



## Darwin Initiative Annual Report

### Important note:

To be completed with reference to the Reporting Guidance Notes for Project Leaders: it is expected that this report will be about 10 pages in length, excluding annexes

**Submission Deadline: 30 April 2011**



### 1. Darwin Project Information

Project Reference	17-020
Project Title	Enhancing the Elephant Trade Information System to guide CITES policy
Host Country/ies	All elephant range states in Africa and Asia
UK contract holder institution	University of Reading
Host country partner institutions	TRAFFIC East/Southern Africa
Other partner institutions	
Darwin Grant Value	£239,399
Start/end dates of project	1 September 2009 – 31 August 2012
Reporting period (eg Apr 2010 – Mar 2011) and number (eg Annual Report 1, 2, 3)	1 April 2011 – 31 March 2012 Annual Report 3
Project Leader name	Dr Fiona M Underwood
Project website	
Report authors, main contributors and date	Dr Fiona M Underwood, Mr Robert W Burn, Mr Tom I Milliken

### 2. Project Background

This project aims to enhance the Elephant Trade Information System (ETIS), one of two global monitoring systems for elephants under CITES. It was first mandated by the CITES Parties in Resolution Conf. 10.10 in 1997 to support decision-making for elephants under CITES. ETIS aims to assess illicit trade in ivory and other elephant products, establish trends over time and determine whether or not such trends are related to CITES decisions. To achieve this ETIS collects and analyses illegal ivory seizure records received from law enforcement bodies in 175 countries (CITES Parties). Currently the database contains nearly 18,000 illegal ivory seizure records.

ETIS is run by TRAFFIC East/Southern Africa (TESA), currently based in Harare, Zimbabwe. In 1997, CITES mandated TRAFFIC to develop and run ETIS, and provided some limited funding for ETIS' initial conception and design. Since then, funding from CITES has been minimal and sporadic, and the development of ETIS has generally been in response to CITES reporting requirements in a piecemeal manner with external funding. This project seeks to build a firm long-term foundation and framework for sustaining ETIS by focusing on problems in the following four areas:

## ETIS database

The database of seizure records is the central component of ETIS. The existing database software was developed in a now obsolete framework. Also, after some ten years of operation, various shortcomings of the existing database structure and content have become apparent, and the system is in need of major revision and upgrading.

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## Analytical Framework and communication of technical results

To provide effective evidence to address the aims of ETIS, statistical analyses of the ETIS seizure records must address and reduce the many different sources of bias in the data. There are no off-the-shelf statistical tools available for this purpose and the current methods of analysis have been developed in one-off reports in response to the CITES reporting requirements. These methods have not been peer reviewed and the analytical methods are presented together with the results in the CITES reports. Furthermore, the reporting procedure lacks simple indicators. For these reasons, ETIS is sometimes perceived by some policy makers and the media as being too complex.

## Strengthening support for operational procedures

The operation of ETIS depends on a small number of key personnel and lacks adequate tools to promote long-term sustainability.

## Building capacity for participation

Reporting of seizure records continues to be sporadic and uneven in quantity and quality, giving rise to a major source of bias in the data. For example, in Africa and Asia, many elephant range States almost never report making ivory seizures themselves, but are regularly implicated in hundreds of seizures made elsewhere in the world.

## **3. Project Partnerships**

**Project partnerships:** — Describe the partnership between the UK lead institution and host country partner(s) and how this has developed over the last year. Describe the management structure of the project including details of roles and responsibilities of main collaborators. Have there been any major changes to the management structure of the project over the reporting period? How are these relationships managed ie via e-mail, regular management meetings, via intermediaries etc?

Describe any partnerships with other UK or Regional partners and how these partnerships have supported the project. Have there been particular strengths or challenges with the partnership(s), and how have the latter been met? Has the UK lead institution built its own capacity to be an effective project partner?

**Other Collaboration:** Has the project collaborated with similar projects (Darwin or other) in the host country or other regions, or established new links with / between local or international organisations involved in biodiversity conservation?

Does the project have a link with the CBD focal point? Please give details. How has the partnership supported host country institutions to build their capacity to the meet CBD commitments?

### Project partnerships:

The project partner is TRAFFIC East/Southern Africa (TESA) and Mr Robert W Burn (RWB) is a project principal. The lead contact in TESA is Mr Tom Milliken (TM), the Regional Director of TESA, and (Ms.) Louisa Sangalakula (LS), who manages the ETIS database for TESA, is also involved. The project is led by Dr Fiona M Underwood (FMU). RWB was to have operational oversight of the project with specific responsibility for the database development and also the time for the development of the analytical framework. However, the database development has been far more time consuming for everyone than previously anticipated. In particular, RWB's time has been severely committed to this activity necessitating FMU to take over more of the operational responsibilities of the project, including more involvement in database development. TESA have responsibility for the development of standard operating procedures and capacity building.

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FMU works with RWB via weekly face-to-face meetings. Both RWB and FMU are in contact with TESA via email and Skype on a regular basis. In addition communication for the database development with the software development team has been via Assembla, an online management tool for software development projects that enables tasks (such as developing navigational features, addressing lay-out issues, establishing procedures for data operators, testing, etc.) to be assigned to particular individuals and tracks progress towards their completion. Since April 2011, RWB has been to Harare to meet with TESA in June 2012. Both RWB and FMU also made have been to Harare in February 2012. TM has also been to the UK in visit RWB and FMU twice during this project year.

#### Other Collaboration:

The project continues to strengthen links with the other global monitoring system for elephants under CITES known as Monitoring the Illegal Killing of Elephants (MIKE). In a related development, a proposal to combine the Technical Advisory Groups for MIKE and ETIS has been proposed. The development of the ETIS database has been presented to the TAG members who have indicated their solid support for the initiative at hand. Further, the approach and methods used to establish a new analytical framework have also generated discussion and endorsement from this body of technical experts.

Although the relevant TESA office remains based in Zimbabwe, the host countries for this project represent all elephant range states in Africa and Asia. Indeed, as seizures of elephant ivory and other products can potentially occur in any of the 175 Parties to CITES, all CITES Parties are engaged in the context of this initiative. Direct engagement with the African elephant range States was planned for a meeting sponsored by the CITES Secretariat to be held at the UNEP campus in Nairobi in April 2012. Preparations for this opportunity to present a preview of the online database system to all African elephant range States were undertaken during this reporting period. Efforts to develop appropriate training tools which will provide the basis for training and building national-level capacity for participation in ETIS have continued and are described in the training section of 4.1 below.

Collaboration with the CITES Secretariat has also been a focus of this project during this reporting period. TM, together with the Executive Director of TRAFFIC, Mr. Steven Broad, visited the CITES Secretariat in January 2012 to seek their active engagement in developing a procedure to vet and approve individuals who apply to access the future online database system as Data Providers for their countries. CITES has agreed to play this important role, using their standard communication procedures with CITES Management Authorities in the Parties to the Convention so that TRAFFIC will not be involved in the determination of who can and cannot access the database. This is an important consideration and is an appropriate solution for dealing with this issue. Further information about the meeting with the CITES Secretariat is given in section 7.

## **4. Project Progress**

Work in this reporting period has focussed on major developments in the new database and in the analytical framework, so that both are nearing completion.

### **4.1 Progress in carrying out project activities**

#### Output 1: Database

The database was designed in the last reporting period and Solertium Corporation contracted to write the software. Programming for the database and its user interface is essentially complete, and in its final stages of refinement and testing. The entire system has been installed on a secure server, managed by TRAFFIC International, and data from the old database imported. Extensive testing of the software has been carried out both internally by the Darwin project team and externally. Internal testing and debugging has been extensive, requiring far more time than anticipated by the Darwin Team. For external testing, staff from TRAFFIC International, TRAFFIC Regional Officers, CITES Management Authorities and CITES Secretariat were all invited to test the system. About 12 external people tested the system and gave generally very positive feedback, with several useful suggestions (feedback submitted as

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supporting information). The database software is now being revised in response to the feedback from testing and is nearing completion. This will be followed by a final set of testing by the Darwin Project Team.

We plan to launch the database at the 62<sup>nd</sup> Meeting of the CITES Standing Committee the week of 26 July 2012.

The database will have two groups of users: (1) TESA staff; and (2) CITES Management Authorities.

The database enables TESA staff to:

- enter records into the database, either individually or in bulk using a standard Excel template. The latter has already proven to be a major time saver in entering records. In addition some countries already provide records in an Excel format, although this format is not the same as our template. Excel macros have been written to enable these non-standard formats to be converted into the standard format. This will also lead to more rapid data entry and improvements in data quality.
- manage the data in the database, including editing and validating records, checking and removing duplicates, using an audit log to track changes, and to edit and retrieve subsidiary data for analysis purposes.
- query the database to find individual records or sets of records with particular characteristics and download these to Excel.
- produce statistical summaries and country reports.
- provide resources for CITES Management Authorities.

TESA staff have already been trained in the use of the database, as it stands, and have entered new records (over 1,000 during this period) and produced statistical summaries. For the production of these statistical summaries, RWB has written a number of programs in the statistical software environment *R*. These have been integrated into the database functionality.

The CITES Management Authorities will, once the database is launched, be able to register to use the database on-line. As mentioned, approval will be managed by the CITES Secretariat. Once approved CMAs will be able to access the database on-line and:

- enter data into the database – either individually or in bulk using a standard Excel template or upload a file in their own format.
- access “their” data, i.e. seizures of illegal ivory and other elephant products made in their country, for viewing and downloading to Excel.
- have access to limited information on records of seizures made by other countries which implicated them – i.e. their country is on the trade route or the suspects are from their country.
- Have access to resources including their most recent ETIS Country Report.

Currently the database is in English. In the final system CITES Management Authorities will be able to use database in English, French or Spanish, although translation into these other languages is not all planned as part of this project.

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#### Output 2: Analytical Framework

Work on the analytical framework has been somewhat squeezed by the extra demands required in developing the online database. Nevertheless the basis of the analytical framework is now in place:

- A number of potential statistical models for producing bias-adjusted indicators have been developed and evaluated. The most appropriate method is now being tested further, part of which is a simulation exercise. The methodology will produce bias-adjusted **relative** indicators of the number of shipments passing through a country in a particular year for three weight categories (0-10kg, 10-100kg and more than 100kg) for

raw and worked ivory separately. These indicators can be used individually or can be combined over weight and ivory types to compare countries, or to investigate trends over time. The methodology for the analytical framework have been described in posters displayed at the “Planet Under Pressure 2012” Conference in London and the “Time for Causality” workshop in Bristol (abstracts submitted as supporting information).

- These indicators are the basis of the new reporting framework for ETIS. In addition, the format of country reports has been determined and revised. These country reports provide information on law-enforcement effort and seizures and changes in these through time, and given a relative measure of how their country is performing. In addition the reports provide case listings of seizure records in the ETIS database that reference their country. RWB has written a suite of R programmes for this purpose which have been integrated into the database.
- Two papers are being drafted for submission to peer-reviewed journals for the end of the project. These papers will (1) describe the statistical methodology in detail for a statistical journal and (2) provide results based on the most up-to-date in the database.
- The aim still remains to provide as many user-friendly software tools as possible so that TESA staff can complete analyses without support from statisticians. Much of this has been carried out already as mentioned above for country reports and statistical summaries for reporting. However, as the methodology for bias-adjusted indicators has been identified, it is clear that it was perhaps over-ambitious to expect the bias-adjustment methodology to be implemented independently of statisticians. On the other hand, although the production of the bias-adjusted indicators may require input from statisticians, the project still aims to write user-friendly software tools to enable TESA to use these indicators in other analyses once they have been produced.

A comprehensive analysis of the ETIS data for the next CITES Conference of the Parties is due at the end of this project. This report will use the bias-adjusted indicators developed for this project. The indicators will be calculated once data from 2011 for a few countries which are still missing has been received. This analysis will be the same as those presented in the papers submitted for peer-review.

### Output 3: Long-term operational sustainability

The activities in this output which are focused on long-term operational sustainability are the development of Standard Operating Procedures for the whole of ETIS. An original set of SOPs were written by TESA for the old system. These are now being completely revised given the changes to the database and the analytical framework which require major changes to TESAs operational procedures. The SOPs will follow the structure of the flow of data through ETIS from:

reporting a seizure → data capture in ETIS database → record validation by TESA → statistical analyses → reporting → dissemination → feedback

In addition the background to ETIS, security issues regarding the use of the database, and the management of users of the database will also be covered.

During the development and testing of the new database and the development of the analytical framework, a key issue that emerged was the need to focus on data quality. This was identified as being an important concern in the SOPs. Although this was not originally envisaged as a major part of this project, some data quality checking procedures are being developed. A number of these issues occur at the point of data entry and a series of routine checks are being developed for this. In addition, a further set of checks will be developed before signing off on data to be used for statistical analyses and reporting. Many of these checks will be manual checks developed by TESA. In addition a number of automated statistical checks are being developed and RWB is writing a set of R programmes to be accessible in a user-friendly format for TESA to use in this regard. In addition a series of checks of historic data, already in the database, has been initiated.

Because of the major revision to the SOPs due to changes in TESA's operational procedures, and because of the extra time spent on the database development by the TESA team, the SOPs are not as far advanced as was expected at this point. Nevertheless we fully expect them to be completed and reviewed by the TAG by the end of the project. As a test of the SOPs it is proposed that they will be passed to TRAFFIC International. The idea is to see to what extent someone new to ETIS system is able to learn how to manage it.

#### Output 4: Enhancing capability of national CITES Management Authorities for tracking and reporting illegal trade

Activity 4.2 Training Materials - Review and update existing training materials; produce new materials as required.

Activity 4.3 Finalise and translate training materials - Produce final training materials, translated into suitable languages.

Activity 4.4 Run training courses - Undertake training programmes in selected countries.

Because of changes to the database structure and the new capability for on-line data entry submission, it was identified last project year that a new training module was required. A consultant, who specialises in the development of training materials, has been engaged to write such a module for assisting CITES Management Authorities in using the new database system effectively, especially the function that allows online data submission. The framework of this module has been designed and its final rendering will commence as soon as the final design and layout of the database is finished. The module will be produced in a PowerPoint format and will be available to all CITES Parties via a CD in the official language of their choice by the end of this project.

## **4.2 Progress towards project outputs**

*Report on how overall progress has been made towards the project outputs and how likely the project is to achieve them by its close. Please comment on the measuring of output indicators and whether the output level assumptions still hold true. If there have been changes in assumptions in what ways is the project meeting or managing these? Please ensure that you provide relevant evidence to support progress towards outputs.*

#### Output 1: Database

The database software has been developed, installed and tested both internally and externally and is nearing completion. We expect completion within the next couple of months and launch of the database in July 2012 at the CITES Standing Committee.

The software is already operational and in use by TESA. All existing records have been carried over into the new database and over 1,000 new records have been added. The database was used to produce the statistical summaries required for the most recent ETIS report to the 62<sup>nd</sup> Meeting of the CITES Standing Committee. One notable achievement here is that this report was produced without any input from the statisticians involved in the project. This is the first time this has been possible since the inception of ETIS and stands as a solid indication that the new database design and functionality will ensure future sustainability.

#### Output 2: Analytical Framework

The methodology for producing bias-adjusted indicators has been developed and is currently being tested. The methodology will be applied to the data in the database for reporting in peer-reviewed papers and for the report to the next Conference of the Parties (deadline beginning of September 2012). The reporting framework and indicators have been identified. The format of the Country Reports has been developed and software written to produce these in the database software. TESA staff have been trained in the use of this software. Software to use bias-adjusted indicators in reporting will be produced by this project although the production of the bias-adjusted indicators themselves will still require input from a statistician.

Output 3: Long-term operational sustainability

Operational sustainability is required of both the new online database and the analytical framework, both of which are reaching completion. The particular focus of output 3 is the standard operating procedures. These are under development and work to complete these will be in the next reporting period. These procedures are, in the main, being written by TESA, with guidance from the rest of the Darwin Team and so acceptance and use of these procedures by TESA will be straightforward within the next reporting period.

Output 4: Enhancing capability of national CITES Management Authorities for tracking and reporting illegal trade

Capability of national CITES Management Authorities is being enhanced by training and by the development of the new on-line ETIS database. Training so far has used matched funding provided by EU grant in previous reporting periods using existing training materials. Due to changes in the database structure, the training material has been reviewed and a new training module is under development. This module describes the new methods of data entry and use of the new ETIS database. It will be finalised once the database is completed. By the end of the project the new ETIS database will have been launched, training material disseminated to all CITES Parties and one training course run for some CITES Parties.

Many of the measurable indicators for each of the four outputs will be verified by the ETIS Technical Advisory Group (TAG). There has not been a meeting of the TAG in the last reporting period. However the meeting in April 2012 will be attended by FMU and RWB and tentative approval will be sought for all necessary indicators with an understanding that further reporting of these indicators will be given in the next reporting period.

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*No output level assumptions have changed.*

**4.3 Standard Measures**

~~Please expand and complete Table 1: new projects should complete the Y1 column and also indicate the number planned during the project lifetime. Continuing project should cut and past the information from previous years and add in data for the most recent reporting period. Quantify project standard measures over the last year using the coding and format from the Darwin Initiative Standard Measures (see website for details: <http://darwin.defra.gov.uk>) and give a brief description. Please list and report on relevant Code Nos. only. The level of detail required is specified in the Standard Measures Guidance notes under 'definitions' column. Please devise and add any measures that are not captured in the current list. Please note that these measures may not be a substitute for output level objectively verifiable indicators in the project logframe.~~

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**Table 1 Project Standard Output Measures**

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Code No.	Description	Year 1 Total	Year 2 Total	Year 3 Total	Total to date	Number planned for report period	Total planned during the project
Established codes							
6A	Number of people to receive other forms of education/training (which does not fall into categories 1-5 above)	0	0	0	0	0	50

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Code No.	Description	Year 1 Total	Year 2 Total	Year 3 Total	Total to date	Number planned for report period	Total planned during the project
6B	Number of training weeks to be provided	0	0	0	0	0	3
7	Number of (ie different types - not volume - of material produced) training materials to be produced for use by host country	1	1	0	2	0	3
8	Number of weeks to be spent by UK project staff on project work in the host country	1.2	4.2	5	10.4	3	5
11A	Number of papers to be published in peer reviewed journals	0	0	0	0	0	2
11B	Number of papers to be submitted to peer reviewed journals	0	0	0	0	0	2
12B	Number of computer based databases to be <b>enhanced</b> and handed over to host country	0	0	0	0	0	1
14A	Number of conferences/seminars/workshops to be <b>organised</b> to present/disseminate findings	0	0	0	0	0	1
14B	Number of conferences/seminars/workshops <b>attended</b> at which findings from Darwin project work will be presented/disseminated.	2	2	2	6	2	6
15A	Number of national press releases in host country(ies)	0	0	0	0	0	1
15B	Number of local press releases in host country(ies)	0	0	0	0	0	1
15C	Number of national press releases in UK	0	0	0	0	0	1
17B	Number of dissemination networks to be <b>enhanced/ extended</b>	0	0	0	0	0	1
18B	Number of national TV programmes/ features in UK	0	0	0	0	0	1
19A	Number of national radio interviews/features in host county(ies)	0	0	0	0	0	1
19B	Number of national radio interviews/features in UK	0	0	0	0	0	1

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Code No.	Description	Year 1 Total	Year 2 Total	Year 3 Total	Total to date	Number planned for report period	Total planned during the project
23	Value of resources raised from other sources (ie in addition to Darwin funding) for project work	0	USD 1,430	USD 5,000	USD 6,430	#	#

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**Table 2 Publications**

Type (eg journals, manual, CDs)	Detail (title, author, year)	Publishers (name, city)	Available from (eg contact address, website)	Cost £
Pachyderm 49: January – June 2011, Journal of the African Elephant Specialist Group	ETIS update number four: Progress in the implementation of the Elephant Trade Information System - Tom Milliken, Louisa Sangalakula	IUCN/SSC African Elephant Specialist Group, Nairobi, Kenya	<a href="http://www.african-elephant.org/pachy/pachy49.html">http://www.african-elephant.org/pachy/pachy49.html</a>	No cost
Pachyderm 50: July – December 2011, Journal of the African Elephant Specialist Group	ETIS update number four: Progress in the implementation of the Elephant Trade Information System - Tom Milliken, Louisa Sangalakula	IUCN/SSC African Elephant Specialist Group, Nairobi, Kenya	<a href="http://www.african-elephant.org/pachy/pachy50.html">http://www.african-elephant.org/pachy/pachy50.html</a>	No cost

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#### 4.4 Progress towards the project purpose and outcomes

This year has focused on the development of the database software and fleshing out the details of the analytical framework. These are both essential to the project's successful completion and other parts of the project depend on the successful delivery of these two areas. Refinements and revisions to the database software, based on extensive internal and external testing of the beta version, is nearing its conclusion. The database software is operational for TESA's purposes and because TESA staff have been involved in its testing and are being trained as the software progresses they have been able to use the software for production of major CITES reports. Similarly, the adoption of SOPs by TESA staff should be relatively automatic as they are the key people involved in the writing and development of these procedures. The analytical framework has been developed and many of the software tools for producing much of the reporting has been provided. The enhancement of national CMAs capacity for tracking and reporting illegal trade will be met by the new online database, the development of training modules to use this new database and eventually translation of the database and training materials into French and Spanish which have been slightly delayed by the slower than expected completion of the database. Generally, milestones and targets are being met, given the revisions to the log-frame that have been indicated this project year.

Overall, however, the project is very much on track to delivering final outcomes as indicated in the original project document. The fact that TRAFFIC was able to use the new database features to produce a technical report on ivory trade to the 62nd meeting of the CITES Standing Committee independently without any input from the ETIS statisticians is a milestone development signalling great achievement. This development bodes very well for the future sustainability of the system to meet its objectives under the CITES Convention.

The purpose level assumptions hold true.

#### 4.5 Progress towards impact on biodiversity, sustainable use or equitable sharing of biodiversity benefits

This project focuses on its impact in relation to CITES as ETIS was specifically developed in response to CITES Resolution Conf. 10.10 which mandated the creation of a long-term monitoring programme for tracking illegal trade in ivory. This project will ensure the enduring sustainability of ETIS and the project has now outlined the future direction of ETIS to ensure this. The findings of ETIS contribute to the development of CITES policy for elephants, as seen in the last Conference of the Parties (CoP15) held during this reporting period. This project aims to improve how ETIS findings are communicated and interpreted by the development of "simple" indicators to accurately describe trends in the illegal ivory trade.

Once fully operative, new on-line data output features will for the first time allow CITES Parties to obtain simple summary tables of their data and other canned outputs upon demand. This will greatly enhance access to the data, facilitate meaningful participation and provide immediate services to ETIS users all over the world for the benefit of elephant conservation.

### 5. Monitoring, evaluation and lessons

~~How is progress of the project monitored and evaluated?~~

~~If not covered in sections 3.1– 3.4 discuss methods employed internally to monitor and evaluate the project this year. How can you demonstrate that the outputs and outcomes of the project actually contribute to the project purpose? What are the indicators of achievements (both qualitative and quantitative) and how are you measuring these? Have there been any changes made to the M&E plan over the reporting period?~~

~~What lessons have you learned from this year's work, and can you build this learning into future plans?~~

~~Measuring output, purpose (outcome) and final goal (impact) indicators can entail additional work, which is often overlooked both in project work plans and budgets (sometimes considered at 10% of total budget). Monitoring and evaluation is an important component of a project to help indicate its success. It should not however, significantly reduce efforts towards meeting project objectives.~~

Within the project team, monitoring has mainly consisted of FMU and RWB meeting weekly to discuss progress and regular discussions via Skype and email with TESA staff (although Skype is still working intermittently due to a poor internet connection in the WWF office where TESA are based). The four named staff have met once as a group this year in Harare (once on the back of a trip funded by another project). RWB has made a further trip to Harare with the contractor for the software development. In addition TM has met with FMU and RWB twice in the UK.

The database development has continued to require more input and management from the project team than initially expected, and communication with the contractor, especially with regard to deadlines, has remained difficult. Project management of the database development has involved the use of a project management tool Assembla, which has enabled everyone to keep track of progress and the various complicated nuances of the project in an organised manner. A meeting with the contractors is planned for April in Nairobi and we are confident that the software development will be completed by the end of the project.

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With regard to our two formal monitoring processes:

#### 1. ETIS Technical Advisory Group (TAG)

The ETIS TAG provides expert and transparent specialized oversight of ETIS. TM and RWB are members of the TAG. The ETIS TAG has not met in this project year. The TAG will meet in April 2012, and FMU are invited to attend. Both RWB and FMU will give presentations at this meeting to seek provisional approval for a number of measurable indicators with a plan to have final approval once documents are submitted before the end of the project.

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**Commented [RWB10]:** See previous comment.

#### 2. Project Monitoring Group (PMG)

This group was set up to monitor the progress of the project itself and to provide an entirely independent view of the project. PMG members were sent copies of the previous annual and half year reports and commented on the last annual report – as included in the last set of documentation. The PMG will be sent a copy of this report as well and we plan to meet with them in the next couple of months.

### 6. Actions taken in response to previous reviews (if applicable)

Not applicable.

### 7. Other comments on progress not covered elsewhere

A key component in ensuring that the new database is fit for purpose has been in gaining the support of the CITES Secretariat. In particular TM and Steve Broad, Executive Director of TRAFFIC International, met with the Secretary General of CITES, Mr. John Scanlon and key staff members to discuss a number of issues including:

- (a) a CITES endorsed web address for the on-line database
- (b) agreement that CITES Secretariat will be the authority that approves applications to use the new on-line database
- (c) CITES Secretariat is currently reviewing Terms and Conditions for users of the new on-line database
- (d) The database was demonstrated with very positive feedback
- (e) CITES Secretariat confirmed that peer-reviewing of methodology is important
- (f) A proposal for a launch event of the new ETIS database at the 62<sup>nd</sup> Meeting of the CITES Standing Committee in July 212.

The approval and agreement of CITES to these items has been crucial in ensuring the progression of the project. We still await the finalised Terms and Conditions, which are required before the database can be launched.

A difficulty this year, as previously highlighted, has been the delay in the database being completed. This has been for a number of reasons. It has meant that there has been less time for development of the analytical framework than we might have hoped for. It has also led to a delay of the development of training material and training. This issue has been largely resolved by adjusting the project timetable to allow more time for work on the analytical framework later on and the revision of the timing of the development of training material and training.

A second issue with the delay in the completion of the new database has been that a large backlog of reported seizures has built up which could not be entered in the old database and were awaiting a particular stage of completion of the new database until they could be entered. This was reached in February 2012. Because a report to the 62<sup>nd</sup> Meeting of the CITES Standing Committee was required by the middle of April, TESA staff had to dedicate most of their time from February 2012 until April 2012 in entering data and producing statistical summaries for this report. The development of new tools, particularly an uploading template for multiple seizure cases from individual countries, has greatly assisted in getting the backlog data into the new system. Whilst this has meant that the system has been thoroughly tested, it has delayed the revision of the SOPs which was scheduled once the database had reached this stage. The SOPs will now be the focus of work for TESA in the remaining months of the project.

## 8. Sustainability

~~Discuss the profile of the project within the country and what efforts have been made during the year to promote the work. What evidence is there for increasing interest and capacity for biodiversity resulting from the project? Is there a satisfactory exit strategy for the project in place and how likely are project outputs, outcomes and impacts to be sustained? What is the exit strategy?~~

The entire focus of this project is to make ETIS sustainable so that, at the end of the project, there is a sustainable mechanism for data collection and management, and standard methodologies for producing pre-determined reports and analyses, especially for CITES CoP reporting purposes and for individual countries. The Standard Operating Procedures are a major contribution to ensuring the procedures and mechanisms are clearly documented and will be tested by TRAFFIC International staff who are independent of ETIS. More generally, the database software has developed in close collaboration with TESA and is already being used so this part of the project will be readily sustained, particularly because a strategy for maintaining the database is being put into place. The new database provides a number of different methods for CMAs to enter data into the system and this and the development of training materials should assist in sustaining and building on interactions between the CMAs and TESA and thus improve the capacity of CMAs to report to ETIS.

## 9. Dissemination

~~Provide details of dissemination activities in the host country during the year, including information on target audiences. Will dissemination activities be continued by the host country when the project finishes, and how will this be funded and implemented?~~

In this project, the host country Zimbabwe stands as a proxy for all 175 CITES Parties. Ultimately, all CITES Parties will benefit from the new database system and the CITES Convention as a whole will have an online tool to support elephant conservation both at the national and global levels. TRAFFIC has also reported regularly on the Darwin Initiative project to the MIKE-ETIS Subgroup of the CITES Standing Committee, most recently in August 2011. This body, which includes a member of the UK government, has been very supportive and pleased with the Darwin Initiative work.

In April 2012, a preview of the new database will be presented to the 4<sup>th</sup> African Elephant Meeting at a CITES-convened meeting at UNEP – this meeting is expected to consist of all of the 37 African Elephant Range States and will be an opportunity to address one of the most important stakeholder groups for elephant conservation.

Regular updates on the Darwin Initiative Project have featured in the Pachyderm, the publication of the African Elephant and Rhino Specialist Groups of IUCN.

In March 2012, a poster on the ETIS project, in particular the bias-adjustment methodology, was presented at the Planet Under Pressure Conference in London to an international audience of scientists, NGOs and policy makers working in conservation and development.

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## 10. Project Expenditure

**Table 3 project expenditure during the reporting period (1 April 2010~~1~~ – 31 March 201~~2~~<sup>4</sup>)**

Item	Budget (please indicate which document you refer to if other than your project application or annual grant offer letter)	Expenditure	Variance/ Comments
Staff costs specified by individual	37,394.00	38,118.62	
Overhead costs	5,382.00	5,382.00	
Travel and subsistence	8,900.00	6,768.38	Less spent here for rest to go into consultancy
Operating costs	11,480.00 <sup>1</sup>	7,957.00	Less spent here as rest to go into consultancy
Capital items/equipment (specify)	1,000.00	912.00	
Others: Consultancy	8,500.00 <sup>1</sup>	13,518.0	Extra required here to cover VAT on software development
Others (please specify)	0.00	0	
<b>TOTAL</b>	<b>72,656.00</b>	<b>72,656.00</b>	

<sup>1</sup> Agreed after change request from November 2011 to move £13,500 into next years "other consultancy" and "13,000" into next years "operating costs" (for training materials etc). Note that these changes were made after I had already moved budget (less than 10% of original budget so no request made about this) from "travel and subsistence" and "operating costs" to "consultancy" as explained in the previous reporting period in which extra money was required to pay VAT on the software development. Overall difference is less than 10% of budget.

## 11. OPTIONAL: Outstanding achievements of your project during the reporting period (300-400 words maximum). This section may be used for publicity purposes

I agree for LTS and the Darwin Secretariat to publish the content of this section

The major achievement of the project in this reporting year has been the development of the database and training of TESA staff to such a degree that they were able to enter over new 1000 records into the database in a short period of time and produce statistical summaries to include in a report to the 62<sup>nd</sup> Meeting of the CITES Standing Committee. Particularly pleasing is the fact that the production of these summaries required no intervention from the statisticians in this project – this is the first time this has been achieved since the inception of ETIS and is a good measure of the intended increased sustainability of ETIS due to the work of this project.

## Annex 1: Report of progress and achievements against Logical Framework for Financial Year 2011-2012

Project summary	Measurable Indicators	Progress and Achievements April 2011 - March 2012	Actions required/planned for next period
<p><b>Goal:</b> To draw on expertise relevant to biodiversity from within the United Kingdom to work with local partners in countries rich in biodiversity but constrained in resources to achieve</p> <ul style="list-style-type: none"> <li>⇒ The conservation of biological diversity,</li> <li>⇒ The sustainable use of its components, and</li> <li>⇒ The fair and equitable sharing of the benefits arising out of the utilisation of genetic resources</li> </ul>		This project ensures the long-term, sustainability of ETIS, mandated by CITES Resolution Conf 10.10 and the project has outlined the long-term direction of ETIS.	
<p><b>Purpose</b></p> <p>Development of ETIS Phase 2: Enhanced and sustainable collection, management, analysis and reporting of seizure data for the Elephant Trade Information System (ETIS) to monitor illicit trade in ivory as mandated by CITES.</p>	<ul style="list-style-type: none"> <li>a) Phase 2 ETIS database operational by end of project.</li> <li>b) Analytical framework is in place.</li> <li>c) Standard Operating Procedures adopted by TESA.</li> <li>d) Improved reporting of seizures in majority of targeted countries.</li> </ul>	<ul style="list-style-type: none"> <li>a) The database is already operational for TESA</li> <li>b) The analytical framework has been developed and is being tested</li> <li>c) The majority of the SOPs are being written by TESA with guidance from Reading</li> <li>d) The on-line database accessible to all CITES Management Authorities has been developed and is close to launch. A training module on its use is currently under development.</li> </ul>	<ul style="list-style-type: none"> <li>a) Online database to be completed and launched for use by CITES Parties</li> <li>b) Peer-reviewed papers to be written including an analysis of most up-to-date.</li> <li>c) SOPs to be completed and used by TESA</li> <li>d) New data entry mechanisms (the online database) to be made available to CITES Parties. Training modules translated and rolled out to CITES Parties. Training for targeted countries to be carried out.</li> </ul>
<p><b>Output 1.</b></p> <p>Phase 2 ETIS software program developed, installed and in use.</p>	<ul style="list-style-type: none"> <li>1c. Software developed.</li> <li>1d. Software installed and in use.</li> <li>1e. Train TESA staff in use of software.</li> </ul>	<p>1c Software is under development and nearing completion. Launch to the CITES Parties is planned for end of July 2012.</p> <p>1d Software in current format is installed and in use by TESA. Over 1,000 new records have been entered into the new database and it was used to produce the most recent ETIS report to the 62<sup>nd</sup> Meeting of the Standing Committee.</p> <p>1e Staff are being trained in the use of the software as it develops.</p>	
Activity 1.4 Design and produce the software.		Software has been designed and written.	
Activity 1.5 Install and test the software.		Software is installed on a dedicated secure server and been tested both internally by the Darwin project team and externally by potential users of the system. A summary of the external testing results is given in document ***	

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Project summary	Measurable Indicators	Progress and Achievements April 2011 - March 2012	Actions required/planned for next period
Activity 1.6 <u>Revise the software</u>		The software is being revised based on testing that has been carried out and is near completion.	
Activity 1.7 <u>Train TESA staff in using the new software</u>		TESA staff are being trained in the use of the software as it develops and are already using it operationally.	
<b>Output 2.</b> Improved analytical framework for assessing and reporting trends of illicit trade in ivory adopted and implemented.	2a. Methodology for future analysis to produce bias-adjusted indicators of illegal ivory trade developed and tested. 2b. Recommendations drafted for a reporting framework and indicators to assist CITES in policy making. 2c. Recommendations for country specific reports developed. 2d. Software tools for reporting developed. 2e. TESA staff trained in use of reporting tools.	2a Methodology for producing bias-adjusted indicators has been developed and will be used for analyses of new data entered into the database. 2b Reporting framework and indicators are identified and presented at the April 2012 meeting of the ETIS Technical Advisory Group 2c Country Specific Reports have been developed 2d Software tools for reporting are being integrated into the new database software. Country reports and a number of other statistical reports are being produced 2e TESA Staff are being trained in the use of the reporting tools as they are being developed.	
Activity 2.2 <u>Analyse existing data to evaluate statistical methods for producing bias-adjusted indicators.</u>		Methodology has been developed and is being tested.	
Activity 2.3 <u>Design the new ETIS reporting framework</u>		ETIS reporting framework is under development	
Activity 2.4 <u>Write two papers on methodology to submit to peer-reviewed journals.</u>		Papers are being planned to be finished by the end of the project using up-to-date data. These papers will present the same results as will be produced for the next Conference of the Parties- the deadline for which is just after the end of this project.	
Activity 2.5 <u>Write software for producing the indicators</u>		R programmes have been written to produce some statistical summaries of the data. It is becoming clear that the aim of completely removing the need for future statistical expertise was over-ambitious.	
<b>Output 3.</b> Enhanced measures for supporting the long-term operational sustainability of ETIS in place and functioning.	3a. Standard Operating Procedures (SOPs) for use of ETIS framework. 3b. TESA staff trained in use of ETIS SOPs.	3a An outline of the Standard Operating Procedures has been produced. The details are being completed as database software finalises. 3b The TESA team are helping to develop the SOPs and so are continuing to train each other as the project progresses	
Activity 3.2 <u>Draft a Manual of Standard Operating Procedures (SOPs).</u>		An outline of SOPs has been produced and will be completed by the end of the project. Details of all parts of the data flow through ETIS will be covered, including	

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Project summary	Measurable Indicators	Progress and Achievements April 2011 - March 2012	Actions required/planned for next period
		details of analysis and programs so that analysis is freestanding.	
	Activity 3.3. Revise the Manual in the light of Output 1.	The manual is being revised as the database reaches completion.	
<b>Output 4.</b> National CITES Management Authorities capacity for tracking and reporting illegal trade in elephant products in fulfilment of CITES requirements for participation in ETIS enhanced.	4b. Review and update existing training materials. 4c. Training programmes undertaken.	4b A new training module is being created to train users of the online database . This will be completed once the database has been finalised. A CD will be produced with the new training module for distribution to all 175 CITES Parties. 4c A training workshop will be undertaken for a small group of users on the use of the new database.	
	Activity 4.2 Review existing training materials.	Materials were reviewed based on the new database design and it was decided that a new module on using the new database was required.	
	Activity 4.3 Produce training materials.	A new training module is being produced. The production of this module will be completed once the new database is finalised because	
	Activity 4.4 Undertake training in key countries.	A CD will be produced with the new training module for distribution to all 175 CITES Parties and a training course run once the database is finalised.	

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## Annex 2 Project's full current logframe

Project summary	Measurable Indicators	Means of verification	Important Assumptions
<p>Goal:</p> <p>Effective contribution in support of the implementation of the objectives of the Convention on Biological Diversity (CBD), the Convention on Trade in Endangered Species (CITES), and the Convention on the Conservation of Migratory Species (CMS), as well as related targets set by countries rich in biodiversity but constrained in resources.</p>			
<p>Sub-Goal:</p> <p>CITES policy is effective in significantly reducing global illicit trade in African and Asian elephant ivory.</p>	<p>a) Vulnerable elephant populations stabilised.</p> <p>b) Declining trend in illegal trade in ivory.</p> <p>c) Reduction in illegal killing of elephants for ivory.</p>	<p>a) African Elephant Database (IUCN/SSC African Elephant Specialist Group);</p> <p>National elephant status reports in elephant range States.</p> <p>b) ETIS reports (TRAFFIC).</p> <p>c) MIKE reports (CITES Secretariat).</p>	
<p>Purpose</p> <p>Development of ETIS Phase 2: Enhanced and sustainable collection, management, analysis and reporting of seizure data for the Elephant Trade Information System (ETIS) to monitor illicit trade in ivory as mandated by CITES.</p>	<p>a) Phase 2 ETIS database operational by end of project.</p> <p>b) Analytical framework is in place.</p> <p>c) Standard Operating Procedures adopted by TESA.</p> <p>d) Improved reporting of seizures in majority of targeted countries.</p>	<p>a) Validation and approval of ETIS Phase 2, database, analysis and reporting, by TAG.</p> <p>b) Comprehensive ETIS analyses presented and accepted at MIKE/ETIS Subgroup of the Standing Committee.</p> <p>c) Changes in staff do not inhibit operation of ETIS.</p> <p>d) Seizure reporting rates to ETIS improved and gaps in historical data filled.</p>	<p>The mandate for ETIS remains in effect.</p> <p>CITES support for ETIS TAG continues</p> <p>CITES Management Authorities remain engaged and strive to improve performance</p>

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Project summary	Measurable Indicators	Means of verification	Important Assumptions
<p>Outputs</p> <p>1. Phase 2 ETIS software program developed, installed and in use.</p>	<p>1a. New database designed and functional specification written.</p> <p>1b. Available software platforms reviewed and evaluated.</p> <p>1c. Software developed.</p> <p>1d. Software installed and in use.</p> <p>1e. Train TESA staff in use of software.</p>	<p>1a. Functional spec. reviewed by TESA and accepted by TAG.</p> <p>1b. Report on likely sustainability of each option.</p> <p>1c/d. Installation tested; report on its use prepared by ETIS operator and validated by TAG members.</p> <p>1e. TESA staff independently using software.</p>	
<p>2. Improved analytical framework for assessing and reporting trends of illicit trade in ivory adopted and implemented.</p>	<p>2a. Methodology for future analysis to produce bias-adjusted indicators of illegal ivory trade developed and tested.</p> <p>2b. Recommendations drafted for a reporting framework and indicators to assist CITES in policy making.</p> <p>2c. Recommendations for country specific reports developed.</p> <p>2d. Software tools for reporting developed.</p> <p>2e. TESA staff trained in use of reporting tools.</p>	<p>2a. Methodology approved by TAG and paper submitted for publication.</p> <p>2b. Recommendations accepted by TAG</p> <p>2c. Recommendations accepted by TAG and positive feedback from elephant range states.</p> <p>2d. Software installed and tested.</p> <p>2e. TESA staff produce CITES and country reports.</p>	<p>TAG accepts the recommendations on methodology.</p>
<p>3. Enhanced measures for supporting the long-term operational sustainability of ETIS in place and functioning.</p>	<p>3a. Standard Operating Procedures (SOPs) for use of ETIS framework.</p> <p>3b. TESA staff trained in use of ETIS SOPs.</p>	<p>3a. SOP manual approved by TAG and used by TRAFFIC.</p> <p>3b. Performance evaluation of staff demonstrate effective use of SOPs.</p>	

Project summary	Measurable Indicators	Means of verification	Important Assumptions
<p>4. National CITES Management Authorities capacity for tracking and reporting illegal trade in elephant products in fulfilment of CITES requirements for participation in ETIS enhanced.</p>	<p>4a. Priority elephant range States where training most needed identified.</p> <p>4b. Review and update existing training materials.</p> <p>4c. Training programmes undertaken.</p> <p>4d. Report on training written and submitted to TAG.</p>	<p>4a. Assessment reports from ETIS highlight elephant range States and other key countries with poor law enforcement effort ratios.</p> <p>4b. Final training materials produced in appropriate languages.</p> <p>4c. Rate of reporting seizures to ETIS by target countries improves following training; law enforcement effort ratio improves; backlog elephant seizure data submitted to ETIS.</p> <p>4d. Training Report accepted by TAG.</p>	<p>4a. CITES Management Authorities embrace training and include cross-sectoral law enforcement authorities as participants.</p> <p>4b. Suitable trainers with requisite language skills identified and engaged for training events.</p>

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Project summary	Measurable Indicators	Means of verification	Important Assumptions
<p><b>Activities</b> (details in workplan)</p> <ul style="list-style-type: none"> <li>1.1 Review existing database software.</li> <li>1.2 Prepare functional specification of new database.</li> <li>1.3 Evaluate available software platforms.</li> <li>1.4 Design and produce the software.</li> <li>1.5 Install and test the software.</li> <li>1.6 Revise the software.</li> <li>1.7 Train TESA staff in using the new software.</li> <li>2.1 Identify indicators and data required for them.</li> <li>2.2 Analyse existing data to evaluate statistical methods for producing bias-adjusted indicators.</li> <li>2.3 Design the new ETIS reporting framework.</li> <li>2.4 Write two papers on methodology to submit to peer-reviewed journals.</li> <li>2.5 Write software for producing the indicators.</li> <li>3.1 Analyse and review all ETIS operations.</li> <li>3.2 Draft a Manual of Standard Operating Procedures (SOPs).</li> <li>3.3 Revise the Manual in the light of Output 1.</li> <li>3.4 Submit SOPs to TAG and revise as required.</li> <li>3.5 Train TESA staff in use of SOPs.</li> <li>4.1 Identify range states with greatest need of training.</li> <li>4.2 Review existing training materials.</li> <li>4.3 Produce training materials.</li> <li>4.4 Undertake training in key countries.</li> <li>4.5 Prepare training report and present to TAG.</li> </ul>			

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**Annex 3 Onwards – supplementary material (optional but encouraged as evidence of project achievement)**

- (a) Results of external beta testing
- (b) [Abstracts for Pdfs of](#) posters to Planet Under Pressure 2012 Conference and Time for Causality Workshop.

## Checklist for submission

	Check
<b>Is the report less than 5MB?</b> If so, please email to <a href="mailto:Darwin-Projects@ltsi.co.uk">Darwin-Projects@ltsi.co.uk</a> putting the project number in the Subject line.	<a href="#">Yes</a>
<b>Is your report more than 5MB?</b> If so, please discuss with <a href="mailto:Darwin-Projects@ltsi.co.uk">Darwin-Projects@ltsi.co.uk</a> about the best way to deliver the report, putting the project number in the Subject line.	<a href="#">Yes</a>
<b>Have you included means of verification?</b> You need not submit every project document, but the main outputs and a selection of the others would strengthen the report.	<a href="#">NA this year</a>
<b>Do you have hard copies of material you want to submit with the report?</b> If so, please make this clear in the covering email and ensure all material is marked with the project number.	<a href="#">Yes</a>
Have you involved your partners in preparation of the report and named the main contributors	<a href="#">Yes</a>
Have you completed the Project Expenditure table fully?	<a href="#">Yes</a>
Do not include claim forms or other communications with this report.	