unit to bring this information together, analyse and use it;"*<sup>24</sup> Or, *"There is an absence of data relating to offences of WLFC. As there is no central focal point at Ministerial level and an absence of coordinated action it is not possible to provide a realistic estimate of the scale of the problem"*.<sup>25</sup> This lends support to the validity of the Toolkit Assessment process where data are obtained through workshops, interviews and observation rather than relying upon any existing national WLFC statistics.

Integrating the category 'data and analysis' as one element within the other categories would focus on what data and analysis exists on legislation, enforcement, judiciary, and drivers and prevention. By so doing, potentially more realistic recommendations on data collection and analysis may be forthcoming. An example of an unrealistic recommendation is as follows: *"National, multi-agency computerized systems should be introduced for the collection, storage, analysis and dissemination of crime and intelligence data"*<sup>26</sup> This is typical of assessment recommendations within the 'data and analysis' section and which no country has achieved.

The 'drivers and prevention' category, whilst also relatively sparsely populated, has been identified during this evaluation as a potentially important and emerging category within the Analytic Toolkit assessment process. From the desk review analysis and interviews conducted, it has become apparent that there is a general acceptance from all stakeholders that two critical areas where the assessment requires greater focus are i) corruption and ii) money laundering, and the role that both play in helping to facilitate WLFC. The 'drivers and prevention' category would appear to offer the most natural home for these aspects within the current report structure.

In addition, there are substantive areas where the Toolkit could be expanded; specifically forest and fisheries crime. When considering fisheries, Colombia has already indicated that it is willing to pilot this element in its Toolkit assessment and Norway has agreed to fund this through the 'FishNet' project. There is a growing case for the inclusion of Illegal, Unreported and Unregulated (IUU) fishing in the assessments, and there would be value in exploring its links to organized crime, corruption and money laundering. Forest crime has featured heavily as an area of concern from many Member States and there is a growing awareness that it also provides links into cross-cutting areas such as corruption.

The adding of forestry and fisheries crime to the Analytic Toolkit would present some challenges. Firstly, the Toolkit and the Indicator Framework would have to be amended to ensure those aspects are properly captured. Secondly, both of those areas would require an increased number of national stakeholders to become involved in the assessment process. Whilst this is not itself a disadvantage – and indeed the reaching out to new partners could well provide additional benefits, such as expanding individual and organisational appreciation of how WLFC is a multi-faceted issue – it will create a heavier administrative and resource burden. Yet, with the addition of these areas (corruption, money laundering, forest and fisheries crime) the Toolkit would more accurately reflect the GPs objective *'...and adjudicate wildlife, forest and fisheries crime related offences...'* and makes it further relevant to the SDGs. In general, the area of WLFC (including fisheries) features relatively highly on donors' lists of priorities. There is little doubt that there is donor appetite for the Analytic Toolkit assessment process and that an updated assessment would ensure it stays relevant to donor priorities.

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<sup>23</sup> ICCWC Toolkit v2 p172

<sup>24</sup> Botswana Assessment Report p.74

<sup>25</sup> Bangladesh Assessment Report p.53

<sup>26</sup> Nepal Action Plan 2014 Recommendation No.53 p.8

### SUMMARY - RELEVANCE

The Analytic Toolkit is relevant to the GP both as an output to help achieve its object, and as a process to assist Member States in tackling WLFC from an evidence-based position. The Toolkit itself has not been comprehensively updated since its creation in 2012 and is not fully reflecting changing priorities. The 'data and analysis section' in the assessment report is under-populated and areas such as corruption, money laundering, forest and fisheries crime are also under-reported. The Toolkit needs to remain relevant both to the Member States and to the donor community.

## EFFICIENCY

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### EVALUATION QUESTIONS:

- To what extent have the resources/inputs (funds, expertise, staff time, etc) been converted to outputs in a timely and cost-effective manner?
- To what extent could the efficiency of the Toolkit be improved?

The Analytic Toolkit, as part of the GP on WLFC, has benefitted from the support of the GP and growth in its funding from circa USD 10m for four years to c. USD 77m for an eight-year programme, now extended until the end of 2022. The Toolkit however enjoys its own ear-marked donor funding. This report has already noted Norway's willingness to support the fisheries aspect of the Analytic Toolkit assessment process, and Germany has supported Toolkit implementation in Mozambique and Uganda. The United States and France have also contributed ad-hoc funding for Toolkit implementation.

Most of the funding, however, comes via donor contributions to the ICCWC Strategic Programme, which includes Toolkit assessment implementation. The European Union (EU) has become a substantial donor to the ICCWC Strategic Programme with a EUR 13.5m pledge in 2019 of which part is dedicated to the implementation of the Analytic Toolkit (see Diagram No.2)<sup>27</sup>. The United Kingdom (UK) has also contributed GBP 4m from 2018 to 2021 for the ICCWC Strategic Programme with part of that funding specified for the '*Implementation of the Toolkit, Toolkit Recommendations and Indicator Framework*'<sup>28</sup> In total the ICCWC Strategic Programme funding for the Toolkit is EUR 2.3m.

Additionally, over the years since its inception in 2012, the ICCWC partners – in particular the World Bank – have contributed funding for Toolkit implementation. Historically it has fallen to UNODC to implement the Analytic Toolkit and to administer the funding for Toolkit implementation. The cost of the Toolkit implementation has been increasing recently, given that it now includes the joint application of the Toolkit and Indicator Framework assessments. The implementation of the Toolkit and IF in a country costs between USD 55,000 and USD 140,000. The cost depends on the size of the team, the length of the in-country assessment, the translation costs (sometimes 2-3 languages need to be used), a workshop, follow up meetings, an extra assessment mission, and additional staff time needed to coordinate the validation process (compiling and incorporating inputs from ICCWC partners, additional review of the report etc.).

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<sup>27</sup> Eighteenth meeting of the Conference of the Parties Geneva (Switzerland), 17-28 August 2019 p16

<sup>28</sup> Eighteenth meeting of the Conference of the Parties Geneva (Switzerland), 17-28 August 2019 p20

Diagram 2. EU ICCWC Toolkit pledge



Source: <https://cites.org/sites/default/files/eng/cop/18/inf/E-CoP18-Inf-045.pdf>

In general, the timeline from the agreement to conduct an assessment until the time of its completion is around 6 to 9 months. Naturally, there are many factors outside the control of ICCWC which impact upon how quickly an assessment can be brought together. Negotiation with government agencies, ministries and others to identify relevant national partners, dates and locations for the assessment meetings, arrangements for the in-country mission, etc., all impact upon speed of delivery. Yet those elements that are within the control of the ICCWC partners (effectively UNODC as the main organiser) are noted by interviewee respondents to be mobilised quickly.

Efficiencies might be identified in the leverage of other, non-financial, resources. As noted previously (see p.1) the ICCWC partnership includes UNODC, INTERPOL, the World Bank, WCO and the CITES Secretariat. To date, the involvement of the non-UNODC partners has been at best limited, often involving post-assessment review (see Partnership and Cooperation p.23). However, there is an agreement to ramp up the involvement of the other partners in future Toolkit assessments, starting with Nigeria and Colombia in 2020. This closer involvement should see greater efficiencies achieved in the assessment areas that rely on those partners' areas of expertise.

Another area where efficiencies could be achieved is in a more systematic approach to learning lessons from the Toolkit assessment process. There is currently no system for an official debrief meeting of the partners focusing on the process after each assessment, and no requirement for the consultants and other intrinsic actors to provide express feedback. There is no formalised results analysis of the process. Consultants hitherto involved in one or more Toolkit assessments have indicated they would have benefitted from having greater guidance on how the assessment should be conducted and felt they would benefit in the future from speaking with others who have been involved in previous assessments. The 8-step process (see p.7) ends with 'Assessment completed – Presented to government' and there is an argument that a ninth step could be added which is 'Debrief of process with ICCWC partners and consultants'.

### SUMMARY – EFFICIENCY

The resources used by the ICCWC partners, primarily through UNODC, are quickly deployed to bring an Analytic Toolkit assessment to completion. The timeline for producing the Indicator Framework and assessment report is similarly quick, notwithstanding elements that fall outside the influence of the partners. Efficiency savings could be realised by better identifying and learning lessons from previous assessment processes and communicating those to future assessment teams in a more systematic and structured manner.

## EFFECTIVENESS

### EVALUATION QUESTIONS:

- To what extent has progress been made towards achieving outcome 5, output 5.2 of the programme?
- What are the reasons for achievement or non-achievement of the programme objective and outcomes?

It should be recalled that Outcome 5 is *'Member States have a better understanding of their criminal justice and preventive responses related to Wildlife and Forest Crime (WLFC)'* and that Output 5.2 is *'National assessments and actions plans to effectively address WLFC are developed'*.

The Toolkit itself is a process for conducting the national assessments called for in Output 5.2. It is a process for reviewing the measures in place at the national level to tackle WLFC, and for identifying actions needed to improve the effectiveness of these national measures. Each national review concludes with the production of a report, with recommendations and, in more recent assessments, an action plan.

The responsibility for requesting the implementation of this process rests with the CITES Management Authority (MA) of the country concerned. The CITES MA is a government body, which has responsibility for coordinating and overseeing the implementation of CITES at the national level. The usual procedure is for the national CITES Management Authority to submit a request to the CITES Secretariat, in Geneva, that the Toolkit be implemented in the country. The CITES Secretariat then liaises with the national CITES MA to seek any necessary clarifications and forwards the request to UNODC in Vienna. This is the usual procedure but there have been some exceptions, where requests were made directly to UNODC by a government agency of the State concerned.

Because the process for implementing the Toolkit is launched only following a request from a government representative of a State, it may be expected that the State takes responsibility for supporting the launch, and for coordinating the follow-up to ensure that the maximum benefit accrues from the Toolkit process.

In each country where the Toolkit has been implemented, the process involved a meeting of the government agencies responsible for various aspects of fighting wildlife crime, which may include wildlife departments, agriculture departments, police, procuracy, judges, etc. In some cases, they met together with aid agencies or other potential donors and/or with non-governmental conservation organizations.

The Toolkit assessments have been completed in 12 countries (with year of completion): Bangladesh (2013), Bosnia and Herzegovina (2018), Botswana (2015), the Republic of the Congo (2016), Gabon (2015), Madagascar (2018), Mexico (2014), Mozambique (2017), Nepal (2014), Peru (2014), the United Republic of Tanzania (2016) and Viet Nam (2015). In each case, a detailed assessment was conducted of the laws and actions to tackle wildlife and forest crime. In recent assessments, an action plan was also produced.

Information provided to the evaluation team indicates that the Toolkit process is currently underway or in the preparatory phases in a further 12 countries: Bolivia, Brazil, Djibouti, Guinea, Kenya, Lao People's Democratic Republic, Namibia, Nigeria, Thailand, Togo, Uganda and the United Kingdom of Great Britain and Northern Ireland. The number of countries in which the Toolkit has been, or is being, implemented is the main measure of the success of Output 5.2, which requires only that national assessments are undertaken and action plans produced to address WLFC effectively. The vital issue of what is the result of conducting these assessments is examined below in the section on "Impact".

The main reasons for achievement or non-achievement of Outcome 5, can be viewed in terms of the process for launching the Toolkit in a country.

As an assessment using the Toolkit should be requested by a CITES MA, the first potential reason for not conducting an assessment is that the MA has not considered the need to use the Toolkit, or has considered it

and has decided either that it is not needed, or that there is another reason not to request it. These cases would not be known unless the country has been in direct contact with one of the ICCWC partner organizations to explain this decision and the reasons. The evaluation team is not aware of any such cases and did not survey the countries that have not requested an assessment.

However, even if a country does make a request for an assessment using the Toolkit, it may subsequently withdraw or amend the request. The evaluation team is aware of only one such case. This was in relation to Kenya, which requested the launch of the Toolkit. However, initial discussions indicated that an assessment using the Toolkit was not needed. The decision was therefore made in this case to launch only the Indicator Framework and not the Toolkit.

The main reason for not having undertaken an assessment with the Toolkit when it has been requested, and thus not achieving Output 5.2, is that the funding is not available or has not yet been obtained. As examples, an information document<sup>29</sup> published by the CITES Secretariat in August 2019 indicated that the countries that had requested a Toolkit assessment, but for which the preparatory work had not yet been undertaken were Bhutan, Chile, Colombia, Djibouti, Guyana and Senegal.

It is encouraging to note that with the on-going development of the ICCWC 2030 Vision, there is discussion on identifying and focusing on WLFC priority countries. These may include Colombia, Lao PDR, Madagascar, Nigeria, and Viet Nam. This systemic approach to prioritisation should also help contribute to the overall effectiveness of the Toolkit.

### SUMMARY – EFFECTIVENESS

Twelve States out of the 193 Member States of the United Nations have already undertaken assessments using the Wildlife and Forest Crime Analytic Toolkit, and it is underway or being launched in a further 12 States. The main reasons why Output 5.2 has not been achieved are because countries have not requested the launch of the Toolkit or because funding was not yet available following the submission of a request.

## IMPACT

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### EVALUATION QUESTIONS:

- So far, to what extent has the programme contributed to the recipient governments' efforts to build evidence-based responses and measures to address wildlife and forest crime?

Assessments using the Wildlife and Forest Crime Analytic Toolkit have been carried out in 12 countries, and a report of the assessment was provided to each country with recommendations for improving the national measures to deter and combat such crime. For most of these countries, the assessors also provided an action plan specifying the tasks to be completed to implement the recommendations, indicating the priority level of each action, together with a recommended timescale.

It is unfortunate that the approach to writing the assessment report was not standardized early on, and that an action plan was not provided for all countries for which the Toolkit assessment was conducted. The national assessments nonetheless involved an examination of the relevant legislation in place, identification of the types of wildlife and forest crime committed, and an analysis of the legislative, enforcement, prosecutorial

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<sup>29</sup> <https://cites.org/sites/default/files/eng/cop/18/inf/E-CoP18-Inf-045.pdf>

and judicial systems in place, and their effectiveness. But an agreed action plan adds a target schedule for the implementation of the recommendations.

As indicated above, the evaluators conducted in-depth interviews of government officers and representatives of non-governmental organizations in Mozambique and Viet Nam, as case studies to provide an insight into the implementation of the Toolkit, and its utility in improving the fight against wildlife and forest crime.

There are different ways in which the conduct of a Toolkit assessment can have an impact in the country where it is carried out. The main way to have an impact is by taking action to implement the recommendations, or at least to respond to the weaknesses that are identified. However, the process of conducting an assessment may by itself have a positive influence, with the meetings and individual discussions making people aware that their work domain is under scrutiny.

The general approach to launching the Toolkit assessment - involving a multi-agency meeting that includes each of the government branches of the national system to address wildlife and forest crime – is very much appreciated. Interviewees from most agencies visited stated that these initial meetings brought together representatives of government agencies who may never have met before. They learned about the experiences of other agencies in dealing with wildlife and forest crime. And, through that personal contact, they learned with whom to communicate in other agencies.

Whether these improved contacts led to improved cooperation at the national level is a separate issue. It is an important one because the recommendations that emerge from the Toolkit assessments relate to the responsibilities of the full range of government agencies dealing with aspects of wildlife and forest crime: legislators, wildlife rangers, CITES authorities, environment agencies, police, customs, prosecutors, judges, etc. Yet, some individuals or agencies have the perception that the Toolkit is something the national CITES authorities are responsible for, and that it is left to them. This perspective is presumably the result of the initial approach to request the launch of the Toolkit being made from the national CITES Management Authority (MA) to the CITES Secretariat.

These conflicting viewpoints evidence the need for continued coordination between agencies after the Toolkit assessment is complete. It seems to be assumed that the responsibility for this coordination lies with the CITES MA in each country. However, information provided suggests that coordination may be confined to following up on individual cases. Several interviewees agreed that regular coordination meetings of concerned agencies would be beneficial (see under 'partnerships and cooperation' below).

After a Toolkit assessment has been completed, the key focus would be expected to be on the recommendations that are the result, and the action plan to implement them. As requests for a Toolkit assessment are made by the government (usually through the CITES MA) it might be expected by ICCWC partners that the government takes responsibility for the follow-up to ensure the recommendations and action plan are reviewed, and corrective measures implemented. But interviews during the present evaluation indicated that a lack of clarity regarding roles and responsibilities hampered the follow-up to the recommendations. They also indicated that, when there is a very large number of recommendations (in some cases requiring hundreds of tasks), this can be overwhelming and can thus hinder implementation and undermine the impact of the Toolkit assessment.

Another possible reason why a Toolkit assessment has less impact than it could is a lack of clarity about who has 'ownership' of the assessment and is therefore responsible for following up the actions required. Even if it is evident that the CITES MA, for example, is responsible for the follow up, the relationship between agencies might hamper progress. CITES MAs may not have enforcement powers in all countries and may be viewed as not part of the enforcement community. Moreover, they are very often in environment or wildlife departments, which may have less influence on government policy and action than enforcement agencies, and other parts of the system for dealing with crime. These factors may have the effect of reducing the power of the CITES MA to ensure that Toolkit assessment recommendations are adequately pursued. The national arrangements of countries, however, are not being assessed as part of this evaluation.

It is nonetheless clear that, in some cases, the recommendations have a positive impact. In Peru, for example, a national strategy to reduce illegal wildlife trade was prepared as a direct result of this being recommended

in the Toolkit assessment. In fact, many examples were found of the recommendations being implemented. An information document provided by the CITES Secretariat for the 18th meeting of the Conference of the Parties to CITES<sup>30</sup> provides some good examples of actions to implement recommendations. Sometimes these are clearly a result of a response by the target country. As examples: the government in Gabon in 2018, and in Viet Nam in 2017, revised the penal codes in response to identification of the need to do this.

Some responses to the recommendations were initiated by UNODC. As examples: in Botswana, UNODC implemented a wildlife forensics capacity-building project, in partnership with the Department of Wildlife and National Parks; and in Gabon, UNODC worked with the government to implement a law enforcement mentorship programme. These are examples of action as a direct response to a Toolkit assessment recommendation.

The CITES information document shows that, in some countries, only a small number of actions has been taken to implement recommendations from assessments, and others have implemented a large proportion of the recommendations (21 out of 47 in one case).

In both the case-study countries, interviewees drew attention to training that had been provided as a result of Toolkit assessment recommendations, where trainees included officials of other national agencies or even officials from other countries. These sessions were clearly appreciated. They had the multiple benefits of providing motivation, raising awareness of wildlife and forest crime and providing opportunities for sharing experience among the participants.

In the domain of tackling wildlife crime, and in particular illegal wildlife trade, many initiatives are being taken by donor agencies and non-governmental organizations. Some of the work that they have conducted as part of their own programmes is also implementing recommendations of the Toolkit assessments, even if it was not designed for this purpose and is not done as a response to the assessment. An example is the work done in Mozambique, by Speed+ (a programme under USAID), with UNODC and the National Agency for Conservation Areas, to produce a manual of wildlife crime law and to train 70 prosecutors.

One potential indicator of the impact of the Toolkit assessments is the level of illegal wildlife trade from each country that has implemented the Toolkit. Information on illegal trade is difficult to obtain because a large and indeterminate portion of it is not detected. The CITES trade database contains information on seizures of CITES specimens. Trends in seizures are hard to interpret because they may reflect changes in trade patterns, in enforcement effort, in actual trade levels or in other variables. The trade data for the two field mission countries was studied to see whether there were any trends at all. They showed no particular trend for either country.

Interviewees recognised significant change in certain aspects to tackling illegal trade, such as improved legislation, better training and increased awareness, but could not state that this had led to a decrease in illegal trade. Without a clear results-chain or robust illegal trade data, the impact of the Toolkit on reducing illegal trade is impossible to quantify.

### **SUMMARY – IMPACT**

There is evidently a substantial awareness-raising impact on countries where the Toolkit assessment has been undertaken. In many instances, recommendations arising from the assessment and included in action plans have been carried forward by appropriate national agencies. The extent to which these would have been done without the Toolkit assessment process is difficult to quantify. The volume and complexity of Toolkit recommendations and the resources required to implement them, may be a disincentive.

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<sup>30</sup> Document CoP18 Inf. 45 (<https://cites.org/sites/default/files/eng/cop/18/inf/E-CoP18-Inf-045.pdf>)

## SUSTAINABILITY

### EVALUATION QUESTIONS:

- How has the Toolkit process shaped recipient governments' awareness and response to wildlife and forest crime?

There are two aspects to this evaluation question; how the Toolkit process affected the recipient government's awareness of wildlife and forest crime; and how (if at all) the process affected the government's response to such crime.

*Regarding Awareness:* The fact that government officials, including high-level officials are brought together for the launch of the Toolkit process assessment in each country inevitably raises the awareness of those present. In the same way, the interviewing of officials during the assessment, and the subsequent presentation of the final report to a group maintains this level of awareness.

If there were a follow-up to the recommendations and the action plan, this would help keep the attention of relevant government officials on wildlife and forest crime. However, the interviews for this evaluation suggest that awareness is limited among officials in the case study countries. Some of those interviewed, in government agencies that had relevant responsibilities, had no knowledge of the assessment report, or the action plan, or confused it with other documents on related subjects.

No evidence was found of a long-term awareness of the specifics of wildlife and forest crime issues in the case-study countries, except among the officials dealing specifically with these issues. This may be partly due to the frequency of staff changes (see under "Impact" above). Nonetheless, there was at least a general awareness, among all officials, about the existence of wildlife and forest crime. However, as there are projects to tackle wildlife crime by UNODC, by donor agencies and non-governmental conservation organizations, the general awareness, and even awareness of specific issues, could be a result of these activities.

*Regarding government responses:* Although government short-term awareness was raised by the Toolkit process, their response to wildlife and forest crime has not always been based solely or even primarily on the assessment and its action plan. In the case-study countries, no evidence was found that the assessment and action plan are used as the basis for a government response to such crime.

The implementation of Toolkit recommendations and action plans would indicate a direct response to wildlife and forest crime resulting from the Toolkit. There are some examples of recommendations being implemented (see above). And some activities are designed specifically for the purpose of addressing recommendations (such as the amendment of the penal code in Gabon). But many other actions that have had the effect of implementing the Toolkit recommendations were not designed for this purpose. An example is the training of prosecutors in Mozambique, in a project of USAID, WWF and UNODC. It is consequently not possible to determine to what extent responses against wildlife and forest crime are the result of the Toolkit process without examining the basis for each such response. Yet it can be argued that the Toolkit assessment and ICCWC are not – and should not be – expected to lead national governments through the process of implementation of the action plan or to provide the financial resources.

One of the issues for each government faced with a long list of recommendations to be implemented is the cost of doing so. Some of the recommendations should be implemented over a long term, but this raises the issue of whether that is sustainable. Implementation may, for example, require funds for training courses, or for equipment or vehicles. But government resources may not be available to meet the needs. This is a key issue that may limit the response of governments to the Toolkit process. It does not appear that the recommendations coming from the Toolkit assessment have generally been stress-tested for sustainability, although such testing would of course help to achieve implementability. The goal of supporting governments in responding to wildlife and forest crime would also be made more achievable by ensuring a manageable number of recommendations (see 'Effectiveness' p.16).

An additional issue noted by the evaluators that could affect sustainability is that, in some agencies, it is common for staff to change after a few years, or to be reassigned to a different post or a different location. As a result, the contacts that are made through the launch of the Toolkit can be eroded after a short time. Moreover, when there is a change of staff, documentation and information regarding the Toolkit is often not passed to successors, who may therefore be unaware of what has been done, of the contacts that have been made and of the recommendations and action plan from the Toolkit assessment. Several such cases were noted during the interviews.

### SUMMARY – SUSTAINABILITY

The Toolkit assessment process certainly raises awareness with key national actors and stakeholders in tackling wildlife and forest crime in the short term. The extent to which this heightened state of awareness continues after the assessment process is complete is unclear. What is clear is that the recommendations emanating from the assessment process are often addressed but as part of other non-assessment-related activities. There is a disconnect in the continuum from assessment production to recommendation implementation.

## PARTNERSHIPS AND COOPERATION

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### EVALUATION QUESTIONS:

- To what extent have roles and responsibilities in terms of partnerships and cooperation been clearly defined, realistically set up and fulfilled in this programme?

The partnerships and cooperation needed for the success of the Wildlife and Forest Crime Analytic Toolkit are at two levels: international and national.

#### *International level cooperation*

At the international level, the Toolkit was originally promoted as a product of the ICCWC, a partnership comprising the CITES Secretariat, INTERPOL, UNODC, World Bank and WCO. From the start, it was intended that each ICCWC partner organization would provide an expert to participate in the national assessments using the Toolkit. At the launch of the Toolkit in July 2012, the media release of the CITES Secretariat announced, "ICCWC launches wildlife and forest crime toolkit"<sup>31</sup>. The WCO had the same headline<sup>32</sup> and the website of the World Bank refers to the Toolkit in the same way. The CITES website still refers to it as the "The ICCWC Wildlife and Forest Crime Analytic Toolkit"<sup>33</sup> (see screenshot below).

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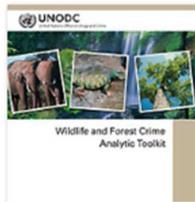
<sup>31</sup> [https://www.cites.org/eng/news/pr/2012/20120725\\_ICCWC\\_toolkit.php](https://www.cites.org/eng/news/pr/2012/20120725_ICCWC_toolkit.php)

<sup>32</sup> <http://www.wcoomd.org/en/media/newsroom/2012/july/wildlife-and-forest-crime-analytic-toolkit.aspx>

<sup>33</sup> <https://stag.cites.org/eng/prog/iccwc.php/Tools>

Figure 1 Excerpt from Report of 18th Meeting of COP

**The Wildlife and Forest Crime Analytic Toolkit**



The [ICCWC Wildlife and Forest Crime Analytic Toolkit](#) provides government officials, Customs, police and other relevant enforcement agencies with a framework to conduct a comprehensive analysis of their response to wildlife and forest crime and identify their technical assistance needs. The countries capabilities are assessed in relation to relevant legislation, law enforcement measures, prosecutorial and judicial capacities, factors that drive offences, the effectiveness of preventive measures, and the availability and use made of data. The Toolkit is designed to serve as a framework around which a prevention and response strategy can be developed. The Toolkit is available in Chinese, [English](#), [French](#) and [Spanish](#). For further details, please see the ICCWC Toolkit [Fact Sheet](#) and the Toolkit implementation [step by step guide](#).

Source: [www.cites.org](http://www.cites.org)

The website of UNODC, on the other hand, states that the Toolkit was developed by UNODC "in partnership with other members of ICCWC"<sup>34</sup>. And the Toolkit itself has the name of UNODC emblazoned at the top of the front cover<sup>35</sup>, while the logos of all ICCWC members appear, grouped together, at the bottom of the page. Similarly, UNODC appears by itself on top of the front page of almost every final Toolkit assessment report (the only exceptions being the reports of Gabon and Peru; and for the United Republic of Tanzania, the logo of the United Nations Development Programme (UNDP), which is not an ICCWC member, also appears at the top). Thus, in terms of branding, the Toolkit appears to be promoted by UNODC as a UNODC product.

Within UNODC, there is good coordination between the Research and Analysis Branch and the GP on WLFC. Similarly, the GP has collaborated with the Container Control Programme, to share a post in the United Republic of Tanzania, where UNODC did not have a presence.

The branding is one factor that has apparently given the perception to some other ICCWC partners that they are really not involved in the use of the Toolkit, and that this is something for UNODC and the CITES Secretariat. Responses to interview questions confirmed that this was a widely held view.

It is clear that the way in which the Toolkit was foreseen to be implemented never materialised. The ICCWC partners other than UNODC and the CITES Secretariat have been hardly - or not at all - involved in the conduct of national assessments using the Toolkit. UNODC has taken the lead in organizing and carrying out the assessments, and recently also in the use of the Indicator Framework, and in presenting the results and following up. It appears that, until recently, no role was agreed for the other members of ICCWC, although they could obviously facilitate communications with their national focal points and provide expertise in their specific areas of activity.

In the early years there was little funding available for Toolkit implementation, so much of the work that could fall under the ICCWC umbrella was done by individual organisations within their own budgets and 'badged' as ICCWC / Toolkit work. This may have contributed to a reduced engagement from the other ICCWC members. Consequently, it appears that the dominant role of UNODC and the CITES Secretariat in the conduct of Toolkit assessments and Indicator Frameworks, has effectively excluded other ICCWC partners, giving the impression that they were not involved. It has been mooted that INTERPOL and WCO might establish their own enforcement toolkit.

Considering that the Toolkit is one of the highly visible outputs of the ICCWC partnership, the lack of interest and engagement seems to undermine the partnership. It has been suggested that personality conflicts have also undermined the partnership over the past eight years. Fortunately, these issues have now been recognized by the Senior Expert Group of ICCWC, whose composition has also changed in recent years. As a result, it has been decided to try to conduct two of the next national Toolkit assessments<sup>36</sup> in the way that was originally envisaged, involving experts from each of the partner organizations. This is a good development.

<sup>34</sup> <https://www.unodc.org/unodc/en/wildlife-and-forest-crime/wildlife-and-forest-crime-analytic-toolkit.html>

<sup>35</sup> [https://www.unodc.org/documents/Wildlife/Toolkit\\_e.pdf](https://www.unodc.org/documents/Wildlife/Toolkit_e.pdf)

<sup>36</sup> Colombia and Nigeria

### *National level cooperation*

The evaluators perspective of cooperation at the national level is derived primarily from a review of the Toolkit implementation in the two case-study countries.

As indicated above, the launch of the Toolkit in a country has an immediate effect of bringing together officials from the various departments, ministries or agencies responsible for different aspects of regulating or dealing with wildlife and forest crime. In some case, donor agencies and non-governmental conservation organizations are also involved in these meetings. The evaluators learned that these gatherings are very much appreciated and in some cases they provided initial contact between different agencies whose officials were otherwise not in touch or were not fully aware of the role of the other officials in their overlapping domains.

As noted above however (see Sustainability, p. 17), the frequent changes or moves of staff, in some agencies, can undermine the continuity of collaboration between agencies and of the knowledge of the Toolkit assessment. This is not taken into account in the assessments themselves, which could draw attention to the need for regular meetings of all relevant national agencies after the assessment is finished. The evaluators noted that there are different views about how regular these should be; opinions seem to vary from every two years to every five years. The important point is that contact should be rejuvenated.

This renewed contact should, in any case, be a follow-up to the conduct of an assessment, to ensure that the recommendations and action plan are discussed, that action is agreed, and that progress in achieving the agreed goals is reviewed at regular intervals. This means that there should be a process in place for calling these meetings.

An obvious step to achieve this would be to ensure that one agency is designated as responsible for coordinating the follow-up to the Toolkit assessment. It could be assumed that, because the CITES Management Authority is responsible for requesting the launch of a Toolkit assessment, that Authority is also the "owner" of the resulting report and responsible for the follow up. Comments provided to the evaluators in the case-study countries indicated that, although some officials had this understanding, it was not universally understood in this way. This issue could be raised at the time when an assessment report is presented in each country. Without a clear understanding of who is responsible, the necessary follow-up may simply not happen.

However, the perception that one agency – generally the CITES MA – is responsible for the Toolkit can also be problematic. The evaluators encountered the view that the Toolkit is being dealt with by the CITES MA and therefore it need not concern enforcement agencies. Self-evidently, this point of view can arise if the CITES MA (or other agency responsible) does not follow up the recommendations to press for their implementation. One possible approach in case of non-cooperation is to give the follow-up responsibility to another ministry, such as the ministry of foreign affairs.

One of the fundamental principles of the Toolkit (although perhaps not expressed in this way) is the need for all concerned agencies to work in a coordinated fashion to support each other's work in the fight against wildlife and forest crime. But there may be systemic reasons at the national level that run counter to this key idea. For example, one agency may see others as competitors for funding

## SUMMARY – PARTNERSHIPS AND COOPERATION

The Wildlife and Forest Crime Analytic Toolkit was originally envisaged as a product of ICCWC but has not been implemented as a partnership. With UNODC taking the lead, it has been seen as a UNODC product, so that some partners therefore did not engage. This is starting to change.

At the national level, implementation of the Toolkit has helped to create cooperation among agencies concerned with wildlife and forest crime. But this is undermined by other factors, including changes of staff and possibly competition for funding. Cooperation can be improved to achieve implementation of Toolkit recommendations by putting in place a mechanism for regular multi-agency reviews of progress.

## HUMAN RIGHTS, GENDER EQUALITY AND LEAVING NO ONE BEHIND

### EVALUATION QUESTIONS:

- To what extent were human rights mainstreamed in the development and implementation of the Toolkit?
- How could human rights be further mainstreamed in the design and implementation of the programme?
- To what extent were gender aspects mainstreamed in the development and implementation of the Toolkit?
- How could gender aspects be further mainstreamed in the design and implementation of the Toolkit?

## HUMAN RIGHTS

There has been a drive to mainstream HRGE in recent years in the UN system wide and in UNODC. In terms of Human Rights, this has meant the establishment of the Human Rights Advisory Group (HRAG) and the issuance of various guidelines.

The Analytic Toolkit assessment is one of many outputs from the GP and, as such, much of the responsibility for HR and GE mainstreaming will flow from the GP approach to this aspect. Whilst this aspect sits outside the specific scope of this evaluation report, it is important that the WLFC management team charged with overseeing the Analytic Toolkit seek guidance from the GP management team and in-house UNODC expertise on the HRGE mainstreaming processes currently in place within the GP and the broader UNODC. An examination of the GP's Project Document notes that '*Human rights are of relevance in this programme, e.g. the human rights situation in a certain country should be analysed before activities are planned, and be taken into consideration when designing, implementing and evaluating the programme's activities.*'<sup>37</sup> There has been no documentary evidence of the GP undertaking such activities prior to any Analytic Toolkit assessment process being launched.

The WLFC Analytic Toolkit assessment document notes that, where training is being considered as a potential tool to tackle WLFC, it should be ascertained whether '*the training involves elements related to accountability, ethics, human rights, integrity and corruption.*'<sup>38</sup> It also advises that, where covert investigation techniques are being considered, '*Judicial or independent oversight is common and is required under international human rights law.*'<sup>39</sup> Within the general guidelines for conducting assessment missions (steps 3 and 4 of the Analytic Toolkit assessment process) the following advice is given, '*establishing contact and meeting with individuals,*

<sup>37</sup> GP for combating WLFC Project Document 2014 p.13

<sup>38</sup> WLFC Analytic Toolkit Assessment, 2012 (revised Edition) p.80

<sup>39</sup> Ibid p.83

*institutions, professional and human rights/environmental organizations...*<sup>40</sup> However, there is no explicit advice given on how the human rights aspects of WLFC should be addressed. Of the twelve completed Toolkit Assessments only one<sup>41</sup> provided anything more than one sentence on human rights issues.

Yet, during the interviews for this evaluation, the issue of human rights and its impact on the practicalities of tackling WLFC were raised on several occasions. It was noted that there is a danger that, during the Toolkit assessment process, there was the potential for interaction with national actors involved in human rights abuses and there was a need for greater due diligence. And where possible during capacity building work, especially in the delivery of training, there should be bespoke inputs on human rights issues. From another perspective, the protection of the human rights of poachers was raised against the backdrop of the potentially unlawful detention or even shooting of alleged poachers.

Far greater advice is required to be given by the GP and in-house UNODC experts on mainstreaming human rights into the Analytic Toolkit Assessment process. Consultants and experts employed to assist in the data collection and writing of the assessments would benefit from more in-depth guidance on how this should be approached and achieved.

### GENDER EQUALITY

If the mainstreaming of human rights into the Toolkit was difficult to establish and is incomplete, the mainstreaming of gender issues is almost non-existent. The GP mentions the importance of gender considerations in its project document: *'Although the programme does not specifically cover gender and advancement of women aspects, it promotes and takes into account gender mainstreaming aspects wherever applicable'*<sup>42</sup>. It is informative to note that, whilst the GP recognises the need for gender mainstreaming, it also provides the caveat that the GP is not specifically covering gender. Thus, it is unsurprising that the Analytic Toolkit assessment process – as an output of the GP – is similarly lacking in a coherent gender mainstreaming approach.

Mainstreaming of Gender Equality was given further impetus with the establishment of a Gender Team in the Office of the Executive Director, the appointment of a human rights focal point in the Justice Section, and the roll out of an awareness-raising programme across the organization.

GE is seen as particularly high on the UN and donor agendas, as reflected by the standing open-ended intergovernmental working group on improving the governance and financial situation at UNODC (FINGOV) having adopted a gender mainstreaming focus. It is also a conditionality of funding required by certain donors. The importance for the UN institutional agenda can be seen with directives passed in September 2017 from the UN Secretary-General's office on the imperative of gender mainstreaming.

The Gender Brief for UNODC Staff on mainstreaming gender in Health and Livelihood projects notes explicitly that *"Wildlife crime is mostly described in a gender-blind way...[and]...more research is required to understand the gender dimensions in order for this to be incorporated into the development of strategies to combat wildlife, forest and environmental crime"*.<sup>43</sup> The Gender Brief for UNODC Staff on mainstreaming gender in Organised Crime and Illicit Trafficking projects states: *"The greatest factors driving illicit wildlife trade include demand by collectors for exotic pets and trophies, and by consumers for exotic meats, medicine, fashion, and other animal products. Gender norms, roles and stereotypes about masculinity and femininity are integral to*

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<sup>40</sup> General Guidelines for conducting and supporting an analysis mission using the Wildlife and Forest Crime Analytic Toolkit p.3

<sup>41</sup> Toolkit Assessment Nepal p.70-73

<sup>42</sup> Ibid p.13

<sup>43</sup> Gender Brief for UNODC on mainstreaming gender in Health and Livelihood projects, p.12

*the marketing and sales of these products*".<sup>44</sup> These documents both highlight the need for a gender mainstreamed approach but also the challenges in so doing.

In updating the Analytic Toolkit careful consideration should be given to how gender issues connected to WLFC can be incorporated into the Toolkit and accompanying Indicator Framework (IF). The Gender Brief does give some potential, generic indicators which could be adapted for Toolkit assessment purposes. An example of a qualitative indicator is stated as "*Measure women and men's experiences, opinions, perceptions, and judgments*" and data collection is to be achieved through "*participatory methodologies such as focus group discussions...*"<sup>45</sup> Given that the Toolkit assessment process brings together a 'focus group' for the IF, adding a gender component and using that forum to collect data might be an option. There needs to be more done than counting the number of female and male participants at training events, or the number of female prosecutors, rangers, etc., and attempting to encourage an equitable gender balance.

There was a general agreement within UNODC and donor stakeholder groups that more needed to be done in this area and that a clearer strategy should be developed, but very few could imagine how this might be achieved. One suggestion was to have a summit on the role of women in the wildlife arena and another suggested that a network of women in fisheries law enforcement could be created and supported. Whilst these are commendable, they are not Analytic Toolkit assessment-specific and the challenge for incorporating gender into any new Analytic Toolkit assessment process will be like that for human rights mainstreaming, i.e. obtaining expert guidance on how that can be achieved. Consultants and experts charged with conducting and writing the report need far greater guidance on how human rights and gender should be addressed within the assessment.

### **SUMMARY – HUMAN RIGHTS, GENDER EQUALITY AND LEAVING NO ONE BEHIND**

Whilst UNODC and the ICCWC partners understand the need for the Toolkit assessment process to recognise and – where possible – mainstream human rights and gender equality, there is a distinct lack of guidance, advice and / or instruction on how this could be meaningfully achieved. There is also an apparent lack of relevant research on those issues regarding the specifics of how they impact upon wildlife and forest crime. The revised Analytic Toolkit will need to offer greater guidance to those charged with implementing the Toolkit assessment process on how Human Rights and gender considerations should be addressed.

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<sup>44</sup> Gender Brief for UNODC Staff on mainstreaming gender in Organised Crime and Illicit Trafficking p.14

<sup>45</sup> Gender Brief for UNODC on mainstreaming gender in Health and Livelihood projects, p.8

### III. CONCLUSIONS

#### COVID-19

As noted previously the data collection and analysis for this evaluation was completed before the potential impact of the COVID-19 global pandemic on future Toolkit assessments was realised. In discussion with the IES and the GP Analytic Toolkit Project Team (after the completion of the first draft of the evaluation report) an attempt has been made to ensure the recommendations are achievable taking account of the global effects of the pandemic. It should be noted that a **human health dimension** has been added to recommendation No.1 based upon the feedback given to the evaluators by the GP Analytic Toolkit project team after completion of the first draft of this report.

Since its inception in 2012, the Analytic Toolkit has proven popular. So far, 12 Member States have completed the assessment process, with a further 12 requested and at various stages in the process. It has also proven successful in bringing appropriate national entities together and collaborating in a multi-agency approach to assist in the delivery of the Toolkit Assessment Report. In so doing, the process highlights key areas of Wildlife and Forest Crime (WLFC) to national and international actors and stakeholders, thereby increasing visibility of the issues and providing potential solutions by building upon the relationships established during the process. Using the assessment process to create the time and space for multi-agency partnerships at a national level between the different bodies involved in tackling WLFC is one of the Analytic Toolkit's greatest benefits.

The development of the Indicator Framework (IF), with its launch in 2016, has also been welcomed by those States that have deployed it to date. Whilst the IF and the Analytic Toolkit can be delivered as stand-alone products, utilising the IF in parallel with the Analytic Toolkit appears to offer increased benefits. By enhancing the linkages between the IF and the Analytic Toolkit it will be easier to promote the advantages of committing to the development of both products simultaneously.

The Analytic Toolkit has not been revised since 2012. In the intervening time, the landscape of global WLFC has altered. The Toolkit needs to reflect these changes. Areas such as corruption and money laundering (which could be included in the 'drivers and prevention' section), fisheries crime, and forest crime need to be more fully addressed and reflected in the Toolkit to ensure continued relevance. Additionally, there appears to be difficulty in providing an adequately populated section on 'data and analysis' and the value of having this as a separate section must be questioned.

The impact of the Toolkit assessment report is dependent upon many factors. Primary among those is the quality of the report itself, which is partially dependent on the skills, abilities and experience of the consultant(s) used in the research and writing of the assessment report. To date, little structured and consistent advice or guidance has been given to consultants contracted to provide those services. This has resulted in assessment reports that have varied in length, structure, emphasis and style. Whilst the quality remains of a relatively high standard, a more standardised approach would increase efficiency, quality and utility. Along with a lack of structured guidance, there is no structured mechanism to capture feedback after each assessment is completed. There is no results analysis from which lessons learned and good practice can be distilled.

Each assessment report provides recommendations and – with recent Toolkit assessments – an Action Plan to implement those recommendations. There are varied levels of uptake and commitment to the implementation of the Action Plan. This is partially the result of national stakeholders not taking ownership of those recommendations, nor having the resources to implement them. Yet it is also partially a result of far too many recommendations being provided and many of those being unrealistic. More realistic and achievable recommendations within the Action Plan would encourage greater national ownership and implementation.

The Analytic Toolkit was developed by the five partners<sup>46</sup> of the ICCWC and the original concept was for all five partners to bring their own areas of expertise or resources to the Toolkit assessment process. Over the years however, owing mostly to funding and other resource issues, UNODC has taken *de facto* ownership of the Analytic Toolkit development and implementation. This has left the ICCWC partnership less engaged than was originally planned, with an unbalanced input from the partners. This, in turn, means the assessment process misses the value that the non-UNODC partners can provide. It is encouraging to note that the ICCWC partners have recently recognised this deficiency and that steps are being taken to rectify this situation.

The Analytic Toolkit has a strong focus on international trade in wild animals and plants, which is regulated under the Convention on International Trade in Endangered Species of Wild Fauna and Flora. This focus is probably enhanced by the institutional arrangements: the CITES Secretariat serves as the Chair of the ICCWC Senior Experts Group; and responsibility for requesting implementation of a Toolkit assessment rests with the national CITES Management Authority (MA). The CITES MA is however not necessarily considered as part of the law enforcement community and, in these cases, that perspective may also influence how Toolkit assessments are perceived, and where responsibility lays. If the assessments are to have a positive impact, it is essential that the law enforcement community is fully engaged in the process, takes ownership of the outcome and is involved in a coordinated follow-up.

Human Rights (HR) and gender considerations run through all that the United Nations does. The Global Programme (GP) on WLCFC has taken clear steps to try and understand how these aspects fit within the WLCFC environment and thereby find mechanisms to mainstream HR and gender into their GP. UNODC's Programme Management Team for the Analytic Toolkit has understood this approach and tried to learn from GP work in these areas. However, there is little evidence of HR and gender being methodologically considered during the Analytic Toolkit assessment process. Greater work must be done with each assessment to evidence these aspects have been considered, thus being able to justify their (non)inclusion in the assessment process.

Overall, the Analytic Toolkit along with the Indicator Framework has proven successful. It continues to attract donor funding and requests for implementation from numerous Member States. The value of each national report lies not only in the quality of the output but also in the partnerships that the process helps to form, both nationally and internationally. Improvements can be made to the Toolkit itself, the assessment writing process, the action plan implementation, and the partnership approach, which will increase the value of the product.

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<sup>46</sup> ICCWC members are United Nations Office on Drugs and Crime (UNODC), the Secretariat of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), the International Criminal Police Organization (INTERPOL), The World Customs Organization (WCO), and the World Bank

## IV. RECOMMENDATIONS

### RECOMMENDATION 1 – TOOLKIT DESIGN

The Toolkit has not been redesigned since its inception in 2012. Since then the Wildlife and Forest Crime (WLFC) environment has changed and there is a need for the Toolkit to reflect those changes.

- *UNODC GPWLFC Analytic Toolkit Project Management Team* should incorporate specific sections in the Analytic Toolkit on a) corruption, b) money laundering, c) cybercrime, d) fisheries crime, and e) forestry crime. Fisheries and / or forestry crime can be completed if appropriate to the country. The current section on 'Data and Analysis' should be incorporated as a sub-heading in the other sections. The current section on 'Drivers and Prevention' should be expanded to include i) alternative livelihoods under 'Social capacity-building', ii) the effects of wildlife trade on human health under 'Trade and legal markets', and iii) 'Other considerations' which will capture newly emerging trends and threats. This redesign should provide a report template with standardised sections to ensure each assessment report has the same basic structure. (Suggested implementation period: 6 months)

### RECOMMENDATION 2 - PARTNERSHIP

The International Consortium on Combating Wildlife Crime (ICWC) partners are not fully contributing to the assessment process and their subject matter expertise is being lost, thus reducing the overall quality and potential impact of the final product.

- *UNODC GPWLFC Analytic Toolkit Project Management Team* should confirm with all ICWC partners their commitment to the Toolkit assessment process and the provision of support as required throughout the assessment process. (Suggested implementation period: 12 months)

### RECOMMENDATION 3 – INDICATOR FRAMEWORK

The Indicator Framework (IF) was developed and introduced in 2016 and has proved popular and effective. There is currently no specific requirement to run the IF and the Toolkit assessment together, however, there appears to be benefit in so doing.

- *UNODC GPWLFC Analytic Toolkit Project Management Team* should advise that all new country applications for Toolkit assessments should run the Indicator Framework within the Toolkit assessment process. This advice can be disregarded in cases where beneficiary needs and objectives would be better addressed by implementation of the IF alone. In discussion with the ICWC partnership the IF should be expanded to include a differentiation between wildlife and forest crime, include an 'unable to answer' option, and should reflect the section headings of the revised Toolkit assessment, thereby creating a mechanism that provides a tangible and complementary link between the two products. (Suggested implementation period: 6 months)

### RECOMMENDATION 4 - GUIDANCE

The Toolkit assessment process relies heavily upon the quality and expertise of the consultants employed to write the assessment report. To date, insufficient help and guidance has been provided to this group.

- In parallel with the redesign of the Toolkit assessment process, including the Indicator Framework *UNODC GPWLFC Analytic Toolkit Project Management Team* should develop guidance notes for

consultants charged with conducting the assessments, drawing upon the experience of previous assessment authors. Part of this guidance should include advice on incorporating human rights and gender along with writing recommendations. (Suggested implementation period: 6 months)

### RECOMMENDATION 5 - FEEDBACK

There is no systemic mechanism for learning lessons or identifying good practice from previous assessment processes. To date, this has only been partially achieved through ad-hoc discussions and by using consultants for more than one assessment, thereby benefiting from their previous experiences.

- *UNODC GPWLFC Analytic Toolkit Project Management Team* should add a ‘ninth step’ in the assessment process, namely a ‘structured debrief’ of consultants and others integrally involved in the assessment process to learn lessons and identify good practice. (Suggested implementation period: 12 months)

### RECOMMENDATION 6 – ACTION PLAN

The development of recommendations and an action plan from the Toolkit assessment process is not expressly required but is generally supplied. In many instances there are too many recommendations, they are not always realistic and there is a lack of clarity on the ownership of the action plan to implement those recommendations. This can lead to ineffective action.

- In discussion with the ICCWC partnership, *UNODC GPWLFC Analytic Toolkit Project Management Team* should provide guidance for national partners on the ownership, implementation, and follow-up of the action plan. This may include obtaining feedback from relevant national partners of their willingness and ability to commit to action plan implementation and review. (Suggested implementation period: 12 months)

### RECOMMENDATION 7 – HUMAN RIGHTS AND GENDER

There is no structured approach to integrating human rights and gender issues into the Toolkit assessment process. Whilst the Global Programme (GP) on WLFC does have some guidance, it is unclear how (or if) this can be replicated within the Toolkit.

- In discussion with the ICCWC partnership and relevant human rights and gender resources within the United Nations family, including UNODC’s human rights and gender focal points, *UNODC GPWLFC Analytic Toolkit Project Management Team* should identify how these issues should be accounted for in the Toolkit assessment process. (Suggested implementation period: 6 months)

# V. LESSONS LEARNED AND BEST PRACTICES

## LESSONS LEARNED

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The Toolkit failed to maintain the continued, practical assistance and commitment of all the founding ICCWC partners. This was due in large part to UNODC taking *de-facto* ownership of the process and the other ICCWC partners perceiving this as a UNODC project. The need to ensure all partners are fully included has been recognised and the most recent ICCWC meeting in January 2020 has produced a commitment to a more united approach.

## BEST PRACTICES

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The Toolkit assessment and its initial development involved and engaged the most appropriate international actors utilising their technical expertise and deploying an existing governance structure via the CITES Secretariat. The Toolkit itself encouraged the participation of relevant international and national stakeholders through the eight-step process, which recognises the importance of tailoring the assessment to the national context. To this end, the development and deployment of the Indicator Framework in parallel with the Toolkit assessment has increased the utility of the reporting.

The quality of each assessment report relies to a great extent on the quality of consultants employed to conduct and write the assessment. The GP has recognised this and has tried to identify suitably qualified consultants to add to its pool.

The Toolkit process is good at bringing together relevant national actors, improving national visibility of wildlife crime issues, and improving the general understanding of multiple stakeholders of the impact of wildlife crime. The Toolkit assessment process has ensured that this approach continues both with new assessments and the implementation of the Indicator Framework approach.

## ANNEX I: EVALUATION FOLLOW-UP PLAN AND MANAGEMENT RESPONSE

Recommendation (incl. recipient)	Management Response (accepted, partially accepted or rejected)	Brief justification	Follow-up action	Responsible Manager and alternate person	End date for implementation of follow-up action
<p>1: <b>Toolkit Design:</b> <i>UNODC GPWLFC Analytic Toolkit Project Management Team</i> should incorporate specific sections in the Analytic Toolkit on a) corruption, b) money laundering, c) cybercrime, d) fisheries crime, and e) forestry crime. Fisheries and / or forestry crime can be completed if appropriate to the country. The current section on 'Data and Analysis' should be incorporated as a sub-heading in the other sections. The current section on 'Drivers and Prevention' should be expanded to include i) alternative livelihoods under 'Social capacity-building', ii) the effects of wildlife trade on human health under 'Trade and legal markets', and iii) 'Other considerations' which will capture newly emerging trends and threats. This redesign should provide a report template with standardised sections to ensure each assessment report has the same basic structure</p>	Accepted		<p>During the Toolkit update process, we'll take the due consideration of the evaluators' recommendations to ensure that the Toolkit most accurately and comprehensively reflects the sessions mentioned. There are other considerations to be made as well, such as incorporating corruption and AML in a section entitled "corruption and economic crime" (which would be in line with the language used within UNODC "CEB-Corruption and Economic Crime Branch"). There may not be a need for separate sections on forest and fisheries crime rather considering subsections. These amendments will be considered through the Expert Group consultations and expert review. Therefore, we suggest that the new sections on fisheries and forest do not need to be addressed as separate sections, but could be considered subsections of sections 1,2 and 3. This way, when implementing the toolkit, the relevant subsection "for Forestry and Fisheries are completed but within the Sections 1-2&amp;3.</p>	<p>Jorge Rios/Jenna Dawson Faber/Olga Kuzmianok</p>	31/12/2021

INDEPENDENT PROJECT EVALUATION OF THE ANALYTIC TOOLKIT

<p>2: <b>Partnership:</b> <i>UNODC GPWLFC Analytic Toolkit Project Management Team</i> should confirm with all ICCWC partners their commitment to the Toolkit assessment process and the provision of support as required throughout the assessment process.</p>	<p>Accepted</p>	<p>Noted, the next Toolkit assessment is planned in Nigeria and all 5 ICCWC Partners are on board</p>	<p>UNODC had discussed this with other ICCWC partners and the aligned process will be implemented in Nigeria as the next Toolkit country</p>	<p>Jorge Rios/Jenna Dawson Faber/Olga Kuzmianok</p>	<p>31/03/2021</p>
<p>3: <b>Indicator Framework:</b> <i>UNODC GPWLFC Analytic Toolkit Project Management Team</i> should advise that all new country applications for Toolkit assessments should run the Indicator Framework within the Toolkit assessment process. This advice can be disregarded in cases where beneficiary needs and objectives would be better addressed by implementation of the IF alone. In discussion with the ICCWC partnership the IF should be expanded to include a differentiation between wildlife and forest crime, include an 'unable to answer' option, and should reflect the section headings of the revised Toolkit assessment, thereby creating a mechanism that provides a tangible and complementary link between the two products.</p>	<p>Accepted</p>		<p>UNODC together with ICCWC partners has started the implementation of both Toolkit and IF concurrently, with IF being implemented first, or at times, the country deciding to implement the IF only. We take note of updating the methodology with "unable to answer" option and will update it for all future IF assessments, onwards. We will ensure that the headings of the two products are properly communicated and aligned</p>	<p>Jorge Rios/Jenna Dawson Faber/Olga Kuzmianok</p>	<p>31/12/2021</p>

INDEPENDENT PROJECT EVALUATION OF THE ANALYTIC TOOLKIT

<p>4: <b>Guidance:</b> In parallel with the redesign of the Toolkit assessment process, including the Indicator Framework, <i>UNODC GPWLFC Analytic Toolkit Project Management Team</i> should develop guidance notes for consultants charged with conducting the assessments, drawing upon the experience of previous assessment authors. Part of this guidance should include advice on how to incorporate human rights and gender along with instruction on recommendation writing</p>	<p>Accepted</p>		<p>Prior to the next Toolkit assessment, tentatively planned in April 2021</p>	<p>Jorge Rios/Jenna Dawson Faber/Olga Kuzmianok</p>	<p>31/03/2021</p>
<p>5: <b>Feedback:</b> <i>UNODC GPWLFC Analytic Toolkit Project Management Team</i> should add a 'ninth step' in the assessment process, namely a 'structured debrief' of consultants and others integrally involved in the assessment process to learn lessons and identify good practice.</p>	<p>Accepted</p>		<p>We will include the debrief of consultants for all future Toolkits</p>	<p>Jorge Rios/Jenna Dawson Faber/Olga Kuzmianok</p>	<p>31/03/2021</p>
<p>6: <b>Action Plan:</b> In discussion with the ICCWC partnership, <i>UNODC GPWLFC Analytic Toolkit Project Management Team</i> should provide guidance for national partners on the ownership, implementation, and follow-up of the action plan. This may include obtaining feedback from relevant national partners of their willingness and ability to commit to action plan implementation and review.</p>	<p>Accepted</p>		<p>UNODC and other ICCWC partners will make the role of the action plan more explicit in all upcoming Toolkit evaluations, with the next one tentatively scheduled</p>	<p>Jorge Rios/Jenna Dawson Faber/Olga Kuzmianok</p>	<p>31/03/2021 &amp; ongoing</p>

INDEPENDENT PROJECT EVALUATION OF THE ANALYTIC TOOLKIT

<p>7: <b>Human Rights and Gender:</b> In discussion with the ICCWC partnership and relevant human rights and gender resources within the United Nations family, including UNODC's human rights and gender focal points, <i>UNODC GPWLFC Analytic Toolkit Project Management Team</i> should identify how these issues should be accounted for in the Toolkit assessment process.</p>	<p>Accepted</p>		<p>This information will be included in the Toolkit update process</p>	<p>Jorge Rios/Jenna Dawson Faber/Olga Kuzmianok</p>	<p>31/12/2021</p>
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## ANNEX II: TERMS OF REFERENCE

### BACKGROUND AND CONTEXT

Project number:	GLOZ31
Project title:	Global Programme for Combating Wildlife and Forest Crime (GP WLFC)
Duration:	8 years
Location:	Global
Linkages to Country, Regional and Thematic Programmes:	Indonesia Country Programme (2012-2015), Myanmar Country Programme (2014-2017), Regional Programmes for South Asia; Central America; East Asia and the Pacific; South Eastern Europe; East Africa; West Africa; Southern Africa, Arab States
Executing Agency:	UNODC/Sustainable Livelihoods Unit (SLU)
Partner Organizations:	Relevant criminal justice system actors of beneficiary States, CITES, CMS, FAO, INTERPOL, TRACE Network, TRAFFIC, UNDP, UNEP, WCO, the World Bank, WWF
Total Overall Budget	USD \$77,027,525
Donors:	Belgium, CITES, European Union, France, Germany, INTERPOL, Norway, United Kingdom, United States of America, World Bank Group
Project Manager/Coordinator:	Jorge Eduardo Rios, Chief, Global Programme for Combating Wildlife and Forest Crime
Type and time frame of evaluation: (Independent Project Evaluation/In-depth Evaluation/mid-term/final)	Independent Project Evaluation
Timeframe of the project covered by the evaluation:	May 2014 – December 2018
Geographical coverage of the evaluation:	Global
Budget for this evaluation:	USD 35,000

Type and year of past evaluations (if any):	n/a
Core Learning Partners <sup>47</sup> (entities):	Kenya Wildlife Service, CITES Secretariat, World Bank, UNODC (CCP programme), TRACE Network, Tanzania Director of Public Prosecutions, NGO Space for Giants, Lao PDR police, Thai customs, Botswana

## Project overview and historical context

Wildlife and forest crime (WLFC) is a serious and growing problem. The illegal trade in wild fauna and flora is highly lucrative. A consequence of poaching, particularly for elephant ivory and rhinoceros horn but also lesser known species such as pangolin, is resulting in wildlife populations becoming severely depleted and endangered. Illegal logging and the international trade in illegally logged timber contributes to deforestation and serious long-term environmental damage, endangering sustainable development in some of the poorest countries. The Global Programme (GP) serves to deliver a range of technical assistance activities within several thematic areas towards achieving the key project objective of strengthening capacity to prevent and combat WLFC on a regional, national and local basis. The GP also addresses awareness raising of WLFC among different stakeholders at the global and regional levels, including civil society, aimed to contribute to the reduction of demand for wild fauna and flora.

The programme is aimed to result in the improved cooperation and capacity of Member States to work, locally, nationally and internationally, to prevent and combat WLFC and other forms of serious and organized crime.

One of the main tools central to the programme implementation is the Wildlife and Forest Crime Analytic Toolkit, a tool developed jointly by UNODC in partnership with the members of the International Consortium on Combating Wildlife Crime (ICWC)<sup>48</sup> to review the national capacity of a Member State to respond to wildlife and forest crime. The Toolkit aims to provide evidence-based situational analysis of the preventive, law enforcement, prosecutorial response to the crime, review data gathering and analysis processes, identify gaps and provide recommendations to be implemented in the short and long-term to address wildlife and forest crime.

The Toolkit has been recognized as an important evidence-based tool in a number of resolutions and international commitments<sup>49</sup>.

The outcome of the analysis process is a Toolkit Analysis Report which helps to design a tailor-made action plan for national capacity-building and technical assistance delivery, outlining efforts required to strengthen all stages of the criminal justice and preventive response to illicit wildlife and timber trafficking. Over 20 countries have submitted formal Toolkit implementation requests and 10 more countries have expressed interest to conduct the assessment, with formal requests currently underway

<sup>47</sup> The CLPs are the main stakeholders, i.e. a limited number of those deemed as particularly relevant to be involved throughout the evaluation process, i.e. in reviewing and commenting on the TOR and the evaluation questions, reviewing and commenting on the draft evaluation report, as well as facilitating the dissemination and application of the results and other follow-up action. Stakeholders include all those to be invited to participate in the interviews and surveys, including the CLPs.

<sup>48</sup> ICWC members are UNODC, CITES (the Convention on International Trade in Endangered Species of Wild Fauna and Flora), INTERPOL, the World Customs Organization (WCO), the World Bank

<sup>49</sup> Including the 5th Commission on Crime Prevention and Criminal Justice Resolution “Crime prevention and criminal justice responses to illicit trafficking in protected species of wild fauna and flora” (E/2013/30) and the subsequent Resolution 2013/40 adopted by the Economic and Social Council, requesting UNODC, “in coordination with other members of the International Consortium, to support Member States in the implementation of the toolkit to analyse the capacity of national wildlife and forest law enforcement authorities and the judiciary in investigating, prosecuting and adjudicating cases of wildlife and forest offences, with the aim of developing technical assistance and capacity-building activities and enhancing the capacity of Member States to address transnational organised wildlife and forest crimes”.

The Toolkit document was developed in 2012 and as a vital element of the GPWLFC’s evidence-based programming, it is important to review its implementation, effectiveness and efficiency to date. Outcome 5 of the Global Programme focuses on data collection, analysis and reporting, and covers the implementation of the Toolkit (output 5.2); as such, the independent evaluation will therefore focus specifically on this outcome/output 5.2.

### Project documents and revisions of the original project document

Project document	Year	Please provide general information regarding the original project document.	
GLOZ31	5/2014	<i>The original project document set a budget of USD10mln with the 4-year implementation period</i>	
Project revision	Year	Reason & purpose	Change in (please check)
1	12/2014	The project revision a) reflects staffing changes and reclassifications and b) elaborates on output 5.1 in the logframe	<input checked="" type="checkbox"/> Budget <input checked="" type="checkbox"/> Logframe
2	11/2015	The project revision a) reflects a budgetary increase to USD 16 million, b) updates staffing requirements, c) extends the timeframe and d) updates the logframe to ensure better integration with Umoja	<input checked="" type="checkbox"/> Budget <input checked="" type="checkbox"/> Timeframe <input checked="" type="checkbox"/> Logframe
3	12/2016	The project revision a) reflects budgetary increase to USD 20 million; b) updates staffing requirements,	<input checked="" type="checkbox"/> Budget
4	04/2018	The project revision a) reflects budgetary increase to USD 76 million, b) updates staffing requirements, c) extends the time frame and d) updates the logframe to ensure better alignment with SDGs and simplified RBM principles	<input checked="" type="checkbox"/> Budget <input checked="" type="checkbox"/> Timeframe <input checked="" type="checkbox"/> Logframe
5	08/2018	The project revision a) reflects a budgetary increase to USD 77 million, b) updates staffing requirements	<input checked="" type="checkbox"/> Budget

### Main objectives and outcomes

The objective of the Global Programme for Combating Wildlife and Forest Crime is:

<b>Objective:</b>	Member States more effectively prevent, identify, investigate, prosecute and adjudicate wildlife, forest and fisheries crime related offences as well as other environmental crimes.
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## INDEPENDENT PROJECT EVALUATION OF THE ANALYTIC TOOLKIT

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Performance indicators:	Proportion of traded wildlife that was poached or illicitly trafficked (SDG target 15.c.1) Baseline: Unknown (2018) Target: Decrease in proportion of poached or illicitly trafficked selected species of wildlife by the end of 2022
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The outcomes of the Global Programme are:

<b>Outcome 1:</b>	National policies and legislation to effectively investigate, prosecute and adjudicate WLFC adopted
Performance indicators:	Number of Member States that have adopted domestic WLFC legal and policy frameworks as a direct result of UNODC intervention Baseline: 2 (Lao PDR and Viet Nam) by end 2017 Target: 6 by end of 2022
<b>Outcome 2:</b>	WLFC effectively investigated, prosecuted and adjudicated
Performance indicators:	Number of WLFC cases investigated Baseline: Unknown at end of 2017 Target: 10 by end of 2022  Number of WLFC cases prosecuted Baseline: Unknown at end of 2017 Target: 10 by end of 2022  Number of WLFC cases adjudicated Baseline: Unknown at end of 2017 Target: 10 by end of 2022
<b>Outcome 3:</b>	International cooperation and intelligence exchange on WLFC through regional, sub-regional and local networks between law enforcement, prosecutorial, judicial agencies and other relevant actors strengthened
Performance indicators:	Increase in the number of international investigations and operations, and prosecutions, related to WLFC.  Baseline: 3 (Cobra I, II and III) at end of 2017 Target: Additional 3 (total 6) by 2022
<b>Outcome 4:</b>	Illicit supply of WLFC products in Member States is reduced
Performance indicators:	Decrease in sales of WLFC products Baseline: Unknown Target: TBC
<b>Outcome 5:</b>	Member States have a better understanding of their criminal justice and preventive responses related to WLFC
Performance indicators:	Number of assessments conducted, including global research, Toolkits, rapid assessments, etc.  Baseline: 12 assessments conducted at end of 2017 (World Wildlife Crime Report; Toolkits in Bangladesh, Botswana, Gabon, Mexico, Mozambique, Nepal, Peru, Tanzania, Viet Nam; Rapid assessments in Malaysia and Thailand) Target: 8 more (total 20) assessments conducted by end 2022
<b>Outcome 6:</b>	Awareness raising and advocacy campaigns focused on combating WLFC implemented
Performance indicators:	Number of public awareness campaigns on WLFC implemented Baseline: 2 at end 2017 (ICWC PSA; One-UN global campaign)

	Target: support 1 per year
Outcome 7:	Implement activities under designed results of funding agreements
Performance indicators:	Co-delegates of EU Action "Cross-Regional Wildlife Conservation in Eastern and Southern Africa and the Indian Ocean" deliver results they are responsible for under the EU Description of the Action (CMS & CITES)

The fourth revision (mid-2018) amended the indicators, baselines and targets to reflect RBM principles and to take into account the SDGs and the programme growth; measurement against earlier indicators (2014-mid 2018) will be made against the baselines at the beginning of the project. Measurement against the new indicators (mid-2018 onwards) will take place against baselines that were established at the end of 2017.

## Contribution to UNODC’s country, regional or thematic programme

In the design and delivery of GP activities, the GP reinforced the efforts to combat WLFC made under the regional programmes for South Asia; for Central America; for East Asia and Pacific; for South Eastern Europe; Eastern Africa; West Africa; Southern Africa and Arab States.

For instance, in the UNODC Regional Programme for South East Asia (2014-2017), Subprogramme 1 on Transnational Organized Crime and Illicit Trafficking, various WLFC activities were implemented. Under outcome 1.4, activities addressing WLFC included strengthening of policy, legislative and regulatory frameworks; enhancing knowledge and skills to investigate and prosecute related criminal activities; awareness raising and advocacy activities; support of mechanisms for regional cooperation among law enforcement agencies. The GP supports the implementation of these activities. Additionally, the Regional Anti-Corruption Adviser based in Bangkok has supported the development of trainings where the element of corruption is involved.

Similarly, in Africa the programmatic activities in WLFC have supported implementation of Sub-Programme 1 related to transnational organized crime and the countering of illicit trafficking of the Regional Programmes for Eastern Africa (2009-2015; 2015-2021), West Africa (2010-2014, 2016-2020) and Southern Africa (2013-2016). Given the number of crime-specific initiatives that UNODC is undertaking in Africa (including addressing piracy, illicit trafficking, money laundering and wildlife crime) under the sub-programme on organized crime and illicit trafficking of the various Regional Programmes, the Global Programme on WLFC has closely coordinated with the various Regional Offices.

The UNODC Country Programme for Indonesia (2012-2015), under Sub-Programme 1, outcome 1.4 refers to the identification and effective addressing of crimes associated with forests and wildlife, including activities such as awareness-raising and training for law enforcement officers and specialized officials, establishment of cross-border mechanisms and cooperation, enhancement of civil society engagement for the reporting on wildlife crime as well as sustainable livelihoods strategies for the reduction of forest encroachment and illegal logging. Similarly, the UNODC Country Programme for Myanmar (2014-2017), under Sub-Programme 1, outcome 1.5, also calls for increased action to fight wildlife and forest crime.

## Linkage to UNODC strategic framework, UNDAFs and to Sustainable Development Goals

The GP is in line with the following UNODC Strategic Framework Sub programmes:

Sub programme 1: Countering transnational organized crime and illicit drug trafficking

Expected accomplishment: Increased regional and international cooperation in combating transnational organized crime, illicit trafficking and illicit drug trafficking with the assistance of UNODC in accordance with its mandate

Sub programme 2: Prevention, treatment and reintegration, and alternative development

Expected accomplishment: Improved capacity to provide, with the assistance of UNODC, upon request, sustainable livelihoods (basic social assistance) to populations vulnerable to drug dependence and crime as a result of social and economic marginalization.

Sub-Programme 3: Countering Corruption

Expected outcome: Improved capacity of UNODC to support Member States preventing and fighting corruption in line with the United Nations Convention against Corruption and to address economic fraud and identity-related crime.

Sub programme 5: Justice

Expected accomplishment: Crime prevention and criminal justice system reform initiatives within UNODC’s mandate are developed and implemented in accordance with international standards and norms in crime prevention and criminal justice.

Sub programme 6: Research and trend analysis

Expected accomplishment: Increased capacity to produce and analyse statistical data on trends including those in emerging drug and specific crime issues. Improved scientific and forensic capacity to meet appropriate professional standards, including increased use of scientific information and laboratory data for inter-agency cooperation activities and in strategic operations, policy and decision-making as related to WLFC.

Sub programme 7: Policy Support

Expected accomplishment: Increased public awareness of issues related to drugs, crime and terrorism in all its forms and manifestations, as well as of the relevant United Nations legal instruments, standards and norms in crime prevention and criminal justice.

## Sustainable Development Goals (SDGs)

The programme was developed before the adoption of SDGs; through the subsequent project revisions and UNODC’s adoption of the lead role on reporting against the target 15.7, the programme has fully incorporated the SDG priorities. Specifically, the programme directly contributes to the following SDGs: goal 14 “Life below water” which aims to conserve and sustainably use the oceans, seas and marine resources for sustainable development”, goal 15 “Life on land” which aims to protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification. SDG15, namely target 15.7 sets to end poaching and trafficking of wildlife, and UNODC is the lead organization in the UN system on the monitoring and reporting of the progress of global indicators for this target. The outcome indicator for the GP has been amended to directly reflect target SDG 15.7.1/15.c.1. Lastly, goal 16 “Peace, justice and strong institutions” which aims to promote just, peaceful and inclusive societies, is also supported by the programme, with a focus on rule of law, as well as targets 16.4 (reduction of illicit financial flows) and 16.5 (reduce corruption and bribery).

## DISBURSEMENT HISTORY

<u>Time period covered by the evaluation</u> (MMYYYY –MMYYYY)	Total Approved Budget	Expenditure	Expenditure in %
May- December 2014	\$2,587,100	\$1,739,218	67% against the TAB released in July 2014

			which equalled the actual planned budgeted for that year. (funds pledged were for biannual period), total pledges collected by end of December \$4,585,258
January- December 2015	\$5,713,765	\$4,390,526	77%- the figure in the TAB reflects the total funding available in 2015 (certified financial report).
January- December 2016	\$4,153,472	\$3,571,986	86% excluding contractual commitments
January- December 2017	\$4,900,270	\$4,263,235	87% excluding contractual commitments
January- December 2018	\$7,347,218	\$5,877,774	80% excluding contractual commitments

## PURPOSE OF THE EVALUATION

### Reasons behind the evaluation taking place

The evaluation will focus on Outcome 5, output 5.2 of the Global Programme looking to review the the relevance, efficiency, effectiveness, innovation in the implementation of the Wildlife and Forest Crime Analytic Toolkit. The Toolkit was developed 7 years ago, and given the multiple changes that took place over the years on the topic it was designed to address, including the escalation of the poaching and trafficking, changing modus operandi of criminal networks behind the crime, as well as taking into the consideration that the interest to implement the Toolkit continues to grow, UNODC would like to use the opportunity to reflect on the Toolkit, consider feedback from partners and to draw on lessons learnt and recommendations from its implementation. The specific objective of the implementation is to therefore:

- measure the degree of implementation, efficiency, relevance and quality of the Wildlife and Forest Crime Analytic Toolkit, assess the extent to which project stakeholders, target groups, and other beneficiaries have benefitted from this Tool;
- provide accountability to Member States and donors by determining whether objectives were met (effectiveness) and resources were wisely utilized (efficiency).

### The main evaluation users

The main evaluation users will include UNODC senior management, programme management, beneficiaries and key partners such as implementing partners and International Consortium to Combat Wildlife Crime (ICWC) partners.

## SCOPE OF THE EVALUATION

Unit of analysis (full project/programme/parts of the project/programme; etc.)	Outcome 5, Output 5.2 of the Global Programme.
Time period of the project/programme covered by the evaluation	5/2014 – 12/2018
Geographical coverage of the evaluation	Targeted regions (Southern and Eastern Africa; Southeast Asia and Latin America where the Toolkit has been implemented. Specific missions will take place to South East Asia (Vietnam) and Southern Africa (Mozambique) to draft detailed case studies of the Toolkit implementation

## KEY EVALUATION QUESTIONS

### Evaluation Criteria

The evaluation will be conducted based on the following DAC criteria: relevance, efficiency, effectiveness, impact and sustainability, as well as partnerships and cooperation, gender and human rights and lessons learned. The questions will be further refined by the Evaluation Team during the inception phase.

<b>Design</b>
<i>Design of a project or programme measures the extent to which: The logical framework approach was adopted, with measurable expected objectives at the country and regional levels, outcomes and outputs, performance indicators, including gender equality and human rights, targets, risks, mitigation measures and assumptions. 2) An appropriate participatory needs assessment and context analysis took place.</i>
1. To what extent was the design based on a needs assessment and context analysis and how could it be further improved?
2. Is the Toolkit fit for purpose in the context of the growing interest in WLFC internationally and UNODC's role therein?
<b>Relevance</b>
<i>Relevance is the extent to which the aid activity is suited to the priorities and policies of the target group, recipient and donor.</i>
1. To what extent have the objective and outcomes of the Toolkit been consistent and relevant with regard to recipients' requirements, country needs, global priorities as well as partners' and donors' policies?
2. What elements would be additionally beneficial to add to (or remove from) the Toolkit to meet the requirements of the beneficiaries?
<b>Efficiency</b>
<i>Efficiency measures the outputs - qualitative and quantitative - in relation to the inputs.</i>
1. To what extent have the resources/inputs (funds, expertise, staff time, etc) been converted to outputs in a timely and cost-effective manner?
2. To what extent could the efficiency of the Toolkit be further improved?

<b>Effectiveness</b>
<i>Effectiveness is a measure of the extent to which an aid activity attains its objectives.</i>
1. To what extent has progress been made towards achieving outcome 5, output 5.2 of the programme?
2. What are the reasons for achievement or non-achievement of the programme objective and outcomes?
<b>Impact</b>
<i>Impact is the positive and negative changes produced by a development intervention, directly or indirectly, intended or unintended.</i>
1. So far, to what extent has the programme contributed to the recipient governments' efforts to build evidence-based responses and measures to address wildlife and forest crime?
<b>Sustainability</b>
<i>Sustainability is concerned with measuring whether the benefits of an activity are likely to continue after donor funding has been withdrawn.</i>
1. How has the Toolkit process shaped recipient governments' awareness and response to wildlife and forest crime?
<b>Partnerships and cooperation</b>
<i>The evaluation assesses the partnerships and cooperation established during the project/ programme as well as their functioning and value.</i>
1. To what extent have roles and responsibilities in terms of partnerships and cooperation been clearly defined, realistically set up and fulfilled in this programme?
<b>Human rights</b>
<i>The evaluation needs to assess the mainstreaming of human rights aspects throughout the project/ programme.</i>
1. To what extent were human rights mainstreamed in the development and implementation of the Toolkit?
2. How could human rights be further mainstreamed in the design and implementation of the programme?
<b>Gender</b>
<i>The evaluation needs to assess the mainstreaming of gender aspects throughout the project/ programme.</i>
1. To what extent were gender aspects mainstreamed in the development and implementation of the Toolkit?
2. How could gender aspects be further mainstreamed in the design and implementation of the Toolkit?
<b>Lessons learned and best practices</b>
<i>Lessons learned concern the learning experiences and insights that were gained throughout the project/ programme.</i>
1. What lessons can be learned from the Toolkit implementation in order to improve performance, results and effectiveness in the future?

## EVALUATION METHODOLOGY

### The methods used to collect and analyse data

#### The methods used to collect and analyse data

This evaluation will use methodologies and techniques as determined by the specific needs for information, the questions set out in the TOR and the availability of stakeholders. In all cases, the evaluation team is expected to analyse all relevant information sources, such as reports, programme documents, thematic programmes, internal review reports, programme files, evaluation reports (if available), financial reports and any other documents that may provide further evidence for triangulation, on which their conclusions will be

based. The evaluation team is also expected to use interviews, surveys or any other relevant quantitative and/or qualitative tools to collect relevant data for the evaluation. While maintaining independence, the evaluation will be carried out based on a participatory approach, which seeks the views and assessments of all parties identified as the key stakeholders of the project/ programme, the Core Learning Partners (CLP).

The present ToR provides basic information as regards to the methodology, which should not be understood as exhaustive. It is rather meant to guide the evaluation team in elaborating an effective, efficient, and appropriate evaluation methodology that should be proposed, explained and justified in the Inception Report.

In addition, the evaluation team will be asked to present a summarized methodology (including an evaluation matrix) in the Inception Report outlining the evaluation criteria, indicators, sources of information and methods of data collection. The evaluation methodology must conform to the United Nations Evaluation Group (UNEG) Norms and Standards as well as the UNODC Evaluation Policy, Norms and Standards.

While the evaluation team shall fine-tune the methodology for the evaluation in an Inception Report, a mixed-methods approach of qualitative and quantitative methods is mandatory due to its appropriateness to ensure a gender-sensitive, inclusive methodology. Special attention shall be paid to an unbiased and objective approach and the triangulation of sources, methods, data, and theories. Indeed, information stemming from secondary sources will be cross-checked and triangulated through data retrieved from primary research methods. Primary data collection methods need to be gender-sensitive as well as inclusive. The credibility of the data collection and analysis are key to the evaluation.

The limitations to the evaluation need to be identified and discussed by the evaluation team in the Inception Report, e.g. data constraints (such as missing baseline and monitoring data). Potential limitations as well as the chosen mitigating measures should be discussed.

When designing the evaluation data collection tools and instruments, the evaluation team needs to consider the analysis of certain relevant or innovative topics in the form of short case studies, analyses, etc. that would benefit the evaluation results.

**The main elements of the evaluation process are the following:**

- Preliminary desk review of all relevant project documentation (Annex II of the evaluation ToR), as provided by the Project Manager and as further requested by the evaluation team, as well as relevant external documents (e.g. UNDAFs; SDGs; UN and global/regional strategies; etc.);
- Preparation and submission of an Inception Report (containing preliminary findings of the desk review, refined evaluation questions, data collection instruments, sampling strategy, limitations to the evaluation, and timetable) to IES for review and clearance before any field mission may take place;
- Initial meetings and interviews with the Project Manager and other UNODC staff as well as stakeholders during the field mission;
- Interviews (face-to-face or by telephone/skype), with key project stakeholders and beneficiaries, both individually and (as appropriate) in small groups/focus groups, as well as using surveys, questionnaires or any other relevant quantitative and/or qualitative tools as a means to collect relevant data for the evaluation;
- Analysis of all available information;
- Possibly undertaking interviews in small groups/focus groups;
- Case study preparation on the implementation of the Wildlife and Forest Crime Analytic Toolkit (based on two countries)
- Preparation of the draft evaluation report (based on Guidelines for Evaluation Report and Template Report to be found on the IES website <http://www.unodc.org/unodc/en/evaluation/index.html>). The lead evaluator submits the draft report to the Project Manager for the review of factual errors

(copying IES) and the Project Manager shares with IEU for review, comments and clearance. Subsequently the Project Manager shares the final draft report with all CLPs for comments.

- Preparation of the final evaluation report and an Evaluation Brief (2-pager). The evaluation team incorporates the necessary and requested changes and finalizes the evaluation report in accordance with the feedback received from IES, the Project Manager and CLPs. It further includes a PowerPoint presentation on final evaluation findings and recommendations;
- Presentation of final evaluation report with its findings and recommendations to the target audience, stakeholders etc. (in person or if necessary, through Skype).
- In conducting the evaluation, the UNODC and the UNEG Evaluation Norms and Standards are to be taken into account. All tools, norms and templates to be mandatorily used in the evaluation process can be found on the IES website: <http://www.unodc.org/unodc/en/evaluation/index.html>.

### The sources of data

The evaluation will utilize a mixture of primary and secondary sources of data. The primary sources include, among others, interviews with key stakeholders (face-to-face or by telephone), the use of surveys and questionnaires, field missions for case studies, focus group interviews, observation and other participatory techniques. Secondary data sources will include project documents and their revisions, progress and monitoring reports, external reports and strategies (e.g. UNDAFs; SDGs; country/regional/global strategies; etc.) and all other relevant documents, including visual information (e.g. eLearning, pictures, videos, etc.). The evaluation team should identify the specific mix of data collection to best address the evaluation questions, however, the minimum requirements are listed below.

### Desk Review

The evaluation team will perform a desk review of all existing documentation (please see the preliminary list of documents to be consulted in Annex II of the evaluation ToR). This list is however not to be regarded as exhaustive as additional documentation may be requested by the evaluation team. The evaluation team needs to ensure that sufficient external documentation is used for the desk review.

### Phone interviews / face-to-face consultations

The evaluation team will conduct phone interviews / face-to-face consultations with identified individuals from the following groups of stakeholders:

- Member States (including recipients and donors);
- relevant international and regional organizations;
- Non-governmental organizations working with UNODC;
- UNODC management and staff at HQ and in the field;
- Beneficiaries (e.g. Governments, judiciary, customs officials, national institutions, wildlife authorities, environmental crime units financial intelligence units, CITES management authorities).
- Partners of the International Consortium on combating Wildlife Crime

### Questionnaire

A questionnaire (on-line) is to be developed and used in order to help collect the views of additional stakeholders (e.g. trainees, counterparts, partners, etc.), if deemed appropriate.

## CASE STUDY

### The Toolkit

The Wildlife and Forest Crime Analytic Toolkit (the Toolkit) is a technical resource to assist a government in understanding the main issues relating to wildlife and forest crime in their country and analysing the country's preventive and criminal justice response. The Toolkit provides a framework to evaluate the following themes

relevant to combating wildlife and forest crime: legislation; law enforcement; prosecutorial and judicial capacities; drivers and prevention; availability and analysis of data.

The Toolkit forms a major component of the work of UNODC’s GPWLF. UNODC leads the process on behalf of the International Consortium on Combating Wildlife Crime (ICWC), selecting the expert team and organising the in-country analysis mission in collaboration with the government. UNODC drafts the Toolkit report and it is then reviewed by ICWC and national counterparts. From the findings and recommendations of the Toolkit report, a national action plan is developed by UNODC. The action plan identifies key areas to strengthen national responses to wildlife and forest crimes. It is a tailor-made work plan for capacity building and technical assistance that reflects national needs.

A case study of the Toolkit will be conducted based on Asia and Africa country examples (Vietnam and Mozambique) and will include interviews, review of the Toolkit implementation methodology, the relevance of the report, lessons learned and recommendations. The case study will be formative in nature and seek to derive recommendations, best practices and lessons learned, identify areas of improvement and record any achievements reached. The evaluation may further suggest enhanced strategic directions of the Toolkit analysis process as well as the broader UNODC and ICWC programmes to improve efficiency and effectiveness, as well as to strengthen the measurement of future results and impact.

This case study will be undertaken to:

- measure the degree of implementation, efficiency, relevance and quality of the Wildlife and Forest Crime Analytic Toolkit process, including follow up and implementation of the recommendations.

More details on the Toolkit provided here:

<https://www.unodc.org/unodc/en/wildlife-and-forest-crime/wildlife-and-forest-crime-analytic-toolkit.html>

## TIMEFRAME AND DELIVERABLES

<i>Duties</i>	<i>Time frame</i>	<i>Location</i>	<i>Deliverables</i>
Desk review and drafting of Inception Report	3 January-15 January 2019 (9 working days for lead evaluator and 7 wildlife crime expert)	Home base	Draft Inception report in line with UNODC evaluation norms and standards <sup>50</sup>
Review of draft Inception Report by IES	15 January- 24 January (1 week for IES review)		Comments on the draft Inception Report to the evaluation team
Incorporation of comments from IES (can entail various rounds of comments from IES)	24 January - 30 January 2020 (2 w/d for lead evaluator and 1 for wildlife crime expert)	Home base	Revised draft Inception Report

<sup>50</sup> [https://www.unodc.org/unodc/en/evaluation/normative-tools.html#Inception\\_Report](https://www.unodc.org/unodc/en/evaluation/normative-tools.html#Inception_Report)

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Deliverable A: Final Inception Report in line with UNODC evaluation norms, standards, guidelines and templates	By 01.02.2020 (overall 11 w/d for lead evaluator and 8 for the wildlife crime expert)		Final Inception report to be cleared by IES at least one week before the field mission can get started
Evaluation mission: briefing, interviews with staff at UNODC HQ/FO (including by phone/skype); observation; focus groups; presentation of preliminary observations (if applicable), including for the case study	05.02.2020-24.02.2020 – (12 w/d for lead evaluator and 12 w/d for wildlife crime expert)	UNODC/HQ; Bangkok, Thailand (tbc), Hanoi, Vietnam (6 days) Nairobi, Kenya (tbc), Maputo, Mozambique (6 days)	Interviews and data collection
Drafting of the evaluation report; submission to Project Management and IES;	25.02-15.03.2020 (12 w/d for lead evaluator and 10 for wildlife crime expert)	Home base	Draft evaluation report
Review of IES for quality assurance and Project Management for factual errors	15.03-31.03.2020 (2 weeks for review)		Comments on the draft evaluation report to the evaluation team
Consideration of comments from the project manager and incorporation of comments from IES (can entail various rounds of comments from IES)	01.04-09.04.2020 (4 w/d for lead evaluator and 2 for wildlife crime expert + 1 week for IES review)	Home base	Revised draft evaluation report
Deliverable B: Draft Evaluation Report in line with UNODC evaluation norms, standards, guidelines and templates	By 20.04.2020 (overall 28 w/d for lead evaluator and 24 for the wildlife crime expert)		Draft evaluation report, to be cleared by IES
IES to share draft evaluation report with Core Learning Partners for comments	20.04-01.05.2019		Comments of CLPs on the draft report

Consideration of comments from Core Learning Partners and preparation of draft Evaluation Brief	01.05-07.05.2020 (2 w/d for lead evaluator and 1 for wildlife crime expert)	Home base	Revised draft evaluation report
Final review by IES; incorporation of comments and finalization of report and Evaluation Brief (can entail various rounds of comments from IES)	08.05-15.05.2020 (2 w/d for lead evaluator and 1 for wildlife crime expert)	Home base	Revised draft evaluation report; draft Evaluation Brief
Presentation of evaluation results (to be reviewed and cleared by IES)	Tentative: 25 May, 2020 (1 w/d for lead evaluator)		Presentation of evaluation results
Deliverable C: Final evaluation report, including the case study; presentation of evaluation results; Evaluation Brief (2-pager)	By 25.05.2020 (overall 5 w/d for lead evaluator and 2 for wildlife crime expert)		Final evaluation report; Evaluation Brief and presentation of evaluation results, both to be cleared by IES
Project Management: Finalise Evaluation Follow-up Plan online evaluation application	By 30.06.2020		Final Evaluation Follow-up Plan to be cleared by IES
Project Management: Disseminate final evaluation report	By 05.07.2020		Final evaluation report disseminated to internal and external stakeholders
IES: facilitate the external Evaluation Quality Assessment of the Final Report			

*The UNODC Independent Evaluation Section may change the evaluation process, timeline, approach, etc. as necessary at any point throughout the evaluation-process.*

## EVALUATION TEAM COMPOSITION

Role	Number of consultants/ evaluators <sup>51</sup> (national/international)	Specific expertise required <sup>52</sup>
Team leader	1 international consultant	Evaluation methodologies and approaches, including gender responsive and human rights-based approaches

<sup>51</sup> Please note that an evaluation team needs to consist of at least 2 independent evaluators – at least one team leader and one team member.

<sup>52</sup> Please add the specific technical expertise needed (e.g. expertise in anti-corruption; counter terrorism; etc.) – please note that at least one evaluation team member needs to have expertise in human rights and gender equality.

Team members	1 international consultant	Wildlife crime and law enforcement
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This mid-term evaluation envisages an evaluation team consisting of two independent international evaluation consultants, with one acting as the team leader and one expert who will perform their duties, supported by one IES staff assigned to this specific evaluation, as follows:

- 1) One team leader expert on evaluation methodologies and principles, as well as professional technical and progressive expertise in the subject of the evaluation such as wildlife and forest crime, criminal justice, corruption, money laundering, organized crime, alternative development, or other related areas;
- 2) One evaluator expert on wildlife crime and law enforcement matters;
- 3) A staff member from IES (desk review).

The evaluators will not act as representatives of any party and must remain independent and impartial. The qualifications and responsibilities for each evaluator are specified in the respective job descriptions attached to these Terms of Reference (Annex 1). The evaluation team will report exclusively to the chief or deputy chief of the UNODC Independent Evaluation Section, who are the exclusive clearing entity for all evaluation deliverables and products.

## Absence of Conflict of Interest

According to UNODC rules, the evaluators must not have been involved in the design and/or implementation, supervision and coordination of and/or have benefited from the programme/project or theme under evaluation. Furthermore, the evaluators shall respect and follow the UNEG Ethical Guidelines for conducting evaluations in a sensitive and ethical manner.

# MANAGEMENT OF THE EVALUATION PROCESS

## Roles and responsibilities of the Project/Programme Manager

The Project/Programme Manager is responsible for:

- drafting and finalizing the ToR,
- selecting Core Learning Partners (representing a balance of men, women and other marginalised groups) and informing them of their role,
- recruiting the evaluation team following clearance by IES, ensuring issued contracts ahead of the start of the evaluation process in line with the cleared ToR. In case of any delay, IES and the evaluation team are to be immediately notified,
- providing desk review materials (including data and information on men, women and other marginalised groups) to the evaluation team including the full TOR,
- liaising with the Core Learning Partners,
- reviewing the draft report for factual errors only,
- developing a follow-up plan for the usage of the evaluation results and recording of the implementation of the evaluation recommendations (to be updated once per year),
- disseminate the final evaluation report and communicate evaluation results to relevant stakeholders as well as facilitate the presentation of evaluation results;
- ensure that all payments related to the evaluation are fulfilled within 5 working days after IES's request - non-compliance by Project/Programme Management may result in the decision to discontinue the evaluation by IES.

The Project/Programme Manager will be in charge of **providing logistical support** to the evaluation team including arranging the field missions of the evaluation team, including but not limited to:

- All logistical arrangements for the travel (including travel details; DSA-payments; transportation; etc.)
- All logistical arrangement for the meetings/interviews/focus groups/etc., ensuring interview partners adequately represent men, women and other marginalised groups (including independent translator/interpreter if needed); set-up of interview schedules; arrangement of ad-hoc meetings as requested by the evaluation team; transportation from/to the interview venues; scheduling sufficient time for the interviews (around 45 minutes); ensuring that members of the evaluation team and the respective interviewees are present during the interviews; etc.)
- All logistical arrangements for the presentation of the evaluation results;
- Ensure timely payment of all fees/DSA/etc. (payments for the evaluation team must be released within 5 working days after the respective deliverable is cleared by IES).

### Roles and responsibilities of the evaluation stakeholders

Members of the Core Learning Partnership (CLP) are identified by the project/programme managers. The CLPs are the main stakeholders, i.e. a limited number of those deemed as particularly relevant to be involved throughout the evaluation process, i.e. in reviewing and commenting on the TOR and the evaluation questions, reviewing and commenting on the draft evaluation report, as well as facilitating the dissemination and application of the results and other follow-up action. Stakeholders include all those to be invited to participate in the interviews and surveys, including the CLPs.

### Roles and responsibilities of the Independent Evaluation Section

The Independent Evaluation Section (IES) provides mandatory normative tools, guidelines and templates to be used in the evaluation process. Please find the respective tools on the IES web site <http://www.unodc.org/unodc/en/evaluation/evaluation.html>. Furthermore, IES provides guidance, quality assurance and evaluation expertise, as well as interacts with the project manager and the evaluation team throughout the evaluation process. IES may change the evaluation process, timeline, approach, etc. as necessary at any point throughout the evaluation-process.

IES reviews, comments on and clears all steps and deliverables during the evaluation process: Terms of Reference; Selection of the evaluation team, Inception Report; Draft Evaluation Report; Final Evaluation Report and an Evaluation Brief; Evaluation Follow-up Plan. IES further publishes the final evaluation report and the Evaluation Brief on the UNODC website, as well as sends the final evaluation report to an external evaluation quality assurance provider.

## PAYMENT MODALITIES

The evaluation team will be issued consultancy contracts and paid in accordance with UNODC rules and regulations. The contracts are legally binding documents in which the evaluation team agrees to complete the deliverables by the set deadlines. Payment is correlated to deliverables and three instalments are typically foreseen:

1. The first payment upon clearance of the Inception Report (in line with UNODC evaluation norms, standards, guidelines and templates) by IES;
2. The second payment upon clearance of the Draft Evaluation Report (in line with UNODC norms, standards, evaluation guidelines and templates) by IES;
3. The third and final payment (i.e. the remainder of the fee) only after completion of the respective tasks, receipt of the final report, Evaluation Brief (in line with UNODC evaluation norms, standards,

guidelines and templates) and clearance by IES, as well as presentation of final evaluation findings and recommendations.

75 percent of the daily subsistence allowance and terminals is paid in advance before travelling. The balance is paid after the travel has taken place, upon presentation of boarding passes and the completed travel claim forms.

IES is the sole entity to request payments to be released in relation to evaluation. Project/Programme Management must fulfil any such request within 5 working days to ensure the independence of this evaluation-process. Non-compliance by Project/Programme Management may result in the decision to discontinue the evaluation by IES.

# ANNEX III: EVALUATION TOOLS: QUESTIONNAIRES AND INTERVIEW GUIDES

## *Interview guides*

The interview is entirely confidential with all information received being aggregated and anonymised. No individual will be quoted nor will the organization they represent be identified.

### **UNODC Staff (HQ and Field Offices)**

Q1. What is the most significant change you have seen as a direct result of the Analytic Toolkit?

Q2. To what extent are Human Rights and Gender Sensitivity incorporated into the Analytic Toolkit?

Q3. What use has been made of existing sources of information on illegal wildlife trade (such as the CITES trade database)?

Q4. How have you measured the effectiveness of the actions taken to enforce laws against wildlife crime?

Q5. What actions have been taken to cooperate with authorities in neighbouring countries or with countries that are the destinations of illegal trade in wildlife (including the products of forests or fisheries)?

### **Partners of the International Consortium on Combating Wildlife Crime (ICWC)**

Q1. What is the most significant change you have seen as a direct result of the Analytic Toolkit?

Q2. To what extent are Human Rights and Gender Sensitivity incorporated into the Analytic Toolkit?

### **Relevant Non-Governmental and Civil Society Organizations**

Q1. What is the most significant change you have seen as a direct result of the Analytic Toolkit?

Q2. To what extent are Human Rights and Gender Sensitivity incorporated into the Analytic Toolkit?

Q3. In what way have the role and livelihoods of local people been taken into account in devising strategies for addressing wildlife crime?

Q4. Have the conservation or animal welfare NGOs been used as partners in the implementation of the toolkit, and in what way?

### **Donors**

Q1. What is the most significant change you have seen as a direct result of the Analytic Toolkit?

Q2. To what extent are Human Rights and Gender Sensitivity incorporated into the Analytic Toolkit?

Q3. Does the Analytic Toolkit provide value for money?

### **Recipients / Beneficiaries**

- Q1. What is the most significant change you have seen as a direct result of the Analytic Toolkit?
- Q2. To what extent are Human Rights and Gender Sensitivity incorporated into the Analytic Toolkit?
- Q3. What changes have there been in arrests, prosecutions and convictions of people suspected to have committed wildlife and forest crimes?
- Q4. Since the launch of the toolkit in the country, what change has there been in the levels of wildlife and forest crime?

### **Implementing partners**

- Q1. What is the most significant change you have seen as a direct result of the Analytic Toolkit?
- Q2. To what extent are Human Rights and Gender Sensitivity incorporated into the Analytic Toolkit?
- Q3. Have the conservation or animal welfare NGOs been used as partners in the implementation of the toolkit, and in what way?

### **Relevant International and Regional organizations**

- Q1. What is the most significant change you have seen as a direct result of the Analytic Toolkit?
- Q2. To what extent are Human Rights and Gender Sensitivity incorporated into the Analytic Toolkit?
- Q3. What actions have been taken to cooperate with authorities in neighbouring countries or with countries that are the destinations of illegal trade in wildlife (including the products of forests or fisheries)?

### **Survey Questions**

- Q1. Were you involved with the Toolkit assessment process?  
Yes      No  
If you answered 'Yes' with what aspect of the assessment process were you involved?
- Q2. Are you aware of any subsequent action that was taken as a result of the Toolkit assessment report recommendations that were developed?  
Yes      No  
If you answered 'Yes' please describe the actions that were taken.
- Q3. If you were involved in attempting to implement Toolkit assessment recommendations what challenges and / or barriers did you face?
- Q4. From your knowledge of the Toolkit assessment process what good practice and lessons learned can you identify that may assist in improving the Toolkit approach.

## ANNEX III: DESK REVIEW LIST

### UNODC DOCUMENTS

Number of internal documents reviewed: 26

1	Global Programme for Combating WLFC Project Document
2	Project Revision – GLOZ31 – logframe 2019
3	Project revision August 2014 GLOZ31
4	Project revision GLOZ31 2017 with TORs
5	Project revision GLOZ31 August 2018
6	Project revision GLOZ31 Dec 28 2016
7	Project revision GLOZ31 Dec 2014
8	Annual Progress Report ProFi 2016
9	Annual Report WLFC 2016
10	ProFi Progress Report Annual 2017
11	Progress Report Semi Annual 2017
12	GLOZ31 – Annual Report 2018
13	GLOZ31 – Semi-annual report 2019
14	Organigram GPWLFC September 2019
15	GPWLFC Presentation-Eng 2019
16	Budget and staffing table July 2019
17	Indicator framework and toolkit – Generic presentation v2
18	UNODC Human rights position paper 2012
19	UNODC – Guidance note Gender mainstreaming
20	GP WLFC Annual Report 2014
21	Highlights INL Funding 2015
22	Summary GP WLFC contribution 2015
23	Gender Strategy Focal Point list
34	Women and Men’s perceptions
25	Gender Brief - Health and Livelihood
26	Gender Brief – Organized Crime

### EXTERNAL DOCUMENTS

Number of external documents reviewed: 54

1	ICCWC Toolkit-Implementation and funding Matrix 2019
2	ICCWC Toolkit priority and funding 2019
3	E-Cop17-14-02

## INDEPENDENT PROJECT EVALUATION OF THE ANALYTIC TOOLKIT

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4	E-Cop18-015-05
5	E-Cop18-Inf-045
6	E-ICCWC-Ind-FW-Assessment guidelines and template
7	E-SC69-31-02
8	E-SC70-30-02
9	ICCWC Toolkit Fact Sheet
10	ICCWC Toolkit Report Mozambique EN
11	ICCWC Strategic Programme 2016 2020 final
12	ICCWC Toolkit v2 English
13	Toolkit implementation – step by step process English
14	ICCWC Indicator Framework Step-by-step v4
15	ICCWC Toolkit General Guideline and Checklist
16	Wildlife Crime ebook
17	Indicator Framework Report Draft for review 05
18	PH Workshop Evaluation ICCWC Indicator Framework
19	Revised Indicator Framework methodology
20	UG Report ICCWC IF Assessment Nov 2018
21	General Guidelines _ Conducting interviews
22	ICCWC Toolkit implementation table rev Jan20 clean
23	Implementation of ICCWC Toolkit by country recommended
24	Toolkit IF map rev Jan20
25	Bangladesh Action Plan
26	Bangladesh Toolkit Report
27	Botswana Action Plan
28	Botswana Toolkit Report
29	Botswana Toolkit Report Summary and Recommendations
30	Congo Action Plan EN
31	Congo Action Plan FR
32	Congo Toolkit Report EN
33	Gabon Action Plan
34	Gabon Toolkit Report EN
35	Gabon Toolkit Report FR
36	Gabon Toolkit Report Summary and Recommendations
37	Madagascar Toolkit Report FR Draft
38	Rapport Madagascar version finale
39	Mexico Toolkit Report ES
40	Mozambique Toolkit Report PT Draft
41	Nepal Action Plan

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42	Nepal Toolkit Report
43	Peru Action Plan
44	Peru Toolkit Report EN
45	Peru Toolkit Report SP
46	Vietnam Action Plan EN
47	Vietnam Action Plan VN
48	Vietnam Toolkit Report EN
49	Vietnam Toolkit Report VN
50	World Bank Progress Report Jan Jun 2015
51	World Bank Progress Report Jul Dec 2015
52	World Bank Progress Report Jan Jun 2016
53	World Bank Progress Report Jul Dec 2016
54	CITES Annual Illegal Trade Reports



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	- WWF Mozambique - Independent consultant			
2	- USAID / Speed+	Donors	Male: 1 Female: 1	
<b>Total: 44</b>			<b>Male: 27</b> <b>Female: 17</b>	
A stakeholder could be a Civil Society Organisation; Project/Programme implementer; Government recipient; Donor; Academia/Research institute; etc.				