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PROJECT DOCUMENT

Project title: Community-based natural resource management that resolves conflict, improves livelihoods, and restores ecosystems throughout the elephant range		
Country: Republic of Mali	Implementing Partner: Ministry of the Environment, Sanitation, and Sustainable Development	Management Arrangements : National Implementation Modality (NIM)
UNDAF/Country Programme Outcome: Outcome 2: Disadvantaged groups, particularly women and young people, benefit from productive capacities in a healthy (natural) environment that is conducive to poverty reduction		
UNDP Strategic Plan: Integrated Results and Resources Framework Output 2.5: Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access- and benefit- sharing of natural resources, biodiversity, and ecosystems, in line with international conventions and national legislation.		
UNDP Social and Environmental Screening Category: High Risk	UNDP Gender Marker: 2 (the project has gender equality as a significant objective)	
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Brief project description: The “Conservation of the Malian Elephant” project addresses problems within the Gourma region that include illegal wildlife trade, natural resources management and human-elephant conflicts. Located in Mid-Northeast Mali, the Gourma is one of the country’s four natural regions of highest biodiversity and home to endangered Gourma elephants. Accounting for 2% of all West African elephants, these animals are threatened by the substantial surge in poaching after 2012 as well as other anthropogenic factors as unsustainable water consumption, overgrazing, deforestation, and interruption of migration routes. The project objective is to protect Mali’s elephants in key sites and enhance the livelihoods of the local communities that live along the migration route to reduce human-elephant conflict. The objective will be achieved via implementation of four components: (1) Component 1. Strengthening the legislative framework and national capacity to address wildlife crime; (2) Protecting Gourma elephants from poaching and securing seasonal migration routes and key habitat; (3) Community-based natural resource management (CBNRM) in the Gourma elephant habitat; and (4) Gender Mainstreaming, Knowledge Management and M&E. This project forms part of the GEF Programmatic Approach to Prevent the Extinction of Known Threatened Species, and falls under the GEF Programme Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development (9071). Under this programmatic framework, with the coordination through the programme steering committee, coordinated knowledge management and collaboration		




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Mali Elephant Project		USD 6,781,675
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SIGNATURES		
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List of acronyms and abbreviations

CBD	Convention on Biological Diversity
CBNRM	Community Based Natural Resource Management
CBWS	Community Based Water Monitoring
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
CMS	Convention on Migratory Species
DNEF	<i>Direction Nationale des Eaux et des Forêts</i> (Ministry of the Environment and Sanitation)
FSP	Full Sized Project
GEF	Global Environment Facility
GEFSEC	Global Environment Facility Secretariat
ICCWC	International Consortium on Combating Wildlife Crime
ICFC	International Conservation Fund of Canada
IUCN	International Union for Conservation of Nature
IWT	Illegal Wildlife Trade
LDC	Least Developed Countries
MESSD	<i>Ministère de l'Environnement et de l'Assainissement</i> (Ministry of Environment, Sanitation and Sustainable Development)
MEP	The Mali Elephant Project
MINUSMA	United Nations Multidimensional Integrated Stabilization Mission in Mali
MSP	Medium Sized Project
M&E	Monitoring & Evaluation
NEPP	National Policy for Environmental Protection
PA	Protected Areas
PADRE	<i>Décentralisation et réforme de l'État</i>
PASARC	<i>Résilience des populations aux crises climatiques et sociales</i>
PGDTE	<i>Projet Gestion Durable des Terres et des Eaux</i>
PIF	Project Identification Form
PIR	GEF Project Implementation Report
POPP	Programme and Operations Policies and Procedures
PoWPA	Programme of Work on Protected Areas of the Convention on Biodiversity
PPG	Project Preparation Grant
PRAPS	Projet régional d'appui au pastoralisme au Sahel (Regional Project to Support Pastoralism in Sahel)
SFM	Sustainable Forest Management
SGP	Small Grants Programme
SLM	Sustainable Land Management
STAP	GEF Scientific Technical Advisory Panel
UNDP-GEF	UNDP Global Environmental Finance Unit
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization

I. DEVELOPMENT CHALLENGE

Mali is located in West Africa. It is a landlocked country bordered by seven countries: Algeria, Niger, Burkina Faso, Côte d'Ivoire, Guinea, Senegal, and Mauritania. It is the eighth largest country in Africa, with an area of just over 1,240,000 km². With about 18 million inhabitants¹, Mali still has a predominantly rural economy and is classified as one of the 48 least developed countries (LDCs) in the world. Mali's northern borders reach deep into the middle of the Sahara Desert, while the country's southern area, where the majority of inhabitants live, features the Niger and Senegal rivers. Most of the country lies in the southern Sahara Desert, an extremely hot, dust-laden Sudanian savanna zone. Mali is mostly flat, rising to rolling northern plains covered by sand.

As one of the countries located in the Sahara Desert, Mali lies in the torrid zone and is among the hottest countries in the world. The thermal equator, defined by the set of locations having the highest mean daily annual temperature on the globe, crosses the country. The country receives negligible rainfall and droughts are therefore frequent. Mali's continental inter-tropical rainfall regime is characterized by a gradient in quantity of precipitation and duration of the rainy season which decreases from the south to the north of the country (ranging from ~1200 mm to less than 200 mm). This irregular distribution of precipitation is coupled with high variability. During the wet season, rainfall has decreased 20% on average from 1971 to 2000 (the most recent period of reference) relative to 1951 to 1970. This has resulted in a displacement of the isohyetal line (a line joining points of equal rainfall) to 200 km to the south of its previous location.

Due to the variety of natural environments, the Malian flora is very diverse. Botanists G. Boudet and J. P. Lebrun recorded 1,739 spontaneous woody species in 1986, belonging to 155 different families. Eight species are endemic to Mali: *Maerua de waillyi*, *Elatine fauquei*, *Pteleopsis habeensis*, *Hibiscus pseudohirtus*, *Acridocarpus monodii*, *Gilletiodendron glandulosum*, *Brachystelma medusanthemum* and *Pandanus raynali*². Several trees are typical of Malian vegetation, including baobab, shea, nere, tamarind, rônier or balazan. Mali's fauna is characterized by a diversity of species but a small number of individuals. Mammals are represented by 136 species, recorded in 1989 by IUCN³. Some of them are on the verge of extinction like the Dama gazelle (critical extinction hazard), the chimpanzee, and the wild dog. Vulnerable species include cheetahs, Barbary sheep, Dorcas gazelles, hippopotamus, and elephants. More than 640 bird species have been recorded in Mali, including many migratory birds that come to stay in the Inner Niger Delta⁴.

Mali's rich and varied flora and fauna heritage is mainly threatened by human-induced threats: habitat degradation and conversion to agriculture, over-harvesting of woodland products, poaching, over-fishing, over-grazing and bush fires. This situation is exacerbated by an increased variability of rainfall in recent years and growing human population. Nevertheless, Mali's increased awareness on biodiversity issues led to the creation of several protected areas. In 2014, Mali's network of 27 protected areas covered an area of 9,010,757 ha – about 8% of the national territory. This network of protected areas is composed of National parks, a Biosphere Reserve, Sanctuaries or Special Reserves, and Wildlife Reserves.

The Gourma region, located in the Sahelian zone between the three administrative districts of Timbuktu, Mopti and Gao, is one of the highest value in Mali in terms of biodiversity according to the National Biodiversity Strategy⁵ (Fig. 1). The area is represented by flat clay pans, laterite plateaus and sandstone inselbergs⁶ with dominance of sandy substrates covered in grasses and acacia scrubs, some areas having

¹ <https://data.worldbank.org/country/mali>

² G. Boudet et J.P. Lebrun, cité dans Situation générale de la diversité biologique au Mali

³ <https://www.cbd.int/doc/world/ml/ml-nbsap-powpa-fr.pdf>

⁴ <https://www.cbd.int/doc/world/ml/ml-nbsap-powpa-fr.pdf>

⁵ <https://www.cbd.int/doc/world/ml/ml-nbsap-v2-fr.pdf>

⁶ Geospatial analysis of African elephant movement (Loxodonta africana and L. cyclotis), Jacob C. Wall, 2015.

denser vegetation and forests are located in water drainage areas. Ranked by the percentage of provincial administrative area they cover, the main vegetation formations of the Gourma region are: wooded savannah (34.8%), shrub savannah (30.4%), fallow and agriculture (20.2%), and burnt surface (7.4%)⁷. Banzena, Gossi and Agofou lakes are the only lakes in the area that retain water all year round⁸, although the latter two are heavily used and impacted by humans. Even these water sources can occasionally dry up completely in dry years. A marked rainfall gradient spans the Gourma with average annual rainfall of 450 mm in the extreme southern range, progressively declining to 150 mm in the extreme north. The region experiences a single rainy season with most precipitation falling between late June and late August followed by a dry season lasting from 8 to 10 months (PIRT 1983, cited in Blake et al., 2003). Long-term rainfall data for this region that exist from the 1920s reveal droughts and a series of years with above-average rainfall occurring at unpredictable intervals (Leeuw et al., 1993). However, although rainfall has increased in recent years, its variability has also increased.

Among large mammalian species inhabiting the region are endangered West African elephants (*Loxodonta africana*), Dorcas gazelle (*Gazelle dorcas*), red-fronted gazelle (*Gazelle rufifrons*), common jackal (*Canis aureus*) and Africa wild cat (*Felis libyca*). Elephants once occupied a largely continuous range across West Africa, from the coastal forests to the Sahara, but are now restricted to small, highly fragmented, geographically isolated populations, with over half containing fewer than 100 individuals. The elephants of the Gourma region in Mali are a notable remnant population, representing 2% of all West African elephants. They are the continent's most northerly elephants and the most adapted to arid conditions. Gourma elephants range within the bend of the Niger River in Mali southward to the border region with Burkina Faso, generally between 14.30°N and 16.50°N, and 0.55°W and 2.55°W. They move long distances in a circular migration pattern over a range of more than 32,000 km² with individual home ranges being the largest recorded in Africa (Wall et al. 2013) (Fig. 1). The elephants have historically lived in relative harmony with the peoples of the Gourma, but increasing human activity (particularly the spread of agriculture into the area, increasing livestock, settled human communities and water development programs) is making it more difficult for the elephants to find the resources they need, despite the fact they try to avoid areas of human activity. Possibly because of the tolerance of local people, the isolation of the region, and their small, low-quality tusks, the population escaped obliteration by the intense poaching of the 1980s, which extirpated all populations that once existed across the Sahel. As one of the most important in the West African region, Gourma elephant population is accorded a high priority in the regional elephant strategy of the IUCN⁹. Studies on the population size suggest that the number of elephants has remained somewhere between 300 and 700 (487 in average) from the 1970s to the beginning of the conflict in 2012¹⁰, but after the area was occupied by jihadists the number of the elephants dropped to 256-306 in 2015, and to approximately 196-246 in 2016¹¹ due to poaching. Studies on the age structure of the Gourma elephants done in 2004-2006 show a relatively old population with over 50% of the population being adult (high proportion in comparison with other elephant populations in Africa) (Lindsey, Hema and Barnes reported in Canney et al., 2007). This is likely to be indicative of the harsh environment and long migration which causes high calf mortality, but means that the population is vulnerable to any increase in stress that affects their survival, like poaching (Canney et al. 2007). The annual rate of increase of Gourma population was estimated as 1.4% only (Canney et al. 2007), that is very low in comparison of other elephant populations in Africa (5% in average).

In the harsh and variable environment of the Sahel, the ability to migrate and move is critical to elephant survival. Migration allows higher populations to exist than if the same animals are sedentary, and this applies for both wild and domestic species. Where such migrations have been impeded, animal numbers have

<https://open.library.ubc.ca/cIRcle/collections/ubctheses/24/items/1.0135672>.

⁷ Direction Nationale des Eaux et des Forêts du Mali (information provided to the national PPG consultants in September 2017).

⁸ Ebanguimallen lake has water almost all year round/

⁹ IUCN, WWF, CMS, and SSC. 2005. Strategy for the conservation of West African Elephants

¹⁰ Douglas-Hamilton 1979; Barbier and Perrier 1990; Jachmann 1991; Blake et al. 2003; Lindsey, Hema and Barnes reported in Canney et al. 2007; Bouche et al. 2009; Dias et al. 2015.

¹¹ At least 64 elephants were poached in the area after 2015

declined drastically, often to a level where the population is no longer viable and dwindles to zero. The elephant range in Gourma can be thought of as being in two seasonal halves: the wet (south) and the dry (north) season ranges. The border between them roughly follows the RN16 between Sevare and Gao, the only metalled road in the region (Fig. 1). The north part is characterized by open sandy steppe and savannah with sparse trees (mainly *Balanites aegyptiaca* and *Acacia* spp.), sparsely vegetated dune formations, and shrubby woodland stands occurring in bottomlands and drainage-ways. The south is dominated by bands of low and relatively thick 'tiger bush' complex, dominated by *Grewia bicolor*, *B. aegyptiaca* and *Acacia* spp., alternating with dune, open steppe and vegetated dune formations (Jachmann, 1991). Throughout the study region, trees are small, and their density and height increases from north to south. Isolated woodland stands, usually surrounding waterholes and following drainage lines, provide the main elephant habitat. Erosion by wind and water occurs throughout the study region and is particularly pronounced in devegetated areas heavily used by livestock.

In 1959, part of the Gourma region (about 1.25 million hectares) was classified as a "Partial Elephant Reserve". It covers around 25% of the elephant migration route (Fig. 1). The western extension of the reserve covers an area that was frequented by elephants before the 1980s. Although this area has since been abandoned by the elephants, occasional scouts are sighted each year. The reserve regime forbids no activities apart from the hunting of protected species, and the Reserve has received no management to date.

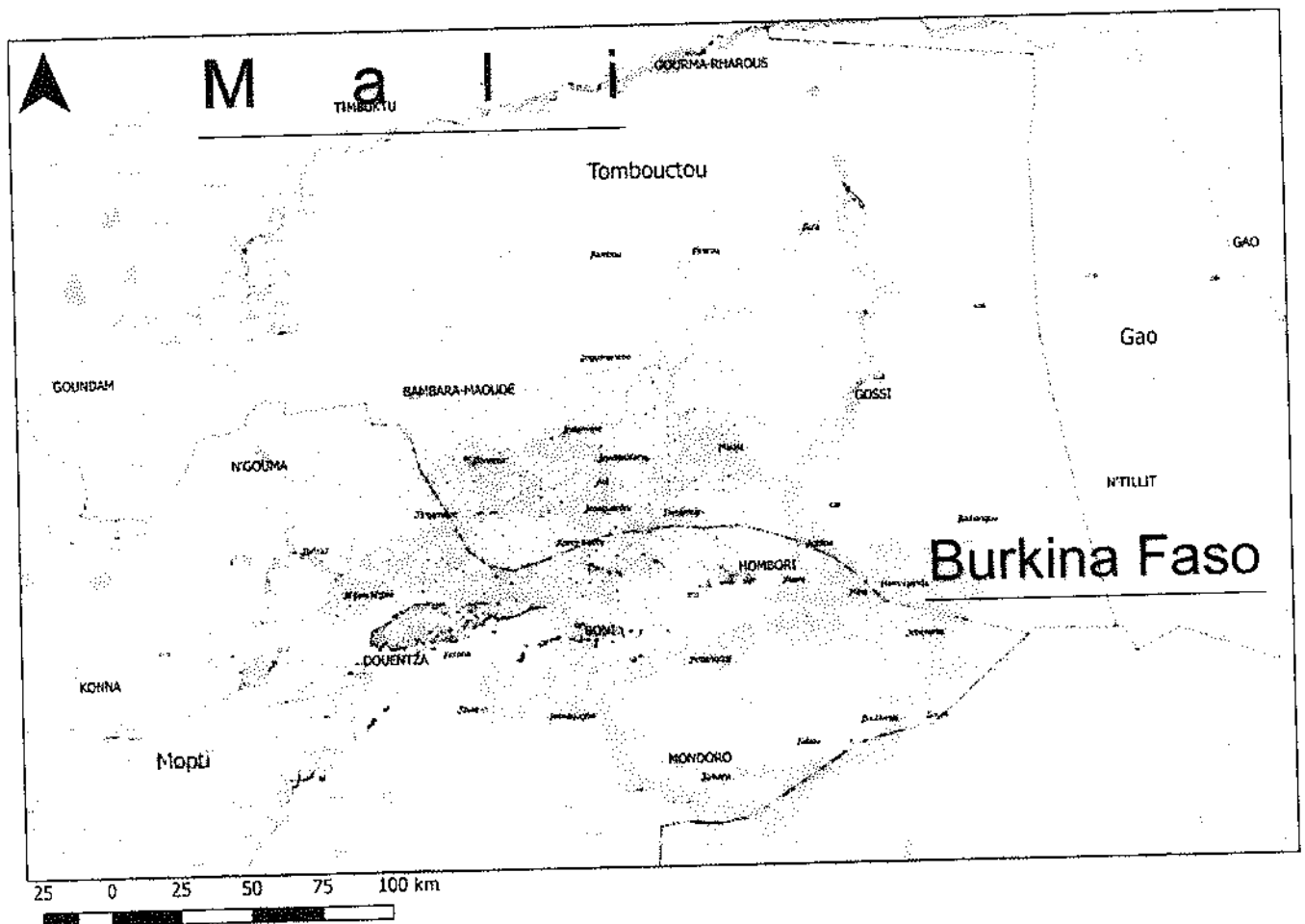


Figure 1. Gourma region with the elephant migration route in relation to the Gourma region, which is bounded by the river Niger to the north and east, the inner delta to the west and Burkina Faso to the south. The route is shown as a density plot in which the redder the colour, the more heavily frequented the area is by the elephants, whereas the majority of the migration route is shown in blue. The partial elephant reserve is shown in stipple; escarpments in grey and the main road that bisects the migration route in yellow. The frontier with Burkina Faso is shown in grey to the far south of the migration route.

Direct Threats to Gourma elephant population and their magnitude

Key direct threats for Gourma elephants are represented by poaching, conversion of elephant habitat to agriculture, competition with livestock for water and forage, deforestation of wooded savannah and riparian ecosystems, bush fires, and increasing variability of the rainfall. All mentioned threats lead to increase of the human-elephant conflicts that may potentially result in retaliatory killing of elephants in future (no cases of retaliatory killing have been known in the area yet).

Poaching. Poaching in Africa has surged dramatically since the late 2000s, mostly due to increased demand from Asia and particularly China where ivory products are very popular among the widening middle-class. The main problem is export of consolidated shipments and later sale in Asia, where Chinese nationals were by far the most frequently identified ivory buyers, representing most of the demand for raw and worked ivory in the region. While ivory sold for around US\$200 per kilogram in China in 2003, the same quantity sold for US\$2,500-\$3,000 in 2013. However, recent ivory legislations in China have decreased ivory prices to about US\$850 in 2017. Unfortunately, the decline in ivory prices is not linked to a parallel decrease in elephant poaching¹².

In the Gourma, poaching was virtually unknown before 2012 when a national coup, Tuareg rebellion and jihadist insurgency resulted in loss of government control in Gourma. The region became lawless and government has never really returned since. For the first three years, community systems were able to contain the poaching but a decrease in security towards the end of 2014—beginning of 2015 associated with extremist groups trying to derail the peace process, and a sudden targeting of the elephant range by external trafficking networks resulted in an escalation of poaching. Three times as many elephants were killed in the first 6 months of 2015 than in the previous three years combined. Local military bases were engaged to conduct patrols while an anti-poaching unit was being created, equipped and trained (under support of MEP) and the poaching rate per month declined. Since poaching began in January 2012 163 elephants have been poached with a poaching peak in 2015 (79 elephants), however there has been no poaching since the MEP anti-poaching unit became fully operational in February 2017 (Fig. 2, a and b).

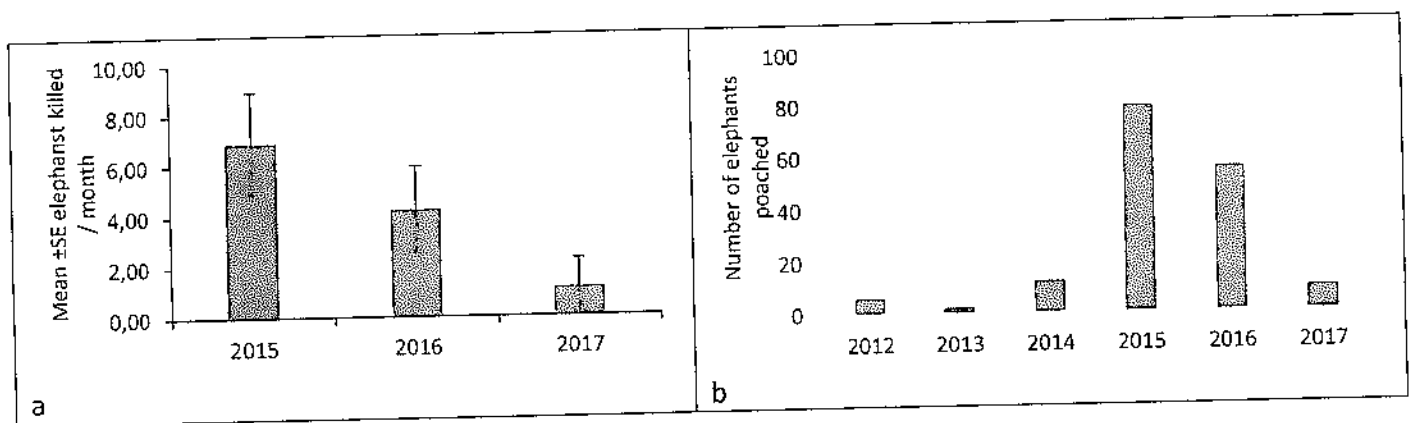


Figure 2. Elephant poaching rate in 2015-2017 (a); and total number of elephants killed annually in 2012-2017 in the Gourma area (Mali Elephant Project Database 2017).

There are two distinguishable aspects of Mali's involvement in illegal wildlife trade. One is the killing of Gourma elephants and the trafficking of their ivory. The other is the role that Mali and Malians play in the

¹² Status of elephant populations, levels of illegal killing and the trade in ivory: A report to the CITES Standing Committee' just prepared for 69th meeting of the CITES Standing Committee <https://cites.org/sites/default/files/eng/com/sc/69/E-SC69-51-01-A.pdf>

international trade in illegal wildlife products, especially ivory. There is very little information on illegal wildlife trade from within Mali, but a much larger number of cases from outside the country implicating Mali. This suggests that it is an important country for the illegal wildlife trade, but that there is little law enforcement action. Thus, there have been very few reports to the CITES on interceptions of illegal wildlife shipments. There have only been two small seizures of ivory in Mali reported from 2003 and 2013. On the other hand, 81 other seizures, totaling an estimated 2.3 tons of ivory, were made by 15 other countries which identified Mali as the origin or exporting country for the ivory in question or involved cases in which Malian nationals were arrested in conjunction with the seizure. Only 13 cases involved raw ivory, while all the others concerned worked ivory products; 57% of these shipments were seized in or on their way to China, but only one small consignment in 2015, and nothing since. Since 2011, Malian nationals have been arrested in the Ivory Coast, Congo, Gabon, Nigeria, and Zimbabwe as well as in Belgium¹³.

Poaching and Illegal Wildlife Trade (IWT) also pose serious security threats since various militia groups and criminal networks including in Mali are attracted by the potential for high profit margins¹⁴. Thus, in Mali poaching is happening within the context of a serious armed conflict that is partly occurring within the elephant range. The elephant range also sits on several major trafficking routes. In January 2012, an armed conflict broke out in northern Mali, in which Tuareg rebels took control of the region by April and declared the secession of a new state – Azawad. The conflict was complicated by a military coup that took place in March and later by conflicts between Tuareg and Islamist rebels¹⁵. The low capacity of the government and the army make it hard to solve the security issue. International interventions (i.e. through the French government and the UN) are failing to resolve the crisis. Both the government of Mali and its French partner have struggled to establish a viable local order, even as the French Operation Serval transitioned to the much more geographically expansive Operation Barkhane and the UN Multidimensional Stabilization Mission in Mali (MINUSMA) deployed 12,500 peacekeepers into the country¹⁶.

The military conflict in the area has a variety of effects on the elephant population. Weak security derails the national and local economy, which makes it easier to conduct illegal activity. Youth unemployment plus lack of government investment and presence in the area facilitates the recruitment of young men by extremist groups. In addition, the armed conflict is a serious obstacle for local and national public authorities such as the DNEF to engage in effective anti-poaching activities. On September 21, 2017, a final ceasefire agreement was reached between the former independence rebels and pro-government armed groups. Their confrontations had paralyzed the peace process signed in Algiers in 2015¹⁷. This new event could be a boon for elephant protection in Mali, as the security tensions should decrease providing opportunity for this GEF project.

Conversion of elephant habitat to agriculture is a result of population pressure from the south, as people search for new land to farm, plus shifting agriculture that ultimately results in soil erosion and loss. Well-intentioned development interventions have exacerbated the problem and exacerbated social tensions e.g. the thoughtless provision of water-points encouraging settlement and a “free-for-all” natural resource in the elephant habitat. Agricultural development around the lakes decreases elephant access to water sources and is pushing herders further in the elephant habitat with thousands of livestock. While the north of the elephant range is predominantly a pastoral area, the south – between the RN16 to the frontier with Burkina Faso – is an agricultural and agro-pastoral area comprising the Ferro de Boni, the Seno-Mondoro and the Finta. Thus, the Gourma area is very diverse on the type of natural resource use by different ethnicities and communities and includes following models (Maiga 1996; Ganame 1999):

¹³ Tom Milliken (TRAFFIC) pers. comm.

¹⁴ Wildlife Poaching: Africa's Surging Trafficking Threat

¹⁵ Reconstructing local orders in Mali: Historical perspectives and future challenges, A. Lebovich, June 2017, The Brookings Institution <https://www.brookings.edu/research/reconstructing-local-orders-in-mali-historical-perspectives-and-future-challenges/>

¹⁶ <https://minusma.unmissions.org/>

¹⁷ <https://fr.news.yahoo.com/mali-groupes-arm%C3%A9s-nord-entrent-hache-guerre-050837636.html>

- Pastoral (nomad) system of the Tuareg;
- Agro-pastoral system of the Peulh, Sonrhai, Bellah and Dogon, in which animals are kept around the villages during the dry season. In the wet season the animals are moved away from the villages and/or northwards to the pasture of the dunes of the non-cultivated regions, and return to their villages at the end of the harvest and the beginning of the dry season. Fields are also cultivated in small parcels around villages and from cleared bush often situated in lowlands;
- The Dogons, Sonrhai and Peulhs tribes for whom agriculture is their principal activity cultivate large fields of grain and store their harvest in stores in the fields or close to villages, and sell their cereals in the markets of Boni, Hombori and Djibo in Burkina Faso.
- Gardening is practiced by sedentary populations (chiefly Bellah and Sonrhai) around perennial water holes such as Gossi, Dimamou, Adiora and Inadiatafane. Millet, sorghum, maize and watermelons are cultivated in the wet season and vegetables and spices for the rest of the year.

In addition, herds from the Delta and neighbouring countries (Niger and Burkina Faso) use this area as wet season pasture and there can be conflict between herders and agriculturalists when fields are cleared on the paths of the herds and the animals enter into the fields.

Market gardening is developing in the low-lying areas around water holes frequented by domestic livestock, as well as wild fauna for watering. Obviously, the gardening prevents access of elephants to water sources and lead to HEC, most clearly demonstrated at the perennial Lake Gossi, which was heavily used by elephants pre-1980s but the development of a town and gardens around the lake mean that it is hardly used at all. The rainwater harvesting pits dug by the Gourma populations to support farming in the south of the elephant range, in particular, the Dogon, are sometimes used by elephants seeking water as the ephemeral waterholes dry up. Occasionally an elephant falls in and may die because the steep sides make it difficult for them to climb out¹⁸. Habitat clearance for agriculture in bush fields and forests in drainage ways and around lakes is the most important driver of deforestation in the Gourma area.

While each ethnicity has systems of natural resource management they are reluctant to respect those of another ethnicity. In recent years, increasing sedentarisation has led to changes in land use, and particularly an expansion of agriculture. Just as people from the south are looking for new arable land, dispossessed herders are shifting to land exploitation. This high pressure is leading to soil erosion and loss. Development interventions have reinforced the expansion's impact through the provision of water points that encourage settlement and natural resource exploitation as well as financial incentives that attract agriculturalists from other regions. This can lead to conflict over access to the same resources, between transhumant pastoralists and farmers on the one hand, and men and elephants on the other. This competition is most often at the expense of elephants, who have seen their territory shrink over the years under increasing anthropogenic impact.

Competition with livestock for habitat and **overgrazing** is a result of increasing pressure from the river towns, Niger, and Burkina Faso where there is a tendency for individuals to amass large herds that travel to the Gourma to find pasture in the elephant habitat. Livestock represents a particularly huge part of agriculture's pressure on natural resources and elephant habitat as middle-class owners keep large herds (thousands of animals) that need an ever-increasing amount of pasture and water. Thus, 96% of cattle using Lake Benzena consist of such livestock: in December 2008, a survey conducted by the Mali Elephant Project of all the 730 residents living within 10 km of the lake plus the 95 migratory herders present found that the total number of cows owned by the residents was 982, while the migratory herds numbered 23,159 cows (Ganame et al., 2009). The consequences of such livestock breeding include: a degradation of the condition of the lake, which is now close to drying up as a result of increased water consumption by livestock and

¹⁸ Idem.

increased siltation as a result of grazing caused sand soil erosion; degraded water quality leading to water-borne diseases and miscarriage among local women (at Lake Banzena in December 2008 67% of the children suffered from bilharzia and 41% from stomach upsets and vomiting; while among the women 54% suffered from stomach upsets and vomiting and 37% had miscarried in the previous 2 years); and limited water access for elephants (mainly at the end of dry season). Moreover, Banzena and the other lakes of the north became poaching hotspots during the dry season because of the ease to find elephants, and their remoteness, outside of mobile phone coverage. Moreover, these were areas frequented by bandits and jihadists associated with poachers due to the thick cover of surrounding thicket forest.

Deforestation of wooded savannah and riparian ecosystems (elephant habitat) is as a direct result of:

- Habitat clearance for agriculture for both bush fields and particularly forests in drainage ways and around lakes (see below);
- Consumption of wood for construction driven by increasing demand from urban centers outside of the project area;
- Abusive cutting of tree branches for livestock forage;
- Consumption of firewood and production of char-coal mainly for urban centers;
- Local consumption of firewood: 100% of population of the Gourma and its neighbouring regions depends on indigenous firewood as a source of energy.

Despite the fact that forest and woodlands take only a very small part of Gourma area (no more than 4,033 ha¹⁹), these ecosystems represent important habitat for elephants and are very significant for local communities. Given the Global Forest Watch data (2000-2016), the tree cover loss in the area before 2012 was very low (less than 1 ha annually), after 2012 it increased 4 times up to 4.1 ha annually in 2012-2016.

Bush fires emerge in the elephant habitat in the dry season as a result of poor fire management by local people, mainly caused through making tea, cigarette butts, and cooking. However, some local tribes practicing agriculture make bush fires intentionally to burn pastures and prevent herders coming in the area. With increasing human population bush fires become more frequent decreasing forage for both elephants and livestock and contributing to deforestation in the project area. Thus, in the dry season October 2016-May 2017 the total area of the bush fires impacted about 48,000 ha²⁰ in the Gourma region.

Human-elephant conflicts (HEC). All the threats mentioned above directly or indirectly contribute to the level of human-elephant conflicts in the area. The main conflicts are the following:

- Elephant attacks on herders and livestock who have a system of herding that uses the forests used by the elephants (0-2 people are killed annually);
- A tendency for very small numbers of elephants to stay close to managed water-holes in the south of the elephant range rather than migrate. It often leads to elephants' attacks on human and livestock that use the same water-holes;
- Elephants seeking water can trample gardens and kill livestock if a path is not left for them. Thus, elephants kill 20-30 heads of livestock annually in Gourma area straying to access water;
- Clearing elephant habitat for fields resulting in crop destruction or raiding grain stores kept in fields (communes of Haire, Mondoro and Hombori in the south). There are also incidences of raids on

¹⁹ Global Forest Watch 2016

²⁰ Analysis of MODIS Burned Area Monthly L3 Global 500m data for October 2016 – May 2017

gardens at Dimamou, Gossi, and Inadiatafane where irrigated gardens have been created around lakes on access routes used by elephants. There are around 7-8 such incidences annually.

However, in comparison with countries in East and South Africa, HEC level in Gourma area is very low. No cases of retaliatory killing of elephants by local people are known in the area. However, due to increasing population and intensive agriculture development level of HEC can increase in the area potentially leading to retaliatory killing of the elephants.

Increased variability of rainfall and increased runoff. As it was said above there are very few water bodies in the Gourma area that keep water all year round or most of the year. Even these water sources can occasionally dry up completely in dry years. Associated with increasing water consumption for agriculture and livestock in the area lack of available water for elephants is a serious threat for the Gourma population survival. Long-term rainfall data for this region reveal droughts and a series of years with above-average rainfall occurring at unpredictable intervals (Leeuw et al., 1993). However, although rainfall has increased in recent years, its variability has also increased. This high variability of precipitation may lead to several consequent years with very little rainfall that can heavily impact the Gourma elephant population depending on few unstable water sources.

All the threats above contribute to increase of the elephant mortality (especially from poaching) and can lead to extinction of the population given its very low rate of increase. The summary direct threats and their drivers (immediate and root causes) to the Gourma's elephant population and entire biodiversity are shown in Table 1 and Fig. 3.

Table 1. Direct Threats and their drivers for elephant population and biodiversity in the Gourma region.

Direct Threats	Threat Level	Drivers (causes)
Poaching	Very High	Poaching and IWT as a response to high demand for ivory from China, Thailand, Viet Nam, Europe, and USA Continuous military conflict in the North Mali, including Gourma area, significantly contributed to increase of poaching and IWT in recent years. The conflict makes it almost impossible for DNEF to protect the elephants and provides cover for IWT by involved terrorist groups.
Potential retaliatory killing of the elephants	The threat does not exist now, but can emerge because of increasing human encroachment in the elephant habitat	Increase of human-elephant conflicts due to expansion of human activity in the elephant habitat as a result of increasing human population, absence of land use planning and implementation of land use regulations associated with increasing area of agriculture, decreasing access to water sources, and increasing number of livestock in the elephant habitat. However, no cases of retaliatory killing of the elephants have been known in the area yet.

Deforestation	High	Deforestation of woodlands and forests in the project area is caused by agriculture development, timber harvesting and increasing firewood consumption from the urban centers and local population
Bush Fires	High	The vast majority of bush fires are human caused through making tea, cigarette butts, and cooking. The system of fire management is almost non-existent in the area.
Expansion of agriculture and settlements	High	Increasing human population, demand for agricultural products, associated with lack of land use planning and control from government agencies (especially in the southern part of the elephant range).
Overgrazing	High	Increasing number of livestock, driven by increasing wealth of urban dwellers and commercial interests reducing the amount of time the land is able to rest and recover from intense impact.
Increased variability of rainfall and increased runoff	High	This is a naturally variable and highly seasonal environment with ecosystems adapted to that, but rains have become more unpredictable in recent years (even though the amount of rain has increased in recent years and the desert is moving north). Probably, this is a result of global climate change too.

Relevance of the development challenge to national development priorities. The protection of the environment is rooted in the Constitution of Mali of 1992. The policy framework is provided by the National Policy for Environmental Protection (NEPP) adopted in 1998. The Gourma is mentioned in the National Biodiversity Strategy (adopted in 2001) as one of the four natural regions of highest biodiversity value in Mali. The key challenge stated in the fourth and fifth national reports published in 2009 and 2014 is land-use rights of local communities and this is enshrined in Decentralisation legislation (organization and modalities for functioning are articulated in the arrêté n° 93-0965/MATS-CAB of 02 March 1993; the tasks of implementing bodies specified in the decree n° 93-001/PM-RM). Mali is a party and has obligations to the Convention on Biological Diversity (CBD), CITES and the Convention on Migratory Species (CMS). The African elephant is listed in Appendix II of the CMS and the West African elephant population is the subject of the CMS “MoU Concerning Conservation Measures for the West African Populations of the African Elephant” (2005). The Government of Mali has clearly identified the elephants as an important national heritage and the need to build capacity in the protection of its key biodiversity (Strategie Nationale et Plan D’actions pour la Diversite Biologique, Mali, 2014). Thus, 25% of the elephant range in the country is covered by an elephant Partial Reserve (La Réserve partielle des éléphants du Gourma) of 1,250,000 ha, created in 1959 under the law n°59-53/AL, however the only prohibited human activity in the reserve is the hunting of protected game species. Despite low capacity, there is a strong desire at high levels of government to conserve this elephant population. It has been discussed in cabinet three times and during a full session of Parliament, thanks to questions put to the Prime Minister by the leader of the Parliamentary working group on wildlife who are keen to ensure that the required legislation is enacted to enable Mali to fulfill its international commitments and protect the elephants. To preserve elephant habitat and its inhabitants, an application was submitted to the United Nations Educational, Scientific and Cultural Organization (UNESCO) in late August 2017 to

establish a Cultural and Natural World Heritage Site of outstanding universal value in the Gourma region²¹. Mali CITES implementing legislation is assessed by CITES Secretariat as Category 2 (not meeting all essential requirements for implementation of CITES) and currently UNEP and CITES Secretariat are actively working with Mali government to improve it²².

The Mali Elephant Project (MEP) has been in existence in the country since 2002 and works closely with the government and local communities.²³ After three years of scientific studies (2003-2006 summarized in Canney et al, 2007), a period of stakeholder engagement and outreach followed to understand the social context and build a shared vision for human-elephant co-existence (2007-2009). This has provided the basis of a project that, continuously in operation since 2009, empowers local communities to reverse the degradation of natural resources at the same time as protecting elephants, their habitats (and associated biodiversity) and the elephant migration route. A successful “war-tested” model has been developed and this now needs scaling up and applied across the whole of the elephant range and its immediate hinterland (40,000km²). The model uses the decentralization legislation of Mali to address the anarchic over-exploitation of natural resources through bringing the diverse ethnicities and clans together to agree a common system of resource management that improves local livelihoods, reverses environmental degradation, and thereby increases the resilience of the ecosystem to cope with environmental variability. In all, the MEP has invested approximately US\$7 million in the Gourma region conservation since its inception in 2002. The MEP has continued working in the area throughout the conflict. The MEP has also raised money and liaised with the Malian army and MINUSMA (United Nations Multidimensional Integrated Stabilization Mission in Mali) to conduct military patrols until the foresters are ready for deployment. Mali has a MIKE site that is also a target project site for the child project.

The MEP has invested \$913,300 and worked with DNEF to build government capacity in creating 10 new forester posts, training 50 newly recruited rangers, providing a radio-communications system, motorbikes and equipment and establish an Anti-Poaching Unit in the Gourma area. The Unit was established under a tripartite protocol between the DNEF, FAMA and Wild Foundation in 2016 (Protocol tripartite de collaboration entre la Direction Nationale des Eaux et Forêts, L’Etat Major General des Armees et l’OG WILD Foundation pour la lutte contre le braconnage des elephants du Gourma – Mali, 14 avril 2017). The Government of Mali has provided salaries, uniforms, arms and ammunition for both foresters and the military elements of the Unit, as well as 5 armored military vehicles as co-finance. The MEP and DNEF developed the Action Plan for Protection of Gourma Elephants 2017-2021 (Plan d’Action pour la protection des elephants du Gourma et la gestion durable de leurs parcours, decembre 2016) to guide national actions to protect endangered elephants and their habitat. Currently the MEP and DNEF of the Ministere de l’Environnement, Asainissement, et de la Developpement Durable (MEADD) are working on the revision of the boundaries and legislation of the existing Elephant Partial Reserve to protect the whole elephant migration route through supporting the local resource management conventions and strictly protecting the core area of Lake Banzena.

Relevance of the development challenge to global environment issues. The Gourma population of African elephants is regarded of national and international importance for several reasons: it represents 2% of all West African elephants; it is the most northerly population on the continent, and is accorded a high priority in the regional elephant strategy of the World Conservation Union (IUCN). The elephants make the longest annual migration of any elephants, from Mali to Burkina Faso and through an exceptionally harsh, arid environment suffering from high levels of resource degradation. The Gourma is mentioned in the National

²¹ <http://whc.unesco.org/en/tentativelists/6270>

²² <https://cites.org/sites/default/files/eng/com/sc/69/inf/E-SC69-Inf-20.pdf>

²³ MEP works with the Government of Mali under i) an Accord Cadre with the Malian Government no 1328 which designates us as an international NGO licensed to operate in Mali (the “Accord Cadre entre le Gouvernement de la Republique du Mali et L’ONG Association signataire de l’Accord Cadre no 1328 avec l’Etat, denomnee WILD Foundation”) and ii) an MOU with the MEADD – “Protocole d’accord de Collaboration MEADD/WILD Foundation”

Biodiversity Strategy as one of the four natural regions of highest biodiversity value in Mali (Strategie Nationale et Plan D'actions pour la Diversite Biologique, Mali, 2014), and the elephants function as an important umbrella and key-stone species for the biodiversity of the area. They are especially susceptible to environmental stresses, such as drought and increased human presence.

Relevance of the challenge to the Sustainable Development Goals (SDGs). Development challenges described above (poaching, HEC, deforestation, habitat conversion, etc.) are significant threats towards the attainment of the country's SDGs such as Goal 1 **No Poverty** and Goal 2 **Zero Hunger** (impeded by continuous degradation of natural resources and opportunities for their sustainable use by local communities); Goal 3 **Good Health and Well-Being** and Goal 6 **Clean Water and Sanitation** (impacted by decreasing water resources and deteriorating water quality); Goal 5 **Gender Equality** Goal 8 **Decent Work and Economic Growth**, and Goal 10 **Reduced Inequalities** (affected by decreasing opportunities for women and youth for employment and sustainable NRM); Goal 13 **Climate Action** and Goal 15 **Life on Land** (via degradation of biodiversity and ecosystems affecting adaptation potential of natural complexes) as well as Goal 16 **Peace, Justice and Strong Institutions** (impacted by lack of governance and NRM planning in the region).

Barriers. Key barriers to adequately address poaching, IWT, HEC, overgrazing, deforestation, uncontrolled agriculture expansion in the Gourma region revolve around the insufficient current environment policy and IWT legal framework; low capacity of the Government and key agencies to implement effective law enforcement in the conditions of military conflict, and lack of universally accepted structures and institutions within local communities to enable the sustainable management of natural resources. These are exacerbated by insecurity and lawlessness of the military conflict which means that more resources are required than would be the case in peace-time. The barriers can be further described as following:

Absence of effective policies and institutional framework for biodiversity conservation and IWT control. ICCWC assessment of wildlife crime enforcement capacity in Mali demonstrated that certain biodiversity and IWT related legislation is outdated and needs to be updated in accordance with international standards. Thus, the country still lack an Anti-Poaching and IWT control National Strategy to guide national wildlife and forest crime enforcement. The 1995 law N° 95-031 is the main legislation on wildlife conservation in Mali and it covers the different kinds of protected area regimes, the rules associated with hunting, penalties for breaking regulations, and a list of the different levels of protection for particular wildlife species. It also provides some information about the powers of Eaux et Forets agents and judicial police to search, seize and arrest, though this is not covered in detail. However, the law has very low penalties for wildlife offences. For example, hunting in a protected area carries a fine of 50,000 to 150,000 F (\$90 to \$270) and a term of imprisonment of three months to three years; killing a fully protected species, such as an elephant carries a fine of 20,000 to 100,000 F and imprisonment for a term of three months to two years; there are also low fines for illegal possession of trophies such as ivory found or acquired through problem animal control. These penalties do not provide effective deterrent to wildlife crime, including elephant poaching and ivory trafficking in Mali and obviously need to be strengthened with increased fines and terms of imprisonment. Law 02-017 of 2002 is intended to cover CITES regulations, however, it does not include a specific appendix of species but just refers to the CITES appendices. The law n°59-53/AL on the Partial Elephant Reserve only prohibits hunting of protected game species in the PA and does not provide sufficient basis to support protection regime and management of the area. Despite its involvement in ivory trafficking and IWT, Mali does not have a Wildlife Crime Unit to monitor, investigate and prosecute these crimes.

Insufficient capacity of national environmental agencies and PAs to address poaching, IWT, and land degradation issues

Lack of effective biodiversity protection in Mali, and in Gourma area in particular, can be attributed to the low capacities of the national PA system and environmental agencies. The underlying cause of low

enforcement capacity for IWT remains a lack of technical knowledge, skills, and equipment to control IWT at the national and local level agencies. The Partial Elephant Reserve has very limited staff (12 people) and no management at all. The security situation means that DNEF rangers are accompanied by military personnel and armoured vehicles for their protection during anti-poaching patrolling. An anti-poaching unit of 5 foresters and 30 military have been operational since February 2017 during which time there have been no confirmed incidences of poaching. However, the unit needs to be tripled in size to provide sufficient protection for all elephant range in Gourma and replace military elements by the DNEF foresters if security situation improves. Currently, the only DNEF officers present in the elephant range are based at Douentza (3-4 staff), Rharous (1-2 staff), Gossi and Bambara-Maoude (1 forester each). They do not leave the towns to implement their duties because of the insecurity, despite the availability of the anti-poaching unit (current recommendations are a military escort of 25). The Unit needs proper oversight by the Government to ensure correct procedures, financial accountability, and proper use of equipment. There is a need for ongoing training and mentoring of the Unit staff to reinforce their capacity to fight heavily armed poachers, maintain morale and confidence, and adapt to any changes in tactics as well as to integrate new personnel. Judicial processes also remain weak, especially along the apprehension, arrest, prosecution, conviction, and sentencing chain. Additional vehicles and equipment are highly needed by the Unit.

The situation is further aggravated by low technical capacity and inner structural difficulties in DNEF, the police, gendarmes, customs, prosecutors, and the judiciary. Thus, of the poachers arrested 2012-14, all were subsequently released either because of a jail-break by jihadist groups, or died through illness, or because the gendarmes were unable to write a statement with the facts required by a court of law, or have been released for other reasons (sometimes because of links to powerful individuals). As was mentioned above only two small seizures of ivory have been done in the country so far, despite sufficient evidence from other countries about Mali's involvement in IWT and international trafficking of wildlife products. Despite existence of some inter-agency agreements (e.g. tripartite protocol DNEF, FAMA, and WILD Foundation on the Anti-Poaching Unit) there is insufficient inter-departmental coordination between biodiversity conservation agencies and between public sector agencies and other institutions on biodiversity issues (e.g. DNEF, Elevage, Peche, Agriculture, Hydraulique, Energie, L'eau, Decentralisation, and Plan agencies), law enforcement and on approaches to address challenges such as IWT and land management. As was stated above, improper land use planning is a major contributor to increased competition between different land uses and users, and has exacerbated human-wildlife conflict where protected areas are adjacent to human settlements and human populations are increasing.

Low capacity of local communities to manage natural resources sustainably and protect wildlife

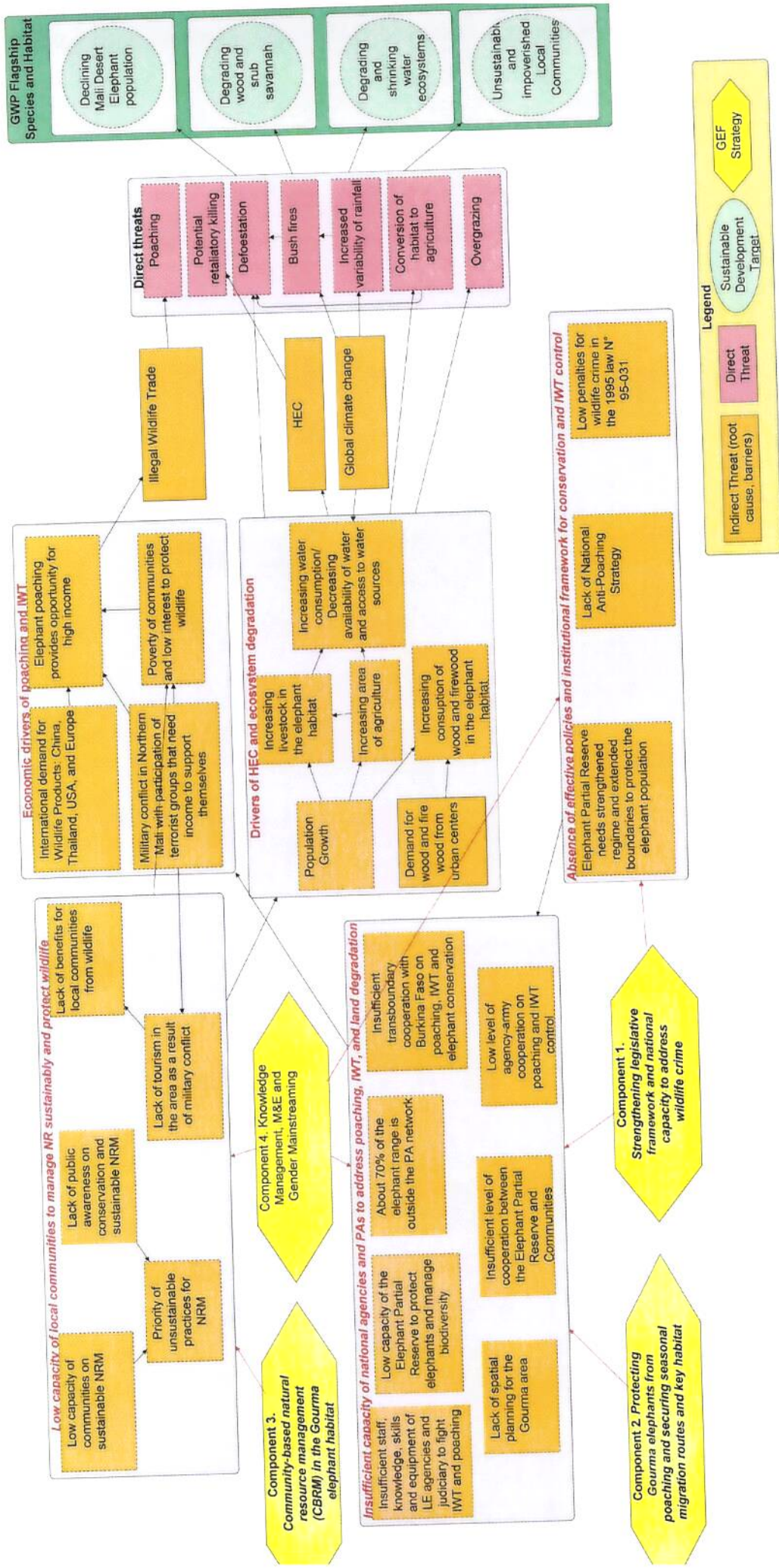
Combined with a population that is increasing by 3% per year²⁴ and the resulting increased demand for settlements, agriculture, and infrastructure developments, these factors are accelerating biodiversity loss and land degradation, which is diminishing the ability of the ecosystem to cope with the increasingly variable climate. These are all true for Gourma area with human population of 265,000 in the elephant range (National Census 2009). The elephant range is inhabited by multiple ethnicities who understand the sustainable use of natural resources and each have systems of resource management, but who are reluctant to obey those of another ethnicity or group. The result is a "tragedy of the commons" and natural resources "free-for-all". Thus, many unplanned and uncontrolled by government settlements have appeared in the elephant range last decade, especially in the south part of the region. As a rule, people always choose the more fertile and moist bottomlands to establish new settlements thus further restricting access of elephants to water. As was clearly demonstrated by Canney et al (2007) increasing and uncoordinated activities of local communities displace elephants restricting them to the current migration route.

²⁴ <http://www.worldometers.info/world-population/mali-population/>

It should be mentioned that existing in Mali decentralization legislation gives local communities control over their natural resources, however, local capacity is not sufficient to implement this community-based natural resource management (CBNRM). The communities in the elephant range need facilitation and support to develop and implement commune level NRM plans coordinated with other communities' plans. The absence of district and commune planning has been shown to result in multiple unplanned settlements leading to habitat destruction and fragmentation, and human-elephant conflicts in areas where an important elephant forest has been cleared, e.g. Wami.

Despite limited opportunities to benefit directly from elephant conservation (elephant oriented international tourism disappeared after start of the military conflict), local people value the elephants and their habitat as a part of their own environment. As was demonstrated by Mali Elephant project in a 2009 attitude survey (unpublished), they view elephants as an indicator of a healthy ecosystem and they know that their livelihoods depend on a healthy ecosystem. They also know from direct experience that elephants are important as seed dispersers and in forest regeneration. Elephants knock down otherwise inaccessible fruits and seeds from high branches that are gathered by the women for food and sometimes sale. Fruits and leaves are also eaten by livestock. Dung is valued to help conjunctivitis, a widespread problem in these environments²⁵. When security allows re-establishment of tourism in the Gourma area may potentially increase local people benefits from elephant conservation. What is needed is sustainable mechanisms for local people to benefit from wildlife conservation and sustainable NRM. Thus, preliminary surveys of the MEP have shown that livestock from communities with CBNRM are worth on average 50% more at market. They give more milk and young and are sick less often. Pasture reserves produce hay that can be sold and provide better conditions for grazing. The hay from 12 hectares of enclosed pasture just outside a small town yields an annual income of around \$17,000/year when sold in the market.

²⁵ <http://www.wild.org/blog/why-do-the-local-people-protect-the-elephants/>



ure 3. Direct threats to elephant population, habitat and communities; root causes and barriers to effectively address the challenges in Gourma region, Mali, and suggested UNDP/GEF strategies to address the challenges.

II. STRATEGY

The project Objective is to *protect Mali's elephants in key sites and enhance the livelihoods of the local communities that live along the migration route to reduce human-elephant conflict*. To achieve this Objective the project will implement four Components (see Fig. 3 above):

Component 1. *Strengthening legislative framework and national capacity to address wildlife crime.* Under Component 1, the project will invest in development of a National Anti-Poaching Strategy and update of legislation related to wildlife crime as a necessary foundation for improving wildlife crime control in the country. Additionally, the project will support review and update of legislation for Partial Elephant Reserve in Gourma area to optimize its boundaries and strengthen regime to prevent overgrazing, deforestation and depletion of water resources in the elephant habitat. A Wildlife Crime Investigation Unit (WCIA) will be established and supported at DNEF to investigate, monitor, and prosecute wildlife crime in Mali in cooperation with other law enforcement agencies. The agencies (customs, police, gendarmerie, and judiciary) in Bamako and project area will be provided with specialized training programme to detect, investigate, prosecute, and appropriately penalize wildlife crime offenders at national and local levels. This Component will address two barriers identified in the Development Challenge section - *Absence of effective policies and institutional framework for biodiversity conservation and IWT control and Insufficient capacity of national environmental agencies and PAs to address poaching, IWT, and land degradation issues.*

Component 2. *Protecting Gourma elephants from poaching and securing seasonal migration routes and key habitat.* Under Component 2 the project will support the Anti-Poaching Unit (APU) established in 2017 to protect Gourma elephants from poaching. The Unit will be supported with additional mentoring and training, field equipment, operational expenses, aerial surveillance and means to monitor elephant movements and locations in real time regime. Increased law enforcement activity in Gourma area coupled with increased national and local capacity to investigate, prosecute, and penalize wildlife crime (Component 1) targets to decrease elephant poaching to zero level and provide conditions for the elephant population recovery. Additionally, the project will strengthen management and protection of Partial Elephant Reserve to fully implement updated and improved reserve regulations (will be done under Component 1). The Reserve will be supported to develop a Management Plan (MP) to provide DNEF's vision and overall framework for protection of elephant population inside and outside the reserve with active participation of local communities (under Component 3). The MP will designate necessary core zones of the reserve important for elephant use and will clearly define regime for the zones to allow elephant access to vital habitats and water and maintain integrity of the elephants' migration routes in Gourma area. To implement law enforcement of the reserve regime the project will provide necessary trainings to the reserve staff, vehicles and field equipment for enforcement activities. This component will address *Insufficient capacity of national environmental agencies and PAs to address poaching, IWT, and land degradation issues* barrier identified in the Development Challenge section.

Component 3. Community-based natural resource management (CBNRM) in the Gourma elephant habitat. Under this Component, the project will support 3 target districts (25-30 communities) in the elephant habitat to develop, build required capacity, and implement communal NRM Plans in full accordance with the MP for the Partial Elephant Reserve and surrounding area (developed under Component 2). Key NRM Plan activities (e.g., establishment of communal grazing and forest reserves, human-elephant conflict (HEC) prevention and mitigation mechanisms, sustainable water management, bush fire prevention measures, and alternative income generation models) will be supported in the target communes to ensure mutual benefits for local people and elephants. Also, the project will support development of alternative income generating mechanisms based on experience of the Mali Elephant Project. This Component will target the barrier *Low capacity of local communities to manage natural resources sustainably and protect wildlife.*

Component 4. Knowledge Management, M&E and Gender Mainstreaming. This Component will ensure effective lesson learning from implementation of Components 1-3, participatory M&E approach, and gender mainstreaming. Lessons learned from the project will be used to improve the project implementation via adaptive management and also be shared with other national and international projects, including GWP, using different approaches. Under this Component the project will establish an effective Grievance Redress Mechanism (GRM) to inform and guide project implementation in socially acceptable and beneficial for local communities' way in conditions of insecurity in the Gourma region. The Component will contribute to removal of all three barriers indicated in the Development Challenge section via increasing of the effectiveness of the project strategies through learning and adaptive management, and dissemination of successful practices in Mali for further implications.

All four Components are designed as interconnected strategies to target key threats for elephants (see Fig. 4), woodlands and communities in the project area. All project components (especially Components 1 and 2) will directly support the implementation of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), arguably one of the most important global instruments for addressing illegal wildlife trade. The CITES Strategic Vision 2008-2020 emphasizes the importance of national commitment to implementation of the Convention and its principles. The project will support compliance through development of comprehensive National Anti-Poaching Strategy, improving legislation to address wildlife crime, capacity building and support of law enforcement agencies, Partial Elephant Reserve, and APU to fight elephant poaching and ivory trafficking in Mali. The project will directly contribute to the implementation of the resolutions of the CITES Conf. 10.10 on trade in elephant specimens (last updated at CoP17) including ivory stockpile management, Conf. 17.6 on preventing, detecting and countering corruption (adopted at CoP17), CoP17 Decision related to the use of ICCWC tools, and CoP17 decisions related to national laws for implementation of CITES.

Alignment of the project with the Global Wildlife Program Theory of Change²⁶

²⁶ https://www.thegef.org/sites/default/files/project_documents/ID9439_Global_Wildlife_Program_PFD_March_28_Final_V2_0.pdf

To respond to the growing wildlife crisis and international call for action, the Global Environment Facility (GEF) in June 2015 launched the Global Wildlife Program (GWP). Led by the World Bank, the GWP is a \$131 million grant program designed to address wildlife crime across 19 countries in Africa and Asia. The GWP serves as a platform for international coordination, knowledge exchange, and delivering action on the ground. The GWP builds and strengthens partnerships by supporting collaboration amongst national projects, captures and disseminates lessons learned, and coordinates with implementing agencies and international donors to combat IWT globally. National projects within the GWP form an integral part of a community of practice that promotes the sharing of best practices and technical resources. This UNDP-GEF project in Mali is a national project under the GWP, and in 2016-2017 Mali already benefited from participation in four in person knowledge exchange events that were held in Kenya (GWP Conference 2016 “Engaging Local Communities in Wildlife Conservation”, May 18-20 2016), Vietnam (Hanoi Conference on Illegal Wildlife Trade, November 17-18 2016), Gabon (GWP Gabon Conference “Reducing Human Wildlife Conflict and Enhancing Coexistence”, April 3 – 7 2017), and India (GWP Annual Conference 2017 “People’s Participation in Wildlife Conservation”, October 2 – 6 2017). These events brought the GWP countries together to exchange experiences on various anti-poaching, anti-trafficking, and demand reduction issues. During project execution, Mali will also have access to the documentation and materials produced during other virtual- and in-person meetings of relevance to the activities to be carried out in country, especially those on IWT control, PA management, CBWM, and biodiversity conservation mainstreaming in production sector. Mali is committed to engaging with GWP partners in Africa and Asia on joint efforts that will help with the project implementation, including issues related to human wildlife conflict and other technical areas.

The project is aligned with GWP Theory of Change and will contribute significantly to the expected GWP Outcomes and Targets via implementation of its four Components (Strategies) (Table 2).

Table 2. Alignment of the project strategies with GWP Components, Outcomes, Indicators & Targets

Child Project Component	Relevant GWP Components	Relevant GWP Outcome	Relevant GWP GEF Indicators and Targets
Component 1. Strengthening legislative framework and national capacity to address	Component 2. Reduce Wildlife Trafficking	Outcome 4: Enhanced institutional capacity to fight transnational organized wildlife crime by supporting initiatives that target enforcement along the entire illegal supply chain of	4.1: Number of laws and regulations strengthened with better awareness, capacity and resources to ensure that prosecutions for illicit wildlife poaching and trafficking are conducted effectively (increase) 4.2: Number of dedicated law enforcement coordination mechanisms (increase)

wildlife and forest crime		threatened wildlife and product	<p>4.3: Number of multi-disciplinary and/or multi-jurisdictional intelligence-led enforcement operations (increase)</p> <p>4.4: Proportion of seizures that result in arrests, prosecutions, and convictions (increase)</p>
<p>Component 2. Protecting Gourma elephants from poaching and securing seasonal migration routes and key habitat</p>	<p>Component 1. Reduce Poaching and Improve Community Benefits and Co-management</p>	<p>Outcome 1: Reduction in elephants, rhinos, and big cat poaching rates</p>	<p>1.1: Reduction of poaching rates of target species at program sites</p> <p>1.2: Number of poaching-related incidents (i.e. sightings, arrests, etc.) per patrol day</p> <p>1.3: Number of investigations at program sites that result in poaching-related arrests (increase at first, then decrease over time)</p> <p>1.4: Increase in the proportion of poaching-related arrests that result in prosecution</p> <p>1.5: Protected areas (METT score) and community/ private/ state reserves management effectiveness for Programme sites (increase)</p>
<p>Component 3. Community-based natural resource management (CBRM) in the Gourma elephant habitat</p>	<p>Component 1. Reduce Poaching and Improve Community Benefits and Co-management</p>	<p>Outcome 2: Increased community engagement to live with, manage, and benefit from wildlife</p> <p>Outcome 3: Increase in integrated landscape management practices and restoration plans to maintain forest ecosystem services and sustain wildlife by government, private sector and local community actors, both women and men</p>	<p>2.1: Decrease in human-wildlife conflict (HWC) as measured by incident reports</p> <p>2.2: Increase in benefits received by communities from sustainable (community-based) natural resource management activities and enterprises</p> <p>3.2: Increase in area of forest resources restored in the landscape, stratified by forest management actors (compared to baseline levels at start of project)</p> <p>3.3: Increase in community benefits generated for managing forest ecosystems and restoration plans</p>

Component 4. Knowledge Management, M&E and Gender Mainstreaming	Component 4. Knowledge, Policy Dialogue and Coordination	Outcome 6: Improved coordination among program stakeholders and other partners, including donors	6.2: Program monitoring system successfully developed and deployed 6.3: Establishment of a knowledge exchange platform to support program stakeholders
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The project Theory of Change is explained in the Fig. 4.

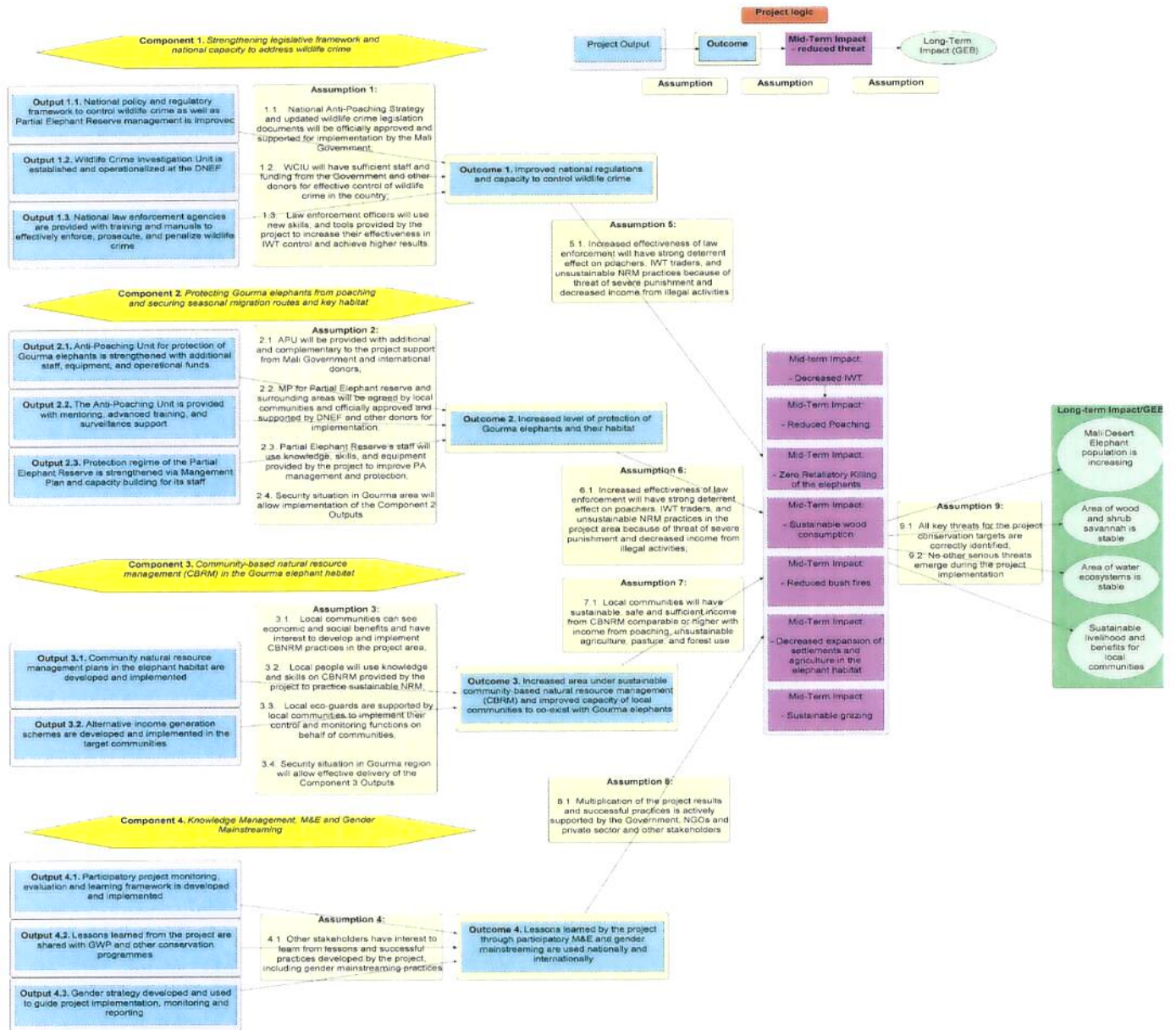


Figure 4. Project Theory of Change (see Fig. 3 for the barriers addressed by the project strategies)

Justification of selected strategies and approaches

The project design is based on the lessons learned from other programmes and projects supported by GEF, UNDP, WBG, Mali Elephant Project, other international agencies and NGOs in Mali and abroad to make sure the project strategies can bring real change in the country. First of all, the project development process has been based on the lessons learned by GEF Independent Evaluation Office (IEO) on project design that are the key for the project success²⁷:

- Strong stakeholder participation in project design and/or implementation leads to ownership and a shared vision;
- Flexible project design allows to implement effective adaptive management;
- Project design should be well-aligned with existing needs, capacities, and norms;
- Capacity building integrated in the project design increases sustainability of its results.

Based on the lessons above, design of this project was developed in strong cooperation with national and international stakeholders (more than 90 national and international stakeholders participated in consultations) involved in the process from the earliest stage of its formulation and integration of all available experience in the project Theory of Change, Outputs and Outcomes. Organizations experience of those has been used in the project development are listed in the Partnership subsection of the Prodoc. Design of the project Outputs while based on the actual needs allows considerable flexibility for the PMU to select different options for their delivery based on current situation, support lessons learning and incorporating them in the project adaptive management.

By implementing Component 1, the project will develop the necessary capacity and governance environment for confronting the poaching and IWT challenge at the national and local levels. Development of National IWT Strategies, analysis of key gaps in national wildlife crime law enforcement systems, and review of wildlife legislation to recognize wildlife crime as a serious crime is one of the key priorities identified by the ICCWC Strategic Programme 2016-2020 (Activity 2.3) that the project will follow under Output 1.1. Another strategy suggested by the project – establishment of National Wildlife Crime Investigation Unit (Output 1.2) – has been proven to be successful by experience of such countries as Indonesia, Kenya, Tanzania, Uganda, India, Zimbabwe, and others. Capacity building for customs, police, judiciary, and other law enforcement agencies to prosecute and penalize wildlife crime via comprehensive training programmes (Output 1.3) was highly recommended by the ICCWC Strategic Programme 2016-2020 (Activities 3.1-3.5) and was successfully implemented in Kenya, Tanzania, Zimbabwe and other countries of the world. Component 1 will provide necessary foundation for effective anti-poaching and anti-trafficking in Mali.

Component 2 will directly target elephant poaching (key threat for the Gourma elephant population survival) via classic inter-agency Anti-Poaching Unit approach (Outputs 2.1 and 2.2) built on cooperation of DNEF, Mali military and aviation, Mali Elephant Project, and MINUSMA.

²⁷ <http://www.cefieo.org/ops/ops-5>

Since start of the Unit operations in 2017, it proved to be successful providing significant deterrent to elephant poaching: none of the elephant was poached in the Gourma area after the Unit deployment. Support of a national-level inter-agency cooperation and establishment of local inter-agency anti-poaching brigades is already recognized as one of the best-practice in tackling IWT in other countries of Africa, including successful experience of multi-agency units (MAU) in Tanzania, Uganda, and Kenya. It is founded on a resolution passed by 69th session of the UN General Assembly in 2015, calling for an end to 'illicit trafficking in wildlife' and encouraging countries to adopt effective measures to prevent and counter the serious problem of crimes such as illicit trafficking in wildlife and wildlife products, including flora and fauna and poaching. An example of successful inter-agency cooperation can be found in the case of Uganda's inter-agency task force comprising the Police, Uganda Revenue Authority (URA), Uganda Wildlife Authority (UWA), INTERPOL, Civil Aviation Authority and the Chieftaincy of Military Intelligence, established in 2013 with the intention of enhancing prosecutions to secure better court outcomes in wildlife crime. The glaring gap in this task force is the apparent lack of representation by prosecutors or the judiciary. The task force has achieved several major milestones including (i) UWA staff becoming part of a Joint Security Team at Entebbe International Airport, (ii) URA establishing a specialized unit focusing on wildlife enforcement and (iii) Uganda participating in regional wildlife trade enforcement initiatives.

Output 2.3 (management planning for the Partial Elephant Reserve and capacity building of its staff) is based on the Results-Based Management approach proved to be effective for conservation and sustainable development by multiple practices of UNDP, UNEP, WWF, IUCN and other leading conservation organizations. The planning process is built on fully participatory approach to develop common view for the sustainable development of Gourma area and conservation of endangered elephant population PA and organization of implementation mechanism for the plan based on the cooperation of the PA and local communities.

Component 3 is built on successful experience of the Mali Elephant Project initiative to develop CBNRM in Gourma area and provide sustainable income to local communities via alternative livelihood (Outputs 3.1 and 3.2). Preliminary surveys of the MEP have shown that livestock from communities with CBNRM are worth on average 50% more at market. They give more milk and young and are sick less often. Pasture reserves produce hay that can be sold and provide better conditions for grazing. The hay from 12 hectares of enclosed pasture just outside a small town yields an annual income of around \$17,000/year when sold in the market²⁸. As was shown by the MEP local women are key beneficiaries of such initiatives: 8 CBNRM and alternative livelihood initiatives of the MEP benefitted 5,503 people (1,915 men and 3,588 women)²⁹.

²⁸ Ganame, N. et S. M. Canney. 2017. Rapport sur les Activités Génératrices de Revenus en lien avec la GRN dans la zone d'intervention du Projet des Elephants du Mali - Draft. Octobre 2017, WILD Foundation/International Conservation Fund of Canada

²⁹ Ibid

Component 4 is designed to connect all the project strategies together and ensure effective learning and adaptive management of the project, including gender mainstreaming. This approach has been practiced as essential for all GEF 5 and 6 projects³⁰.

Project area

The project area is located on the territory of Mopti and Tombouctou Regions at the border with Burkina Faso (Fig. 6) and has a total area of 3,600,000 ha. It encompasses entirely the Gourma elephant habitat in Mali including migration routes (2,278,100 ha³¹). 1,250,000 ha of the area is covered by the Partial Elephant Reserve. The total human population of the area is 287,364³², including representatives of Tuareg, Peulh, Sonrhai, Bellah and Dogon people practicing different NRM models (Maiga 1996; Ganame 1999). See other details on the project area in Development Challenge section and Annex P. Landscape Profile Report.

Component 1 will be implemented in Bamako and in the target districts in the Gourma area: Gandamia, Hairé (Boni), Hombori, Korarou, Mondoro, Bambara-Maoudé, Gossi, Inadiatafane, Ounerdène (Adjora). Component 2 will mainly focus on the area of the Elephant Partial Reserve and surrounding elephant habitat. Component 3 will target 25-30 selected communities in Gandamia, Hairé (Boni), and Bambara-Maoudé districts on the total area of no more than 500,000 ha.

³⁰ <http://www.gefio.org/ops/ops-5>

³¹ Calculated as a 5km buffer around locations of 11 GPS collared elephants over approximately 18 month periods in 2000-2001 and 2008-2009

³² <http://www.worldometers.info/world-population/mali-population/>

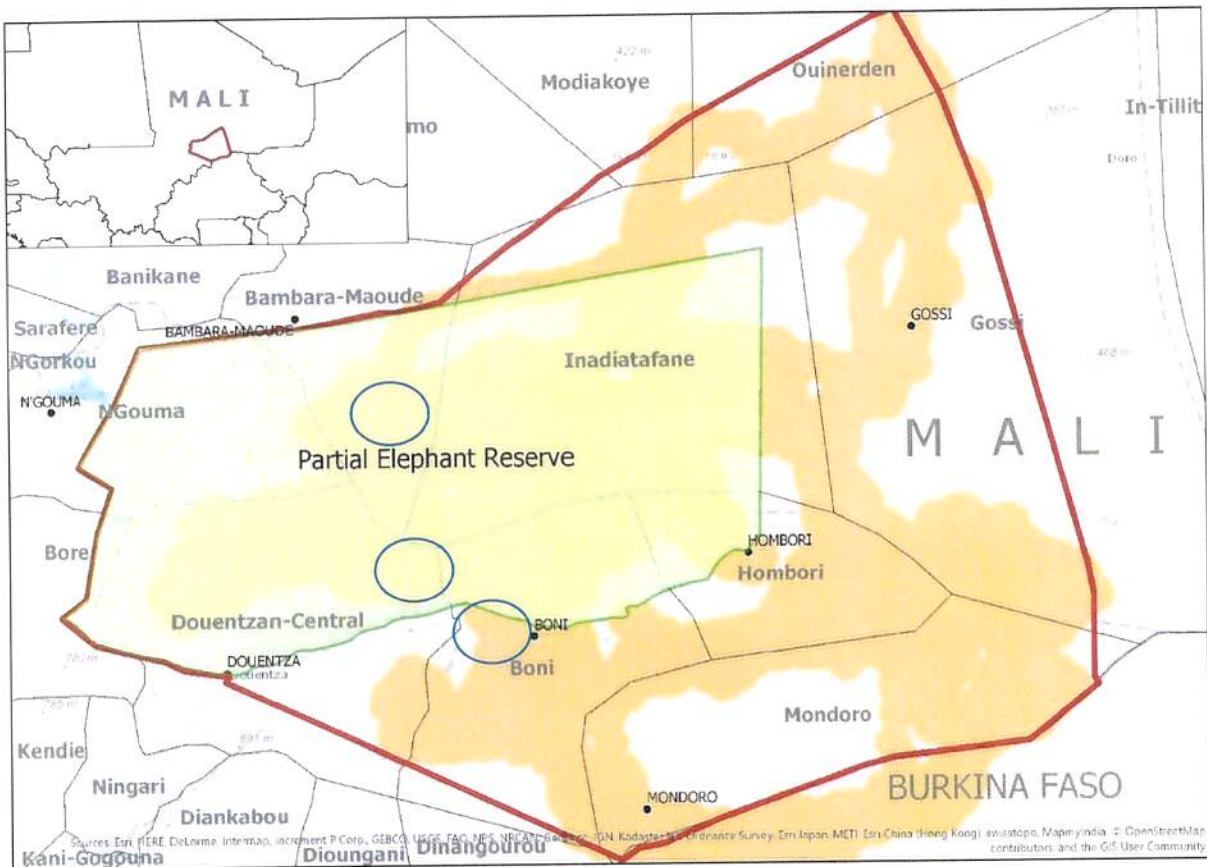


Figure 6. Project area (red outline) with elephant key habitat (light brown), The Partial Elephant Reserve (green outline) and proposed areas for CBNRM interventions (blue ovals).

III. RESULTS AND PARTNERSHIPS

i. Expected results

The project is designed to achieve following Long-Term Impacts (Global Environmental Benefits) (see Fig. 4):

- Gourma elephant population is increasing: baseline (2017) - 192-242³³; end of the project projection – 206-259³⁴
- Area of forest and woodlands is stable in the project area: baseline (2016): 4,012-4,033 ha³⁵

The Long-Term impacts will be achieved via attainment of the **Mid-Term Impacts** (direct threat reduction):

- Decreased poaching (number of elephants poached annually in the project area): baseline (2017) – 9³⁶; end of the project projection – 0-2³⁷
- Zero retaliatory killing of elephants: baseline (2017) – 0³⁸; end of the project projection – 0
- Decreased deforestation rate (% and ha/year and tCO₂eq emission avoided): baseline (average for 2012-2016) – 4.1 ha/year (0.1%/year)³⁹; end of the project projection – no more than 2 ha/year; tCO₂eq emission avoided – 2,460,696⁴⁰

³³ Data of 2015 elephant aerial census (Dias et al 2015) minus 64 elephants killed from that time (MEP database). However, the baseline need to be updated during the first year of the project

³⁴ Calculated using simple population growth model $N_t = \lambda^T N_0$, where $\lambda=1.014$, $T=6$ years, and $N_0 = 192-242$

³⁵ Calculated based on data of Hansen, M. C., P. V. Potapov, R. Moore, M. Hancher, S. A. Turubanova, A. Tyukavina, D. Thau, S. V. Stehman, S. J. Goetz, T. R. Loveland, A. Kommareddy, A. Egorov, L. Chini, C. O. Justice, and J. R. G. Townshend. 2013. "High-Resolution Global Maps of 21st-Century Forest Cover Change." *Science* 342 (15 November): 850–53, forest and woodland cover layer for the project area 2000 (>=1% of tree canopy cover) minus areas where forest cover was lost in 2001-2016 (~21 ha). The area includes small forest, woodlands, and wooded savannah in the entire project area.

³⁶ MEP database verified with official government data

³⁷ Zero poaching is the only way to keep the Gourma population increasing under average annual rate of increase of 1.4% (Canney et al. 2007)

³⁸ No retaliatory killing of the elephants has been recorded in the area, but potential threat still exist if antropogenic impact increases

³⁹ The deforestation rate is calculated as average for 2012-2016 using data of Hansen et al. (2013) updated until 2016 http://earthenginepartners.appspot.com/science-2013-global-forest/download_v1.4.html

⁴⁰ Total area currently covered by the woodlands and wooded savannah in the Gourma area is approximately 4,012-4,033 ha (Global Forest Watch 2016). Based on the data of Global Forest Watch (2016) for 2000-2016 average annual deforestation rate (actually, loss of tree cover) in the project area the tree cover loss in the area before 2012 was very low (less than 1 ha annually), after 2012 it increased 4 times up to 4.1 ha annually in 2012-2016. Given this rate, for 6 years without the project the total area of deforested woodlands in the Gourma area will be about 24.6 ha. The deforested area is turned mainly into degraded woodlands and sometimes to agriculture. With the project investments in community-based sustainable woodland management and restoration (Output 3.1) the deforestation rate is projected to decrease to 1 ha/year in average during first three years of the project and then to zero after the mid-term (due to community woodland restoration and forest reserve projects). Thus, with the project deforested woodland and wooded savannah area is estimated in only 3 ha for the project life time (2018-2024). About 65% of the area under the project planned SFM and SLM interventions (447,000 ha, Component 3) is covered by shrub savannah that takes approximately 290,550 ha of the area. Annually about 1.3% of the shrub savannah is destroyed by bush fires (~3,780 ha). Thus, we assumed that without project interventions about 22,680 ha of the shrub savannah will be burned and finally degraded for the nearest 6 years, decreasing the total area of the savannah to 267,870 ha. The project interventions will likely to decrease annually burned area by 50% (Output 3.1) with cumulative degradation of the shrub savannah equal to 11,380 ha for 6 years of the project. Thus, the total area of the savannah is projected to remain healthy with the project interventions is 279,170 ha. These inputs were used as basis for calculation of carbon benefits provided by the project with the FAO Ex-Ante Carbon Balance Tool (ExAct Tool) with following parameters Climate – Tropical Dry; Soil – Sandy Soil; Forest type – Tropical Dry Forest (Type 3) and Tropical Shrubland (Type 4). Given that restored and protected degraded woodlands and shrub savannah will need about 10 years to mature the direct GHG emissions avoided in the result of the project will be at least 2,460,696 tCO₂eq based on the 10-year life time period. See Annex S. Calculation Basis for the Estimated

- Decreased area of uncontrolled bush fires in the project area (ha/year) in the dry season (October-May): baseline (October 2016 – May 2017) – 17,647⁴¹; end of the project projection – no more than 8,500.

To ensure the Mid-Term Impacts the project will achieve the following **Outcomes**:

Outcome 1. Improved national regulations and capacity to control wildlife crime

- Extent to which legislative and institutional frameworks are in place for conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems (IRRF 2.5.1): baseline value – documents and WCU do not exist; end of the project projection – National Anti-Poaching Strategy developed and officially approved, wildlife crime legislation updated, penalties for wildlife crime officially increased, Partial Elephant Reserve law updated and approved; WCIU is established and functional (have staff and funding)
- Capacity of DNEF to control poaching and IWT (UNDP Capacity scorecard for DNEF, %): baseline value – 34%, end of the project projection – 50%;

Outcome 2. Increased level of protection of Gourma elephants and their habitat

- Management capacity of the Partial Elephant Reserve (METT score): baseline value: 36. End of the project projection: 56
- Annual results of anti-poaching in the project area:
Baseline value (2017):
Total number of staff available for anti-poaching – 35⁴²; end of the project target – at least 60
Intensity of patrolling – 525 inspector/days/month⁴³ ; end of the project target – at least 1050 inspector/days/month

Total area covered by the Anti-Poaching Unit operations and regular patrolling in the project framework is 2,278,100 ha⁴⁴

Outcome 3. Increased area under sustainable community-based natural resource management (CBRM) and improved capacity of local communities to co-exist with Gourma elephants

Direct GHG Emissions Avoided in the project framework and Annex S1. FAO Ex-Act Tool for other details

⁴¹ Calculated for the Partial Elephant Reserve area using MODIS Burned Area Monthly L3 Global 500m data for October 2016 – May 2017 (dry season in Mali)

⁴² 5 DNEF foresters and 30 military elements of the APU in the Gourma area

⁴³ 35 of APU staff spend in patrolling 15 days each month in average according to the agreed mode of operation

⁴⁴ Total area occupied by elephants in the Gourma region calculated as a 5km buffer around locations of 11 GPS collared elephants over approximately 18 month periods in 2000-2001 and 2008-2009. This area will be covered by patrolling and operations of the Anti-Poaching Unit (Outputs 2.1 and 2.2). However, other key project activities will be concentrated in the Partial Elephant Reserve (1,250,000 ha)

- Stable or decreasing level of Human-Elephant Conflicts in the project area: baseline (2017) – 27-40 cases/year⁴⁵;
- Total area under community protection and sustainable NR management is 447,000 ha⁴⁶, including:
 - Total area of communal forest and grazing reserves established and managed by local people (ha): baseline (2017) –175,000⁴⁷; end of the project projection – at least at least 225,000 ha⁴⁸;
 - Total area under implemented community CBNRM plans (ha): baseline (2017) - 0; end of the project projection – at least 222,000 ha (excluding the area of communal reserves above)⁴⁹;
- Number of people directly benefitting from CBNRM, including SFM, and SLM in target communes (female/male) (IRRF Indicator 1.3.2a): baseline value (2017) – 0, end of the project projection – no less than 14,200 (including 48% women)⁵⁰;

Outcome 4. Lessons learned by the project through participatory M&E and gender mainstreaming are used nationally and internationally

- Number of the lessons learned by the project that are used in other national and international projects, including policies: baseline value – 0, end of the project projection – at least 5.
- % of women among the project participants directly participating and benefiting from the project activities: baseline value – 0%, end of the project projection – at least 50%⁵¹.

To achieve the Outcomes following Outputs will be delivered by the project:

Component 1. Strengthening legislative framework and national capacity to address wildlife and forest crime

Outcome 1. Improved national regulation and capacity to control wildlife and forest crime

⁴⁵ 0-2 people and 20-30 heads of livestock killed annually by the elephants ; 7-8 cases of crop destruction or raiding grain stores by the elephants

⁴⁶ Three grazing reserves established with the MEP support currently exist in the Gourma area: Basena North, Basena South 1 and Basena South 2 with total area 175,000 ha. Total area of the grazing reserve is planned to be extended up to 225,000 ha (one more communal grazing reserve will be established in Gandamia district) (Output 3.1). Additionally, the minimal area that will be covered by developed and implemented community natural resource management plans in Gandamia, Bambara-Maoude, and Haire districts is estimated in 222,000 ha Output 3.1)

⁴⁷ Three grazing reserves established with the MEP support currently exist in the Gourma area : Basena North, Basena South 1 and Basena South 2 with total area 175,000 ha

⁴⁸ One more communal grazing reserve will be established in Gandamia district

⁴⁹ Minimal area that will be covered by developed and implemented community natural resource management plans in Gandamia, Bambara-Maoude, and Haire districts

⁵⁰ Approximate population of the 8-9 communities targeted by the project in Gandamia, Bambara-Maoude, and Haire districts in the framework of the Outputs 3.1 and 3.2 (calculated based on previous experience of the Mali Elephant Project)

⁵¹ Based on experience of the Mali Elephant Project in Gourma area with 8 CBNRM and alternative livelihood initiatives benefitted 5,503 people (1,915 men and 3,588 women): thus, the target of 50% of women is more than realistic.

Output 1.1. National policy and regulatory framework to control wildlife crime as well as Partial Elephant Reserve legislation is improved

Brief analysis of environmental legislation in Mali and preliminary ICCWC Indicator Framework assessment indicated obvious gaps in the national policy and legislation related to wildlife and forest crime and PA management. The gaps in the legislation as well as in the capacity of national law enforcement agencies to fight wildlife crime in Mali will be further verified using the full ICCWC Indicator Framework (IF) assessment with participation of DNEF, customs, police, and judiciary. The assessment will be implemented on the first year of the project in the form of two workshops (introductory and assessment itself). Critical elements of the legal framework in addition to the wildlife legalization that should be potentially reviewed for gaps include policies, laws, and regulations that address organized crime, money laundering, evidence management, prosecution, and arrest procedures. The full ICCWC Indicator Framework Report will provide necessary guidance for the project and Government of Mali to improve wildlife and forest crime legislative framework.

Based on the initial ICCWC IF assessment the project will initially focus on the following obvious gaps (the list can be updated after full ICCWC IF assessment if needed):

- First of all, Mali does not have a National Anti-Poaching and Wildlife Crime Law Enforcement Strategy to guide national actions to combat wildlife crime. The strategy should be developed for a 5-10 year period with the following main objectives:
 - a) Enhance legislation and judicial processes related to wildlife and forest crime;
 - b) Minimize wildlife crime and illegal trade via proactive law enforcement and collaboration of government agencies, NGOs, communities and private sector;
 - c) Enhance international and transboundary collaboration between Mali and neighbor countries to prevent international trafficking of wildlife products;
 - d) Integrate people and nature into sustainable wildlife and forest management for national development.

Given the current insecure situation in the country the strategy should strengthen the role of the military in combating wildlife crime, especially elephant poaching. Adoption and implementation of the National Law Enforcement and Anti-Poaching Strategy is critical to improve IWT control in Mali. It is recommended to the project to use IUCN Strategy for the Conservation of Western African Elephant 2005, the U.S. National Strategy for Combating Wildlife Trafficking, and other national and regional anti-poaching strategies while developing similar document for Mali.

- The Law 95-031 of 20 March 1995 is the main legislation on wildlife conservation in Mali and it covers the different kinds of protected area regimes, the rules associated with hunting, penalties for breaking regulations, and a list of the different levels of protection for particular wildlife species. It also provides some information about the powers of Eaux et Forêts agents and judicial police to search, seize and arrest. However, the law has very low penalties for wildlife offences. For example, hunting in a protected area carries a fine

of 50,000 to 150,000 F only (\$90 to \$270) and a term of imprisonment of three months to three years (recent revision of the law increased it to 5 years); killing a fully protected species, such as an elephant carries a fine of 20,000 to 100,000 F (less than \$250) and imprisonment for a term of three months to two years; there are also low fines for illegal possession of trophies such as ivory found or acquired through problem animal control (no more than 2 years in prison in the last law revision). These penalties do not provide effective deterrent to wildlife crime, including elephant poaching and ivory trafficking in Mali. The project will support review and appropriate update of the law to increase penalties for wildlife crime in accordance with international standards and will cover other gaps using the best examples of wildlife legislation in Africa.

- Law 02-017 of 2002 is intended to cover CITES regulations. It is generally well drafted, but has low penalties (penalty of USD 18 -1,800 fine and imprisonment of one to three months only).
- The law 59-53/AL on the Partial Elephant Reserve only prohibits hunting of protected game species in the PA and does not provide sufficient basis to support protection regime and management of the area, especially protection of endangered Gourma elephants. The reserve's boundaries defined by the law are not appropriate for effective protection of the population, because they include only 25% of the key elephant habitat in the reserve. The revision of the boundaries and updated draft of the law to cover 100% of the key elephant habitat are underway and likely to be finalized before start of the GEF project. Thus, the project objective will be to facilitate official discussion of the law among stakeholders and its official approval by the Mali parliament.

All four documents – National Anti-Poaching and Wildlife Crime Law Enforcement Strategy, and updated Laws N° 95-031, 02-017, and 59-53/AL – will be developed/updated and promoted for government approval in a fully open and participatory process with the involvement of all interested stakeholders under the leadership of the Ministry of the Environment and Sanitation.

Key partners for delivery of Output 1.1: DNEF (RP), MES, attorney general's office, Mali Justice Project, CITES Secretariat, MEP.

Budget: GEF - \$96,000

Output 1.2. Wildlife Crime Investigation Unit is established and operationalized at the DNEF

Despite its significant involvement in ivory trafficking and IWT, the Malian government does not have a Wildlife Crime Investigation Unit (WCIU) to monitor, investigate and prosecute these crimes. Currently there is only a single member of the DNEF staff responsible for investigating wildlife crimes. Compared with other countries with large wildlife populations, the total amount of wildlife crime in Mali is likely to be fairly small and concentrated mainly in the Gourma and Bamako regions. Thus, the project will establish a national WCIU at the DNEF with 5-6 officers

(including the head of the unit, 2-3 investigators, a driver, and an analyst). The project will develop TOR, standard operating procedures, and an operational plan for the unit and will facilitate the process of their official approval by the Government of Mali. After the unit is established and staffed, the project will procure equipment for it, including a vehicle (Toyota Landcruiser Hardtop, VHF radios, field equipment, computers, software, office equipment and cameras and possibly equipment for phone analysis (e.g., CellBrite). The unit staff will be provided with mentoring from an international law enforcement expert organization (e.g., Salama Fikira, ESPA, Retarius, MacKenzie Intelligence, Wildlife Justice Commission, or Freeland) which will cover personal and data security, interrogation, network analysis, open source investigation, surveillance, phone analysis, evidence handling, forensics, prosecution dossier development, informer handling, and chain of custody. The project will also support exchange and learning trips of the unit staff to other countries (e.g., Tanzania, South Africa, and Kenya) to learn from the best available experience on the control of wildlife and forest crime. After the unit is established and trained the project will support some initial operations of the unit in collaboration with the Anti-Poaching Unit established by the MEP project, customs and other LE agencies.

The WCIU will be also responsible for proper management of confiscated wildlife products and an appropriate storage facility that will be improved and provided with a management system (can be provided by Stop Ivory). The WCIU will have a simple database to monitor wildlife and forest crime cases in the country.

Key partners for delivery of Output 1.2: DNEF (RP), Stop Ivory, Wildlife Justice Commission or other consulting company

Budget: GEF - \$323,069

Output 1.3. National law enforcement agencies are provided with training and manuals to effectively enforce, prosecute, and penalize wildlife crime

As indicated by the PPG capacity assessment, current capacity of Mali to tackle wildlife and forest crime is insufficient for effective control of poaching and IWT at national and local levels (with key focus on Gourma area). Thus, the current capacity of DNEF to control wildlife and forest crime was evaluated as 42% of maximal possible score (see Annex Q. UNDP Capacity Scorecard for DNEF). Initial ICCWC Indicator Framework assessment (see Annex R) clearly demonstrated capacity gaps in adequate investigation, intelligence, enforcement, and prosecution of wildlife and forest crime in the country. Both the prosecution success rate and the nature of the penalties applied are still insufficient to adequately deter offenders. This problem can in part be attributed to lack of awareness of the police prosecutors and the judiciary of the serious impact that poaching and trafficking is having on Mali's elephants. As a result, these crimes are practically dismissed entirely, or only minor penalties are applied. Customs does not indicate wildlife trafficking as a priority and have low capacity to detect and prevent it.

To eliminate this obvious capacity gap the project will provide training to the key law enforcement organizations – DNEF, police, customs, gendarmerie, and judiciary. Following indicative list of trainings can be delivered in the project framework (the list can be changed by the PMU in framework of Adaptive Management to adopt to changing situation and needs in the country and project area):

- CITES theoretical and practical course, including specimen identification and CITES permits (for DNEF and Customs);
- Special Training for Prosecutors on wildlife and forest crimes;
- Special Training for Judiciary on wildlife and forest crimes (judicial sensitization).

To develop and implement training programmes the project can use experience of Space for Giants, Wildlife Justice Commission, and Freeland experience across Africa. The project will invest in special manuals for the LE agencies to provide them with necessary guidance on wildlife and forest crime legislation, identification of wildlife specimens, etc. The manuals will be distributed among LE officers during trainings and sent by mail to the target district offices and posts. Overall, the project is going to target 50-70 of LE agents, investigators, prosecutors and judiciary in the country under this output.

Key partners for delivery of Output 1.3: DNEF (RP), Customs, police, gendarmerie, judiciary, international NGOs (such as Freeland, Wildlife Justice Commission, Space for Giants).

Budget: GEF - \$200,000

Component 2. Protecting Gourma elephants in N.E. Mali from poaching and securing seasonal migration routes and key habitat

Outcome 2. Increased level of protection of Gourma elephants and their habitat

Output 2.1. Anti-Poaching Unit for protection of Gourma elephants is strengthened with additional staff, equipment, and operational funds

The Anti-Poaching Unit to protect Gourma elephants was established under a tripartite protocol between the DNEF, FAMA and Wild Foundation agreed in 2016 (Protocol tripartite de collaboration entre la Direction Nationale des Eaux et Forêts, L'Etat Major General des Armees et l'ONG WILD Foundation pour la lutte contre le braconnage des elephants du Gourma – Mali, 14 avril 2017). The Government of Mali has provided salaries, uniforms, arms and ammunition for both foresters and the military elements of the Unit, as well as 5 armored military vehicles as co-finance. Currently the Unit has 35 rangers consisted from 5 DNEF foresters and 30 military staff. Additionally, MEP provided vehicles, motorbikes, equipment, training and funds for operations to support the Unit. The Unit has been operational since February 2017 during which time there have been no confirmed incidences of poaching in the Gourma area. However, the

Unit needs additional staff, equipment, and operational resources to fight heavily armed poachers in remote areas.

The project will provide additional support to reinforce the Unit and maintain its profile of operations given the high level of insecurity in the project area. However, the long-term goal is to shift the balance of the Unit to include more trained staff from DNEF as the security situation improves. Under Output 2.1 the project will provide the APU with 2 Landcruiser hardtop vehicles and 12 “local” motor-bikes. Other equipment, such as two more Landcruisers, 12 “local” motor-bikes, 36 body armor units, 4 satellite phones, 20 DeLorme messengers (for real-time monitoring of the Unit members locations during field operations and fast response in the cases of emergency) will be provided through co-financing from the DNEF and Mali Elephant Project.

The Unit will be supported with fuel, vehicle maintenance, and operational expenses for anti-poaching patrolling and special operations. Other support to the APU will be provided by DNEF in terms of oversight of APU operations. A senior officer (rank of Colonel) is to be affected to the MEP offices in Douentza to ensure the oversight, because the unit is planned to be increased up to 90 officers.

Key partners for delivery of Output 2.1: DNEF (RP), MEP, Mali Airforce and military, MINUSMA, Chengeta Wildlife

Budget: GEF - \$987,400

Output 2.2. The Anti-Poaching Unit is provided with mentoring, advanced training, and surveillance support

To increase effectiveness of anti-poaching the Unit will be provided with regular in-operations training and mentoring. Training is required for the new rangers – military and DNEF – that are gradually rotated into the team and will receive their training while in-operations with the unit. It is military policy that no-one remains in one post for longer than 6 months in each 18 months. At the same time the aim is to increase the number of DNEF members in the APU as soon as possible. In addition, the more experienced members of the Unit will require more advanced training, as well as continuing on-going mentoring to ensure they have internalized the doctrine and in maintaining the ability of the unit to operate together as personnel are rotated in and out. The in-operations training and mentoring will consist of training missions of 20 days each 2 months. Of these 20 days, approximately five days the mentors will spent in Bamako reporting back to partner agencies and for progress meetings.

To increase the effectiveness of the APU, the project will organize air surveillance of the Gourma area based on the proposed agreement between DNEF, Mali Air Force, and Wild Foundation (to be signed in 2018). The WILD Foundation/ICFC’s Mali Elephant Project (MEP) will provide support to the Malian Air Force, providing an ultralight aircraft and financing for regular surveillance flights (about 100-150 flight-hours).

Additionally, to provide security to highly endangered Gourma elephants the project will set up 10 GPS-enabled satellite collars on selected elephants (when the security situation allows) to track their movements in the real-time and provide the APU with operational information on the animals' locations in the remote project area covering almost 40,000 km² as a supplement to the information already received from the 670 eco-guards (recruited by the MEP) about elephant locations.

Key partners for delivery of Output 2.2: MEP (RP), DNEF, Mali Airforce and military, MINUSMA, Chengeta Wildlife

Budget: GEF - \$720,733

Output 2.3. Protection regime of the Partial Elephant Reserve is strengthened via Management Plan and capacity building for its staff

Under Output 1.1 the project will support the enforcement of the regulations of the Partial Elephant Reserve to strengthen its protection regime (to control access to water, pastures and woodlands in the core elephant habitat) and extend the wider reserve area to include 100% of the elephant habitat. The next step will be to improve the reserve management via management planning and capacity building for its staff (12 DNEF foresters). Currently the reserve has no impact on Gourma elephant population due to the fact that it forbids nothing but the hunting of protected species which is the case all over Mali. Once the new legislation is in place, DNEF will have the power to support local communities in the enforcement of their natural resource management plans which secure elephant habitat across the wider reserve by protecting the elephant migration route and elephant habitat from destruction and degradation. It will also have the power to enforce the legislation surrounding the management of core areas, notably in preventing unauthorized activity within the core areas. However, DNEF currently lacks the sufficient personnel in post and the means of transport to allow the reserve to carry out these tasks.

Under the Output the project will support the development of a DNEF Management Plan for the reserve that sets out the perspectives, policies, responsibilities, and actions to be conducted by DNEF in cooperation with key stakeholders, including local communities. The Plan development will be fully integrated with the process of developing natural resource management plans for target communes in the area under Output 3.1, which provides the means to integrate elephant conservation into the development context and the practices of stakeholders using and having an impact on the land and resources of the elephant range. Under the revised reserve legislation, DNEF will have the legal power to help communities with the enforcement of their plans that will be complementary to the reserve Management Plan.

The development of the DNEF plan will begin by holding a workshop (at least 2 days) for all implicated parties including representatives from other government technical services (such as Livestock, Agriculture, Water management, planning) and communities to discuss DNEF's aims

and the implementation of the new reserve legislation, the issues and challenges and how each DNEF can address them in cooperation with local stakeholders. The workshop will consider:

- The reserve responsibilities with respect to the anti-poaching unit and the tri-partite protocol;
- The reserve responsibilities in relation to the enforcement of the rules concerning the core protected areas (e.g., patrolling and how it works with the local community, particularly the eco-guards (Output 3.2);
- The reserve responsibilities in supporting the enforcement of the community conventions for the wider reserve (Output 3.1);
- Plans for water-point management, particularly to ensure that local people and migratory herders are able to respect the designation of core areas of the reserve, and to avoid crises in drought years with key focus on Banzena Lake and another lake in the Tinsabara/Mayfata relocation area;
- Rehabilitation works within core-areas. Geo-morphological studies to guide the dredging of Lake Banzena and stabilization of the surrounding lake shores is a top priority. Other water-points may also benefit from dredging but only in either core areas and in communities with functioning resource management systems.
- Wildlife and habitat monitoring to assess the impact of the reserve and associated CBNRM systems including systems for data collection and submission;
- The collection of GPS ground-truthed data to enable the compilation of maps showing:
 - Reserve boundaries and locations of core areas, management interventions (such as water point rehabilitation);
 - Communities engaged in CBNRM, and the location and extent of communal protected areas (e.g., commune forests, lakes, or pasture reserves);
 - An ecosystem and habitat map based on the interpretation of Landsat 7 and 8 imageries for Gourma area (in partnership with MEP).

The reserve management plan will be designed in accordance with the concept of Result-based Management (RBM) which requires clear identification of the plan Goal (status of Conservation and Management Targets – endangered elephant population and area of key ecosystems) and Objectives (aimed to reduce direct threats for conservation and management targets) and clear links between the plan's different levels:

- Outputs (products and services of the DNEF and key stakeholders);
- Outcomes (increased level of the reserve and other stakeholder capacity to manage elephant habitat sustainably);
- Mid-Term Impacts (reduction of direct threats for elephants, forest, water and other ecosystems)
- Long-Term Impacts (improvement of status of elephant population and ecosystems). Results of all levels should be measurable and need to have Indicators. For each ILMP, a clear Theory of Change should be developed and clarified with key stakeholders based on existing approaches of IUCN's First Line of Defense, or WWF's Open Standards for Conservation Planning, or UNDP's Management for Development Results, or other models based on the RBM.

There should also be a clear operational plan (2-3 years) with timelines to deliver outputs, responsible persons, required budgets and indicated sources of the budgets, and a clear mechanism for implementation. The resulted management plan will be agreed with local government and communities and officially approved for implementation by DNEF. The management plan will form a common vision of DNEF and other stakeholders for protection of the Gourma elephants through ensuring their peaceful co-existence with local communities for mutual benefits and provide a basis for implementation of individual communal/community natural resource management plans.

To ensure that the reserve staff have necessary capacity to implement the management plan and protect the reserve, the project will provide local DNEF staff with repeated trainings on legal aspects of the reserve protection, enforcement of the reserve regulation, planning and reporting. Communication with local communities, conflict resolution, and monitoring of wildlife and ecosystems will be covered in collaboration with MEP, including CITES MIKE training (given the Gourma is one of the CITES MIKE sites⁵²). Additionally, the project will provide the reserve with necessary equipment and initial operation support:

- Two Landcruisers hardtop vehicles for the Cantonnements of Douentza and Gourma-Rharous;
- 12 motorbikes for the forester posts (2 for each of Gossi, Inadiatafane, Bambara-Maoude, Hombori, Boni, and Mondoro);
- Personal field equipment for the reserve staff.

Key partners for delivery of Output 2.3: DNEF (RP), MEP, Livestock, Agriculture, Water management government services, local communes

Budget: GEF - \$413,400

Component 3: Community-based natural resource management (CBRM) in the Gourma elephant habitat

Outcome 3. Increased area under sustainable community-based natural resource management (CBRM) and improved capacity of local communities to co-exist with Gourma elephants

Output 3.1. Community natural resource management plans in the elephant habitat are developed and implemented

As is the case across Africa, there is a need in the Gourma to balance elephant conservation, local livelihoods and the increasing demand for settlements, agriculture, and infrastructure. Local people show a strong desire to conserve elephants and understand the sustainable use of natural resources, however, the area is occupied by multiple ethnicities. While each has systems of resource management, they are reluctant to obey those of another ethnicity or group. Uncoordinated activities of different communities result in conflicts over natural resources in the area and their unsustainable consumption. As was clearly demonstrated by Canney et al. (2007)

⁵² https://cites.org/eng/prog/mike/tools_training_materials/leca

increasing and uncoordinated interventions of local communities displace elephants restricting them to the current migration route.

However, Mali's decentralization legislation gives local communities control over their natural resources thereby providing the basis for Community-Based Natural Resource Management (CBNRM). Given this opportunity the project will support development and implementation of natural resource management plans for selected local communities in 3 target districts located in the most urgent, top priority area for elephant conservation: Bambara Maoude, Gandamia and Haire districts (Fig. 6). These districts were chosen as target areas for the project given their high importance to support Gourma elephant population: elephants spent about 38% a year in these areas, especially at the end of dry season. Lake Banzena in Bambara-Maoude district is the key water source available for elephants at the end of the dry season and has been close to premature desiccation in recent years as increasing herds of livestock drink the lake dry and exacerbate its siltation through the erosion of its shores. At the same time the lake area will be designated a core protected zone of the Partial Elephant Reserve (Output 2.2) as an area extremely important to provide water to elephants and local communities. The Gandamia district contains the extended water point and forest of Inani, which has proved to be a vital back-up to Lake Banzena when the latter has been dry or avoided by elephants as a poaching hotspot. Elephants also find important refuge here on the way to the southern part of their range. The area surrounding the Porte des Elephants (narrow passage in between hills used by elephants as the only way to southern part of the range) in Haire district is the third most urgent priority for protection of elephants as human cultivation threatens to block this key squeeze-point in the migration route.

The project will support development of natural resource management plans for 25-30 local communities in the three target districts. The communities will be selected in consultations with the districts Mayors to develop a shared understanding of the problems surrounding land management and natural resources (water, pasture, forests, wildlife) in the districts and ideas for solutions that both protect elephant habitat and the migration route and benefit to sustainable community livelihood. The project will use fully participatory approach to develop the NRM plans for selected communities: community plans will set up clear common and agreed goals, objectives and indicators for sustainable elephant-inclusive NRM. The target community areas will have functional zoning that identifies elephant habitat and the migration route together with the designation of different parts of the community land for different activities with associated rules of management (including agriculture, gardening, livestock grazing, hay harvesting, woodland management, tourism (if relevant and when the security situation allows), and conservation (e.g., grazing reserves, protected forests, water sanctuaries). The community plans will be designed for 5-7 year period and will have operational and monitoring parts with clearly defined responsibilities, budgets, sources of budgets, and timelines for planned activities. The mechanisms for the NRM plans implementation and monitoring will be put in place (e.g. NRM management committees and teams of community eco-guards). The NRM plans will be developed as complimentary to the Partial Elephant Reserve Management Plan (Output 2.2).

To support implementations of the NRM/LUPs the project will provide target local communities with appropriate training depending on local needs such as:

- HEC management;
- Bush fire management;
- Sustainable woodland management, NTFP use, and woodland restoration;
- Elephant friendly water management;
- Bookkeeping and accounting;
- Collection of monitoring data
- Elephant and livestock census

In total the project will provide training for approximately 600 key people in target communities, 30% of whom are women and 40% are youth⁵³.

Additionally, based on the developed NRM plans the project will support initial elephant-friendly NRM in the target communes with focus on the most important initiatives, like:

- Bush fire prevention measures through the creation of pasture and forest reserves. Pasture reserves will be protected with fire-breaks to keep pasture for the late dry season;
- Woodland restoration and management through stopping the abusive cutting of trees and reforestation initiatives;
- HEC prevention initiatives through addressing incidences by holding a community meeting to discuss the problem, the reason it has arisen and find solutions which may range from keeping grain stores in villages rather than unattended in fields; and engaging the community in alternative livelihood initiatives, such as the marketing of NTFPs instead of market gardening on a cleared elephant forest (Output 3.2).

As a result of the Output sustainable CBNRM will be developed and implemented by local communities on the total area of at least 222,000 ha of the elephant habitat, benefiting 14,200 people, 48% of those are women.

Key partners for delivery of Output 3.1: MEP (RP), PRAPS, Target communes, including Mayors; DNEF, and other government technical services as appropriate

Budget: GEF - \$690,000

Output 3.2. Alternative income generation schemes are developed and implemented in the target communities

The CBNRM initiatives in the target communities under Output 3.1 will be supported with alternative livelihood initiatives (innovative methods of NRM and their marketing) based on four additional income schemes piloted by the Mali Elephant Project in 2016-2017:

- Sustainable harvesting of non-timber forest products (NTFPs);
- Harvesting of hay and seedpods for dry season livestock fodder from communally-managed pasture and forest reserves;

⁵³ Using national statistics that will be fine-tuned by data collected during the process

- Cultivation of useful plants for which there is a good market (e.g., Vetiver and Gum Arabic);
- Livestock fattening schemes that encourage keeping few good quality livestock and using them to provide an ongoing income, instead of amassing large numbers of poor quality livestock.

As it was demonstrated by the MEP experience the initiatives mentioned above can increase household income by 50-400% and were especially effective in the southern part of Gourma area⁵⁴. All these income-generating schemes have much less impact on the natural resources and elephant habitat than traditional practices.

Thus, the project will provide target local communities (same as for Output 3.1) with trainings and mentoring on the suggested alternative livelihood schemes and will help to develop pilot alternative income generation scheme for each community. The total 24 community alternative income project that will be supported in the project framework with average budget around \$8,700 per project. At least 24-30 households in the target communities will directly benefit from the project (100-180 people of which 50% are women).

Key partners for delivery of Output 3.2: MEP (RP), PRAPS, Target communities, district government, DNEF and other government technical services as appropriate

Budget: GEF - \$210,000

Component 4. Knowledge Management, M&E and Gender Mainstreaming

Outcome 4. Lessons learned by the project through participatory M&E and gender mainstreaming are used nationally and internationally

Output 4.1. Participatory project monitoring, evaluation and learning framework is developed and implemented

Participatory project monitoring and evaluation is a key part of the RBM approach practiced by UNDP and GEF for all project and programmes. Thus, the project will develop an M&E system and encourage stakeholders at all levels to participate in M&E to provide sufficient information for adaptive management decision-making. For M&E, the project will use standard UNDP approaches and procedures (see Monitoring and Evaluation Plan section for details) and following groups of indicators:

Output Indicators will be used to measure delivery of the project outputs (the project's products and services) and monitor routine project progress on monthly and quarterly basis. Collection of information on the output indicators will be performed by the PMU and represented in the project Quarterly and Annual Reports;

Outcome Indicators will be used to indicate the progress toward and achievement of the project outcomes (e.g. capacity or behavioral changes happened in result of use of the project outputs

⁵⁴ Ganame, N. et S. M. Canney. 2017. Rapport sur les Activités Génératrices de Revenus en lien avec la GRN dans la zone d'intervention du Projet des Elephants du Mali - Draft. Octobre 2017, WILD Foundation/International Conservation Fund of Canada

by target groups of stakeholders). Collection of information on the outcome indicators will be performed by the PMU or might require hiring of consultants. Project progress against outcome indicators will be reflected in the Annual, Mid-Term and Terminal Project Reports, GWP GEF TT, and Mid-Term and Terminal Evaluation Reports;

Mid-Term Impact Indicators will demonstrate how the project outcomes contribute to mid-term project impacts (e.g. reduction of direct threats for Conservation and Sustainable Development Targets). Collection of information for mid-term impact indicators might require special consultants and appropriate expenses and will be performed generally at the project mid-term and completion to compare project progress in reducing key threats against baseline data. Information on mid-term impact indicators will be generally presented in the GWP GEF TT, Mid-Term and Terminal Project Report and Terminal Evaluation Report;

Long-Term Impact Indicators, or GEBs will be used to measure the level of achievement of the ultimate project impacts (status of wildlife populations, their habitats, improvements in the livelihood and benefits for target communities). Long-term project impacts can be only partially achieved during the project lifetime (6 years) and might fully materialize several years after the project is over. Particularly to measure long-term project impact, the project will support aerial survey for elephants and other wildlife, and remote sensing analysis of woodland cover in the Gourma area on the first and last year of the project to qualify actual project impact on the elephant population and habitat. Information for long-term impact indicators will be collected with wide involvement of the project partners and consultants and will be reflected in the included in the GWP GEF TT, Mid-Term and Terminal Project Report and Terminal Evaluation Report.

Gender and Social and Environmental Risk Indicators will be used to assess impact of the project activities on gender equality and involvement of women in sustainable wildlife and NR management. The ongoing data collection on these indicators will be annually carried out by the PMU in the framework of the Gender Mainstreaming Strategy (Output 4.3) and Indigenous People Plan.

Key partners for delivery of Output 4.1: DNEF, MEP

Budget: GEF - \$225,450

Output 4.2. Lessons learned from the project are shared with national and international conservation programmes, including GWP

An effective M&E system (Output 4.1) and regular analysis of M&E data will allow the project: (i) to identify the most effective project strategies; (ii) to check project assumptions (hypotheses) and risks; (iii) to prepare management response to changing political, economic, and ecological environment; (iv) to learn from successful and unsuccessful project experience; (v) to incorporate learning in the project planning and adaptive management; and (vi) share experience among GWP, GEF and other projects in Africa and the world. Lessons learned through the project cycle will be reflected in the Annual Project Reports to ensure that the project uses the most effective strategies to deliver project Outputs and achieve project Outcomes in the changing environment.

To systemize and share its lessons and knowledge, the project will use different communication means including:

- A project web-site with available project reports, publications, press-releases, datasets, draft and final legislative documents, developed management plans, etc.;
- Quarterly or 6 month project information bulletin;
- Special paper publications, including manuals, guidance, methodologies, etc.;
- Publications and presentations at the Virtual Knowledge Exchange hosted by the Global Wildlife Programme;
- Collaborative and experience exchange meetings with other GWP projects in Africa and Asia and other relevant projects;
- Exchange visits for local communities, PA and LE agencies to demonstrate the best practices;
- Publications in mass media, conservation, and scientific journals; and
- Other available communication tools and approaches.

Key partners for delivery of Output 4.2: DNEF, MEP, law enforcement agencies, local government and communities

Budget: GEF - \$30,000

Output 4.3. Gender strategy developed and used to guide project implementation, monitoring and reporting

Given gender inequalities in rural communities in Mali, ecosystem degradation, wildlife depletion and climate change consequences are likely only to magnify existing patterns of gender disadvantage. However, women can be encouraging community leaders, natural resource managers and even anti-poaching actors and are able to make considerable input into development of strategies and approaches to cope with IWT, habitat degradation, and climate-related risks. The inclusion of women in community based structures guarantees that their valuable knowledge and skills are not excluded from the decision-making process in sustainable NRM. The GEF project is going to build on the work of Oxfam and other gender-oriented organizations experience to develop and implement an effective Gender Mainstreaming Strategy to guide the project implementation to:

- Build project partner capacity to mainstream gender and bring along with it globally tested approaches in Women Economic Empowerment strategies that empower women as agents rather than as victims of habitat degradation and climate change;
- Facilitate a multi-stakeholder analysis of the gender issues in all the different components of the programme that will inform the gender strategy and action planning with a clear set of measurable gender indicators.

The project Gender Mainstreaming Strategy should include the following core components (also indicated in the Annex I. Gender Analysis and Mainstreaming Plan):

- **Gender Analysis and Action Planning:** Engage different stakeholders and implementing partners to identify the impact of gendered impact of poaching, habitat degradation and climate change and adaptation strategies through empowering households and building community capacity to manage NR and adapt to climate change. The framing of gender issues will support the development of a gender mainstreaming strategy;
- **Gender Mainstreaming Capacity Building in Implementing Partners, Stakeholder and the Community:** Strengthen institutional capacity for mainstreaming gender in all implementing partners, key stakeholders and beneficiary communities by using gender mainstreaming frameworks and tools such as the Household Decision Mapping Framework and the Gender Action Learning Systems (GALS) Methodology for empowering households to transform gender relations. This will include reviewing institutional policies and strategies for gender mainstreaming, strengthening staff capacity for mainstreaming gender in all key project positions and community dialogue on gender;
- **Gender Mainstreaming Knowledge and Evidence Generation for Policy Influencing:** Develop a framework for measuring Gender Performance Indicators in the project. Monitor households on key gender indicators throughout the project. For example, the project can have a cohort study that follows a certain number of households and document changes that are happening. Documented and shared lessons learned in the form of impact stories, training manuals, and reports. Facilitate policy dialogue on key institutional barriers and influence policy shifts.
- **Operational Monitoring, Evaluation, and Learning:** Monitoring and learning visits and reporting on progress.

Key partners for delivery of Output 4.1: DNEF, MEP, law enforcement agencies, local government and communities

Budget: GEF - \$24,000

ii. Partnerships

This GEF project is built on other baseline programmes and projects in Mali, designed to establish strong collaborations and partnerships with many of them.

Name of on-going and planned	Programme/project objectives and targets	How proposed UNDP/GEF project will collaborate with the programme/project?
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programme/project, years of implementation		
Ministry of the Environment, Sanitation and Sustainable Development government programmes, ongoing	Prepares and implements national policy in the fields of environment, sanitation, sustainable development	<p>Project Implementing Partner;</p> <p>Supervision of the project Responsible Parties</p> <p>Direct participation in delivery of Output 1.1</p> <p>Policy and strategic orientations of the project;</p> <p>Negotiations with national and international partners including local governments</p> <p>Management of the Project Board</p> <p>Project co-financing</p>
National Directorate of Water and Forests (DNEF) Environmental Programme, ongoing	Develops and implement national policy for water and soil conservation, combating desertification, sustainable management of forests, wetlands, wildlife and its habitat, preservation of the biological diversity of wild fauna and flora species and the promotion and exploitation of forest and wildlife products and to ensure the coordination of its implementation	<p>Responsible Party for Outputs 1.1 – 1.3, and 2.1 and 2.3</p> <p>Member of the Project Board</p> <p>Project Co-financing</p> <p>Direct participation in the project monitoring, evaluation, and knowledge management (Outputs 4.1-4.3)</p>
Mali Elephant Project, ongoing since 2002	The project empowers local people to reverse habitat degradation by uniting multiple ethnic groups to jointly manage the land for the benefit of people and elephants in Gourma area.	<p>Responsible Party for Outputs 2.2, 3.1 and 3.2</p> <p>Project Co-financing</p> <p>Direct participation in the project monitoring,</p>

	<p>Through the facilitation of an Elder Council, local people set priorities for land use that encourages the long-term presence of elephants.</p> <p>Patrols of young men provide oversight of the land and watch over the elephants and conduct CBNRM activities such as the construction of firebreaks, fences, and other manual labour.</p> <p>It supports the creation of women's associations for the development of alternative livelihoods that provide an added incentive for sustainable CBNRM and create synergies</p> <p>The MEP works with the national government in Bamako to fight against poaching and to ensure the safety of elephants (support of APU).</p>	<p>evaluation, and knowledge management (Outputs 4.1-4.3)</p>
<p>Regional Support Project Pastoralism in the Sahel (PRAPS)⁵⁵, 2015-2021</p>	<p>The PRAPS aims to secure the livelihoods and means of production of the pastoralist populations and to increase the gross livestock production by at least 30% in the six countries concerned with a view to increasing the incomes of pastoralists. It intervenes in animal health, natural resource management, access to markets, management of</p>	<p>Partnerships and exchange of lessons learned for delivery of Outputs 3.1 and 3.2</p> <p>Participation in the project M&E and Project Board</p> <p>Co-financing for Component 3</p>

⁵⁵ <http://praps.cifss.int/>

	pastoral crises, and institutional support.	
UNDP Project" Sustainable Land and Water Management Project (PGDTE)" ⁵⁶	<p>The program's overall objective is to increase the use of sustainable land and water management practices in targeted production systems to halt, reduce, and reverse the land degradation trend in agro-ecosystems in Mali.</p> <p>The PGDTE intervenes in:</p> <ul style="list-style-type: none"> - Promoting sustainable land management practices in production systems - Technology transfer and provision of services to producers - Capacity building of peasant leaders and peasant organizations - The creation of networks of specialized service providers, which FOs and other entities can remunerate for important services - The development and improvement of tools to closely monitor land degradation and rehabilitation and ecosystem development. 	<p>Potential partnerships and exchange of lessons learned for delivery of Outputs 3.1 and 3.2</p> <p>Potential participation in the project M&E</p>
Near East Foundation's BRACED Project: Decentralization Program of the Climate Funds (DFC)	Development of water reservoirs; restoration and conservation of soils; improvement of village hydraulic systems.	<p>Potential partnerships and exchange of lessons learned for delivery of Outputs 3.1 and 3.2</p> <p>Potential participation in the project M&E</p>

⁵⁶ http://www.ml.undp.org/content/mali/fr/home/operations/projects/environment_and_energy/PAPAM.html

<p>Near East Foundation's Support Program for Food Security and Resilience Climate Change (PASARC)⁵⁷</p>	<p>Food security and climate change adaptation activities in Mali</p>	<p>Potential partnerships and exchange of lessons learned for delivery of Outputs 3.1 and 3.2</p> <p>Potential participation in the project M&E</p>
<p>Project USC/SOS-Canada Mali</p>	<p>Enhancing farmers' organisations' autonomy;</p> <p>The consolidation of gender equality at all stages of agrobiodiversity activities;</p> <p>The development of vegetable seed production, market-gardening during the cold season, and post-harvest conservation and transformation activities;</p> <p>Ongoing work including PVS, CSBs (through seed supply, equipment and credit funds), and different capacity building workshops for producers, CSBs and cereal bank managers</p>	<p>Potential partnerships and exchange of lessons learned for delivery of Outputs 3.1 and 3.2, and 4.3</p> <p>Potential participation in the project M&E</p>
<p>GIZ's Program of Support to the Decentralization and the Reform of the State (PADRE)⁵⁸, 2015-2018</p>	<p>Expected Outcome: Governmental and administrative structures use an improved institutional framework and decentralization instruments to strengthen the economic and financial capacities of the regions in Mali.</p>	<p>Implementation of lessons learned by the project for delivery of Outputs 3.1-3.2</p> <p>Potential participation of the GIZ in the Project Board</p>

⁵⁷ <http://www.neareast.org/>

⁵⁸ <https://www.giz.de/en/worldwide/42751.html>

UNDP/Adaptation Fund's "Support program for adaptation to climate change in the most vulnerable communes of the Mopti and Timbuktu Regions (PACV- MT)", 2015-2018	Overall, the PACV-MT aims to increase the resilience of vulnerable communities and their adaptability to climate change in the Mopti and Timbuktu regions, including the Faguibine system area. The PACV-MT contributes to facilitating access to water and capacity building.	Implementation of lessons learned by the project for delivery of Outputs 3.1-3.2
Project Strengthening Resilience Against Food Insecurity in Mali (PRIA-Mali), 2015-2018	The PRIA-Mali aims to minimize the impacts of droughts and famine that devastate populations and impede the economic and social progress of a decade of positive economic growth.	Implementation of lessons learned by the project for delivery of Outputs 3.1-3.2

iii. Stakeholders' engagement

This project was developed using transparent, open, and fully participatory approach with the involvement of all groups of relevant stakeholders (government organizations, multilateral and bilateral agencies, NGOs, local communities, and the private sector) at national and project area levels. Individual and focus group consultations were conducted in Mopti, Bamako, and Sévaré. E-mail communication and Skype calls took significant part of consultative process with national and international stakeholders. Key objectives of consultative process were the following:

- Inform all group of stakeholders on the project preparation and allow them to participate in the project development and share their concerns about the project proposed implementation;
- Evaluate current level of key threats for elephants and key ecosystems in the country and obvious barriers on the way of sustainable development;
- Collect information on baseline programmes and projects related to the project objective;
- Understand local, cultural and political context in the country and project area;
- Assess current capacity of government agencies and local communities to combat wildlife crime and manage natural resources sustainably;
- Develop relevant project Outputs based on key national and project area needs;
- Conduct Social and Environmental Screening Procedure and identify key risks for the project implementation;

- Clearly define project area for interventions and collect information on Outcome and Impact Indicators; and
- Identify potential project partnerships (see Partnerships section) and clarify stakeholder roles in the project implementation.

A total of 92 stakeholders were consulted (10% females and 90% males). Based on our observations during the stakeholder engage exercise, we noted the need to deliberately focus on women as key stakeholders in order to amplify their voices (see Mainstreaming Gender section of the ProDoc and Annex I. Gender Mainstreaming Analysis and Plan).

As a result of Stakeholder Analysis, the following groups of stakeholders were identified for project implementation (excluding already mentioned in the Partnerships section) (see details in Annex H. Communication/Stakeholder Engagement Plan)⁵⁹.

Stakeholders	Description	Role in Project
Government		
The National Police of Mali	Ensure public safety and peace;	Participation in delivery of the project Outputs 1.1-1.3
Directorate of the Judicial Police	Uncover and record criminal offenses; Ensure the processing of information and information to detect and prevent any threat likely to harm the public order, institutions and fundamental interests of Mali; Fight against organized crime and serious crime.	Participation in the project M&E
The Minister of Agriculture	Prepares and implements national policy in the field of agriculture	Potential member of the Project Board Potential participation in delivery of Outputs 3.1-3.2

⁵⁹ Rapport sur l'engagement et la facilitation auprès des acteurs, A. Koné, 2017

National Directorate of Agriculture	Develops the elements of the national agricultural policy and ensures coordination and monitoring of its implementation.	Potential member of the Project Board Consultation of the project team and potential participation in delivery of Outputs 3.1-3.2 Participation in the project M&E
National Directorate of Rural Engineering	Develops the elements of the national rural development policy and monitors and co-ordinates the implementation of the policy.	Potential member of the Project Board Consultation of the project team and potential participation in delivery of Outputs 3.1-3.2 Participation in the project M&E
Directorate General of the Institute of Rural Economy	<ul style="list-style-type: none"> • Contributes to the definition and implementation of objectives and means of research and study for agricultural development • Develops and implements agricultural research programs • Provides technical support to agricultural development • Contributes to the training and scientific and technical information of agricultural research and development staff • Develops appropriate technologies for increasing productivity and improving productivity in the rural world 	Potential member of the Project Board Consultation of the project team and potential participation in delivery of Outputs 3.1-3.2 Participation in the project M&E
Ministry of Livestock and Fisheries	Prepares and implements national policy in the fields of livestock and fisheries	Potential member of the Project Board

		<p>Consultation of the project team and potential participation in delivery of Outputs 3.1-3.2</p> <p>Participation in the project M&E</p>
National Directorate of Productions and Animal Industries	Prepares the elements of national policy in the fields of animal production and the valuation of animal products and by-products and to ensure coordination and monitoring of its implementation	<p>Potential member of the Project Board</p> <p>Consultation of the project team and potential participation in delivery of Outputs 3.1-3.2</p> <p>Participation in the project M&E</p>
National Directorate for Regional Planning	Develops the elements of the national policy of regional planning and ensures its execution	<p>Potential member of the Project Board</p> <p>Consultation of the project team and potential participation in delivery of Outputs 2.3, 3.1-3.2 (PA management planning and development of communal NRM plans in Gourma area)</p> <p>Participation in the project M&E</p>
National Directorate of Hydraulics	Develops the national water policy elements, coordination, and monitoring of its implementation	<p>Potential member of the Project Board</p> <p>Consultation of the project team and potential participation in delivery of Outputs 3.1-3.2 for activities related to the water management</p> <p>Participation in the project M&E</p>
Department of Defense and Veterans Affairs	Prepares and implements military defense policy and	Participation in delivery of Outputs 2.1 and 2.2 (Support

	manages issues relating to war veterans and military personnel who are victims of war and terrorist acts and is responsible, inter alia, for the defense of the integrity of the national territory	of APU and anti-poaching patrolling in Gourma area) Participation in the project M&E
Anti-Poaching Brigade in Gourma area	Executes the terms of the tripartite agreement of collaboration between the National Directorate of Water and Forests, the General Staff of the Armies of Mali and the Wild Foundation for the fight against the poaching of Gourma elephants	Direct beneficiary of Outputs 2.1 and 2.2 Participation in delivery of Outputs 2.1 and 2.2 (Support of APU and anti-poaching patrolling in Gourma area) Participation in the project M&E
Directorate General of Customs of Mali	Has the following responsibilities: <ul style="list-style-type: none"> • Elaborating the elements of the customs policy • Developing and implementing customs legislation and regulations relating to foreign trade • Assisting in the enforcement of other regulations, in particular those relating to trade with regards to health, safety, wildlife, water and forests, and the protection of the cultural heritage • Investigating, prosecuting, and punishing fraud • Pursuing violations of trade regulations 	Beneficiary of the Output 1.3 Participation in delivery of Output 1.1. Interagency cooperation with WCIU established by the project (Output 1.2) Participation in the project M&E
Ministry of Justice, Minister of Justice	Prepares and implements national policy on justice and seals in Mali	Participation in delivery of Outputs 1.1 and 1.3
Ministry of Security and Civil Protection	Prepares and implements national policy in the areas	Potential contributor to the Outputs 1.1-1.3

	<p>of security and Civil Protection</p> <p>Its competencies include:</p> <ul style="list-style-type: none"> • The development and application of rules in the areas of internal security and civil protection • Tackling crime and terrorism • The preparation, equipment, and use of security forces 	
Interpol Bamako	Mali is a member of international law enforcement expertise, particularly with regard to wildlife crime	Potential consultations to the project team to deliver Outputs 1.1-1.3
Parliamentarians	<p>The deputies form the national representation and as such vote laws. They also have a mandate to monitor government action.</p> <p>Malian parliamentarians, by resolution 00001 / AN-RM of 13 November 2014, created a network for the protection and promotion of wildlife heritage</p>	Participation in delivery of Output 1.1 and 1.2
United Nations		
United Nations Multidimensional Integrated Stabilization Mission in Mali (MINUSMA)	Ensuring security, stabilization and protection of civilians; supporting national political dialogue and reconciliation; and assisting the reestablishment of State authority, the rebuilding of the security sector, and the promotion and protection of human rights in that country.	<p>Support of the Anti-Poaching Unit operations under Outputs 2.1 and 2.2.</p> <p>Participation in the project M&E</p>

Local government and communities		
Council at the level of the Cercle (<i>Conseils de cercle</i>)	The council regulates the affairs of the circle, in particular those relating to the economic social and cultural development in the target districts.	Participation in delivery Outputs 1.3, 2.3, 3.1-3.2 Participation in the project M&E Potential member of the Project Board
Municipal councils of Bambara Maoude, Gandamia and Haire districts	The municipal council resolves the affairs of the commune, in particular those relating to the Program of Social and Social Economic Development (PDESC)	Participation in delivery Outputs 1.3, 2.3, 3.1-3.2 Participation in the project M&E Potential member of the Project Board
Village authorities in the Bambara Maoude, Gandamia and Haire districts (target communities for Outputs 3.1-3.2)	The village or county chief presides over the council of his community, participates in the development and implementation of development actions directed towards his community. To this end, in its role of informing and accompanying the population, it informs the mayor of its needs, the solutions and objectives expressed, and the modalities of participation in the planned actions. The populations of the Gourma are essentially farmers and pastoralists using the available soil resources.	Main participants and beneficiaries of the Component 3 Participation in delivery of Output 2.3 Participation in the project M&E
Local herders of the Bambara Maoude, Gandamia and Haire districts	Main users of natural resources for the implementation of their activities as farmers or breeders	Main participants and beneficiaries of the Component 3 Participation in delivery of Output 2.3

		Participation in the project M&E
Civil Society Organizations at local level	These numerous socio-professional organizations in the Gourma area participate in the organizational, technical, and capacity building of their members. They are very important actors for state structures and technical and financial partners in assisting beneficiaries in the implementation of development actions.	Potential participation in delivery of Outputs 1.1-1.3 Participation in the project M&E
NGOs		
International NGOs providing training and mentoring on wildlife crime enforcement: Salama Fikira, ESPA, Retarius, MacKenzie Intelligence, Wildlife Justice Commission, or Freeland	Capacity building for government agencies and judiciary involved in wildlife and forest crime law enforcement via training programmes and mentoring	Potential participation in delivery of Outputs 1.1-1.3 Participation in the project M&E
Islamic relief	International NGO working for food security	Participation in delivery Outputs 3.1-3.2 Participation in the project M&E
World Vision	International NGO working for food security	Participation in delivery Outputs 3.1-3.2 Participation in the project M&E
Danish Refugee Council International (DRC)	International NGO working for: • Economic recovery	Participation in delivery Outputs 3.1-3.2

	<ul style="list-style-type: none"> • Food safety 	Participation in the project M&E
Malian Association for Protection and Development in the Sahel (AMPROD - Sahel)	National NGO working for: <ul style="list-style-type: none"> • Economic recovery • Reconstruction 	Participation in delivery Outputs 3.1-3.2 Participation in the project M&E
Development Action Group (GADEV)	National NGO working for: <ul style="list-style-type: none"> • Literacy • Professional training 	Participation in delivery Outputs 3.1-3.2 Participation in the project M&E

iv. *Mainstreaming Gender*

The predominantly rural Malian society consists mainly of nomads and sedentary people who are ethnic groups traditionally characterized by a strong social hierarchy in which women, as mothers and wives, face difficulties in accessing productive resources, decision-making, and economic and social opportunities. To improve this situation in the context of the implementation of the project, appropriate measures inspired by the action plan of the National Gender Policy of Mali⁶⁰ will make it possible to take into account the problem of equity between men and women.

This GEF project can be classified as **Gender targeted** (result focused on the number or equity (50/50) of women, men or marginalized populations that were targeted) with strong gender interventions incorporated in the project design. During the project development the PPG team tried to involve as many women as possible in the consultation process. However, overall women's participation was relatively low (less than 10%) due to traditional male dominance in anti-poaching, wildlife and environmental management issues in Mali.

To implement gender mainstreaming, the project will develop and implement a Gender Mainstreaming Strategy in the first 6 months of the project implementation (Output 4.3). The strategy will guide the PMU on involvement and integration of women in delivery of the project Outputs and promotion of active women participation in the project management, monitoring and evaluation. The key guidelines for the strategy are outlined below:

- Gender balance will be ensured as much as possible regarding women participation in the Project Board and in the PMU. Project interventions will seek a greater and more even

⁶⁰ https://www.google.fr/url?sa=t&rct=j&q=&esrc=s&source=web&cd=1&cad=rja&uact=8&ved=0ahUKEwi8taDnq53WAhVvkBsAKHR49Df0QFggnMAA&url=http%3A%2F%2Fwww.undp.org%2Fcontent%2Fdams%2Ffundp%2Flibrary%2FDemocratic%2520Governance%2FWomen-s%2520Empowerment%2FMalifinal%2520-%2520HiRes.pdf%3Fdownload&usg=AFQjCNHAF0B7DZ3oo02hx_1Z3bKFtnRihg

- gender representation with the potential for gender mainstreaming-related activities. Furthermore, relevant gender representation on various levels of project governance will be pursued. All project staff recruitment shall be specifically undertaken inviting and encouraging women applicants. The TORs for key project staff all incorporate gender mainstreaming related responsibilities.
- In response to the relatively low participation of women in the project development, the project will incorporate gender considerations in the implementation procedures in a number of different ways:
 1. Empower women by involving them in policy and legislation review, management planning processes for the Partial Elephant Reserve, capacity building activities and law enforcement of wildlife crime under Components 1 and 2;
 2. Strong focus on gender within Component 3 with an emphasis on involving women in development and implementation of community NRM plans and development of alternative livelihood activities that have an emphasis on female-led activities (e.g. collection of fuelwoods and/or NTF products); active involvement of women woodland restoration, grazing, and water management activities;
 3. All awareness raising activities will specifically target women and encourage them to take responsibilities including for engagement with the authorities with respect to natural resource management, illegal killing of elephants and illegal trafficking in wildlife products and live animals;
 4. Women's organisations (associations) will be involved in project implementation and capacity development at national and district levels.
 - The project will adopt the following principles in the day to day management: (i) gender stereotypes will not be perpetuated; (ii) women and other vulnerable groups will be actively and demonstrably included in project activities and management whenever possible, and (iii) derogatory language or behaviour will not be tolerated.
 - The project will promote gender mainstreaming and capacity building within its project staff to improve understanding of gender issues, and will appoint a designated focal point for gender issues to support development, implementation, monitoring and strategy on gender mainstreaming internally and externally. This will include facilitating gender equality in capacity development and women's empowerment and participation in the project activities. The project will also work with UNDP experts in gender issues in Bamako to utilize their expertise in developing and implementing GEF projects. These requirements will be monitored by the UNDP Gender Focal Point during project implementation.
 - The project will use gender disaggregated indicators in the PRF for regular monitoring and evaluation of the project progress and reporting, and will facilitate involvement of women

in the M&E and Grievance Redress Mechanism implementation (see Table below and Annex I. Gender Analysis and Mainstreaming Plan).

Proposed gender mainstreaming activities in the project components

Project Components	Measures relating to gender mainstreaming
<p>Component 1. <i>Strengthening legislative framework and national capacity to address wildlife crime</i></p>	<p>Active outreach to women and women's groups to participate in the review and development of the National Anti-Poaching Strategy and review of wildlife crime legislation;</p> <p>Participation of at least 25% of women in the various law enforcement training sessions organized by the project;</p> <p>Promotion of potential involvement of women in the staff of WCIU.</p>
<p>Component 2. <i>Protecting Gourma elephants from poaching and securing seasonal migration routes and key habitat.</i></p>	<p>Active involvement of women in the process of the Partial Elephant Reserve management planning and plan implementation;</p> <p>Potential involvement of women in capacity building trainings for the PA staff;</p> <p>Develop plans that allow different resource users to access traditional resources in the PA, especially for women (e.g., NTFP)</p>
<p>Component 3. <i>Community-based natural resource management (CBRM) in the Gourma elephant habitat</i></p>	<p>Gender sensitive consultations on development and implementation of community NRM plans;</p> <p>Establish 50/50 policy for training, provide women friendly training facilities to increase their capacity in CBWM, SFM and SLM;</p> <p>Develop fair rules for distribution of NRM benefits to women and marginalized groups in the target communities;</p> <p>Ensure effective participation of women in resource management committees of target communities</p> <p>Target active involvement of women in design and implementation of pilot alternative income projects;</p>

	Increase the focus of interventions on female-headed households as beneficiaries of the projects;
Component 4. Gender Mainstreaming, Knowledge Management and M&E	<p>Apply gender specific analysis in the project M&E;</p> <p>Active involvement of women in the project M&E processes;</p> <p>Incorporate gender issues in the process of lessons learning;</p> <p>Involve women and women organizations in generation gender lessons;</p> <p>Develop and implement a project gender strategy;</p> <p>Consider gender related reporting in KM and Lessons Learnt reports;</p>
Project Management	<p>Ensure that both men and women are visible and inclusive in the project documents;</p> <p>Collect gender-sensitive data (age, ethnicity, income, education) for reporting and planning;</p> <p>Apply gender clause to human resource recruitment, encouraging the applications from women candidates and their hiring;</p> <p>At inception: gender screening of the project design and workplan;</p> <p>TORs of all staff to include specific responsibilities that support mainstreaming of gender throughout project implementation</p>

v. Project Risks and Mitigation Measures

During the PPG process and SESP assessment, a set of key project risks was identified (see Table below and Annex J. UNDP Risk Log). As per standard UNDP requirements, the project will monitor risks quarterly and report on the status of risks to the UNDP Country Office. The UNDP Country

Office will record progress in the UNDP ATLAS risk log. Risks will be reported as critical when the impact and probability are high (i.e. when impact is rated as 5, and when impact is rated as 4 and probability is rated at 3 or higher)⁶¹. Management responses to critical risks will also be reported to the GEF in the annual PIR.

Project Risks and Mitigation Matrix

Description	Type	Impact, Probability and Risk Level	Mitigation Measures	Owner	Status
Military conflict and insurgence of jihadists in the Northern Mali including the project area	Political	I= 5 P=4 HIGH	The risk is not under the project control. Despite a ceasefire was declared in September 2017 the security situation is still unstable and can worsen any moment. One of the key measures to address the risk is postponing and stopping all project activities in the project area if the security situation deteriorates. Another strategy is to focus on implementation of Component 1 mainly in Bamako at the national level and support of APU (Outputs 2.1-2.2) with strong involvement of the military elements. Also, the project may use/build on the approach implemented by the MEP, which was present in the area in 2002-2017 despite the conflict ⁶²	Project Board MESSD	Currently risk is decreasing due to the ceasefire.
Low survival rate of Gourma elephant population associated with poaching pressure and other anthropogenic impacts may lead to the population extinction	Political and Environmental	I= 5 P=3 HIGH	The project is designed to decrease the poaching for the elephants to zero (Outputs 2.1 and 2.2) with massive investments in the APU. To mitigate other anthropogenic impacts on the population the project will develop a Management Plan for the Partial Elephant Reserve and capacity building of the reserve staff to enforce sustainable NRM in cooperation with communities. Component 3 is fully designed to increase capacity of local communities to co-exist with elephant on sustainable basis and share of common natural resources .	PMU, RPs	Currently the risk is high but slightly decreasing due to presence of the APU in the project area
Low national and local capacity for the project effective implementation and low chances to involve international	Operational	I= 5 P=3 HIGH	The risk is only partly under the project control. However, under all three key project components (1-3) the project will invest considerable resources in capacity building of the law enforcement agencies, PAs, and local communities to plan, manage and monitor wildlife crime, and implement sustainable NRM. The project will involve wide range of partners in the project implementation	PMU, RPs	Currently the risk is high, but can decrease as a result of the ceasefire.

⁶¹ UNDP 2016. Environmental and Social Screening Procedure

⁶² The Mali Elephant Project has been in continuous operation throughout the conflict and insurgency (the only organisation/project to do so), while taking every precaution to protect project personnel. The team is well known, trusted and respected, and integrated with local communities. The security situation is patchy and the project keeps informed of the detailed situation across the elephant range through its network of informants that include the 670 eco-guards. The team adapt their behaviour accordingly, for example travelling using motorbikes, never travelling at night, using a military escort, avoiding staying the night in less secure areas, and not working in highly insecure areas but bringing participants to meetings held in safer areas.

consultants due to insecurity in the Gourma area			that have significant capacity to ensure achievement and sustainability of the project Outcomes if security situation allows that.		
Mal-governance and associated corruption at national and regional levels including in the wildlife crime enforcement	Operational	I=3 P=4 MODERATE	The risk is only partly under the project control. Addressing corruption requires considerable high-level political support. Reducing its impact requires action against corruptors, but can also be addressed through tighter regulatory structures and effective project monitoring and evaluation that highlight when appropriate action is not being taken. Overall project design is made to address corruption and other forms of mal-practice and mal-governance in wildlife crime control. For example, strengthening the regulatory framework and government capacity to fight IWT will enhance oversight and limit opportunities for such a malpractice. However, strict M&E and project oversight will be essential for the use of the project funds and equipment, including vehicles. Presence of an internationally funded high-profile project will further stimulate the government's efforts to fight corruption and malpractice in the project implementation	Project Board UNDP CO	Currently risk level is stable.
Ethnic and local-outsider tensions over the access to water, pastures, forest, and other natural resources in the project area due to different NRM models and values Lack of stakeholders cooperation to develop common vision for Gourma area	Social	I=3 P=3 MODERATE	Latent conflicts over use of natural resources between different ethnicities, farmers and herders, local people and outsiders increased in the Gourma area after the start of the military conflict. To mitigate these conflicts the project will develop management plan for the Partial Elephant Reserve as overall vision for sustainable development and NRM agreed with all local communities and enforced by DNEF (Output 2.3). Also, the project will invest in development of community NRM plans and their implementation (Output 3.1) to develop appropriate NRM models balanced with interest and values of different communities practicing different NRM approaches.	PMU, RPs, Project Board	Currently risk level is increasing due to military conflict
Presidential elections in Mali in mid-2018 that could lead to changes in political leadership and contribute to instability in the country	Political	I=3 P=4 MODERATE	The risk is not under the project control. One of the key measures to address the risk is postponing and stopping all project activities in the project area if the security situation deteriorates as a result of the elections. Another strategy is to focus on implementation of Component 1 mainly in Bamako at the national level and support of APU (Outputs 2.1-2.2) with strong involvement of the military elements if the security situation gets worse.	Project Board MESSD	Risk level is stable but may increase with approaching elections
Increased loss and deteriorating of water sources, as well as forests and	Environmental	I=3 P=3	The risk is partly under the project control. However, the project is designed to develop overall and common vision on use of NR in the Gourma area, including water, in framework of the Partial	PMU, PRs, Project Board	Risk level is increasing due to

pastures in Gourma area as a result of increasing anthropogenic impact associated with global climate change (increased frequency of bush fires and variance in the rainfall).		MODERATE	Elephant Reserve Management Planning and enforcement (Output 2.3). Implementation of Outputs 3.1 and 3.2 will help communities to regulate access and use to water and other natural resources in sustainable way and establish grazing and woodland reserves as buffers for potential negative impact of climate change.		unregulated use and access to water and other natural resources in the project area.
Allocation of budgetary resources for wildlife control, anti-poaching and PA management remains low	Financial	I=3 P=3 MODERATE	The risk is only partly under the project control. However, the project will address the issue of funding of wildlife crime control under the Output 1.1 in the development of National Anti-Poaching Strategy that will specify potential sources of funding. The project will use MEP model to raise necessary funds for anti-poaching in Gourma that was tested by the military conflict in the area. If security situation allows the project has significant potential to involve additional international funding for anti-poaching, PA management, and sustainable community livelihood.	Project Board PMU, RPs MESSD	Currently risk level is stable

The Social and Environmental Screening Procedure (SESP) was followed during project preparation, as required by the SESP Guidance Note of the UNDP. Accordingly, the social and environmental sustainability of project activities is in compliance with the SESP for the project (see Annex G. UNDP Social and Environmental and Social Screening Template). The SESP identified **high social risks** for this project (see details in the Annex G) that would have potential negative impacts in the absence of safeguards in the conditions of high level of insecurity in the project area. To avoid any potential risks for any likely impacts, the project developed the Social and Environmental Risk Management Framework (Annex V) and will conduct Environmental and Social Impact Assessment (ESIA) and develop the Social and Environmental Risk Management Plan (ESMP), including indigenous people plan, human rights plan, and livelihood restoration plan at the earliest stage of the Inception phase. The project staff and RPs will ensure social and environmental screening of all proposed investments to determine if there are any negative impacts. If the impacts are considered significant or cannot be managed by simple and practical mitigation measures that can be implemented within the capacity of the communities and other stakeholders, these activities will be avoided. The project Technical Committee established in the project area will monitor social and environmental risk for the project activities. Annually supervision missions of the PMU will assess the extent to which the risks have been identified and managed. Overall, the project is expected to result in positive impacts for biodiversity conservation and socio-economic benefits through the greater participation of local communities in NR management, and improved PA management. However, the project will significantly strengthen and support law enforcement and protective regime of the Partial Elephant Reserve and may have potentially negative impact on human rights of local communities, access to critical

and limited natural resources, and livelihood of indigenous people. Other proposed measures for the risk mitigation are included in the Project Risks and Mitigation Matrix and Annex G.

In line with UNDP standard procedures, the Project will set up and manage a grievance redress mechanism (GRM) as recommended by UNDP (2014) that would address project affected persons' (PAP) grievances, complaints, and suggestions. The GRM will be managed and regularly monitored by the NPM. It will comply with the following requirements:

Uptake. The GRM will have multiple uptake locations and channels. PAPs in the project areas will be able to submit complaints or suggestions to assigned members of the Project Board (PB) (GRM Sub-Committee) in person, via mail, email, via special page of the Project web site and telephone. These channels will be locally appropriate, widely accessible and publicized in written and verbal forms on all project communication materials, and in public locations in the project areas.

Sort & process. All grievances will be registered by the GRM Sub-Committee and assigned a unique tracking number upon its submission. GRM Sub-Committee will maintain a database with full information on all submitted complaints and responses taken. These data are important to assess trends and patterns of grievances across the Project districts and for monitoring & evaluation purposes.

Investigate & act. Strict complaint resolution procedures will be developed and observed, and personnel at the GRM Sub-Committee will be assigned to handle the grievances. GRM Sub-Committee will develop clear and strict grievance redress procedures, and assign responsibilities. Complaints that are beyond the Project scope will be conveyed by PMU to relevant local or regional authorities in the project areas.

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

Enable appeals. Complainants will be notified of their right to appeal the decision taken by the GRM Sub-Committee. If complainants are not satisfied with GRM Sub-Committee response to their grievance, they will be able to appeal to GRM Sub-Committee again via mail, e-mail or the Project web site. Environmental and social grievances will be reported to the GEF in the annual PIR. The full SESP screening report is included in Annex G.

Another mechanisms that can be used in the project framework is the Social and Environmental Compliance Unit (SECU) and the Stakeholder Response Mechanism (SRM). The SECU investigates alleged non-compliance with UNDP's Social and Environmental Standards and Screening Procedures from project-affected stakeholders and recommends measures to address findings of non-compliance.

The SRM helps project-affected stakeholders, UNDP's partners (governments, NGOs, businesses) and others jointly address grievances or disputes related to the social and/or environmental impacts of UNDP-supported projects.

Affected people have a choice: They can ask SECU to pursue a compliance review examining UNDP's compliance with UNDP social and environmental commitments, they can attempt to resolve complaints and disputes through the Stakeholder Response Mechanism or they can ask both for compliance review and for an effort to resolve their concerns.

vi. *South-South and Triangular Cooperation (SSTrC)*

The GEF alternative represented by this project will significantly contribute to the South-South and Triangular via sharing Mali's best experience in wildlife crime control and anti-poaching, enhancing PA capacity to protect endangered elephant population, sustainable water, forest and pasture management as well as sustainable community development (via community NRM planning and implementation) amongst the GWP community of practice and with other interested partners like EU, GIZ, WBG, and UNEP under the project Component 4. The Mali project will share knowledge and best practices with a diversity of states protecting African elephants that have already committed to combating poaching and illegal wildlife trade in the CITES led African Elephant Action Plan, signed at the 15th Meeting of the Conference of the Parties to CITES in 2010. The signatories included Angola, Benin, Botswana, Burkina Faso, Cameroon, Central African Republic, Chad, Republic of Congo, Democratic Republic of the Congo, Equatorial Guinea, Eritrea, Ethiopia, Gabon, Ghana, Guinea, Guinea-Bissau, Kenya, Liberia, Malawi, Mali, Mozambique, Namibia, Niger, Nigeria, Rwanda, Senegal, Sierra Leone, Somalia, South Africa, Sudan, Swaziland, the United Republic of Tanzania, Togo, Uganda, Zambia and Zimbabwe. The project will be an important tool for Mali to fulfill its commitments under the International Convention on International Trade in Endangered Species of Wild Fauna and Flora to ensure that international trade in specimens of wild animals and plants does not threaten their survival. Moreover, the project will directly contribute to implementation of environmental protection agreement between Mali and Burkina Faso that include joint actions for conservation of Gourma elephant population and the Climate Change Resilient Protected Areas (PARCC) project in West Africa that covers five key countries in West Africa: Chad, Gambia, Mali, Sierra Leone, and Togo. On November 30 2017 Mali Government joined the Elephant Protection Initiative of 15 African countries to stop elephant poaching and illegal ivory trafficking.

Indirectly the project will contribute to negotiations and agreements on IWT control with countries of IW demand in South-Eastern Asia (China, Thailand, and Viet Nam) via coordination and management of the GWP.

vii. Sustainability and Scaling Up

The project will ensure the sustainability of the Outcomes in financial, institutional, social, and environmental aspects through a number of means integrated in the delivery of the project Outputs.

Financial sustainability will be achieved by (i) involvement of key partners and donors with a likely long-term presence in the project area in the project implementation and sustaining its results after the project is over (e.g. Mali Elephant Project, which has been actively present in the Gourma area since 2002 despite the military conflict and jihadist invasion); (ii) careful financial planning and budget source analysis integrated in the management planning for the Partial Elephant Reserve and target communities in the project area (the Reserve management plan as well as community NRM plans will include analysis of necessary funding for different activities in the plan and sources of the funding that are available for their implementation); (iii) development of collaboration mechanisms for implementation of the management plan for the Reserve via cooperation with local communities and governments; (iv) development of sustainable and efficient CBNRM and alternative income models for local communities that allow long-term community investment in the NRM and ownership of elephants and natural resources.

Institutional sustainability will be provided via a systematic capacity building programme integrated in all project Outputs and targeting DNEF, customs, police, judiciary, the Anti-Poaching Unit in Gourma Area, Partial Elephant Reserve and local communities. The project will also establish Wildlife Crime Investigation Unit in Mali to target wildlife crime in the country and strengthen the Partial Elephant Reserve with progressive management plan and enforcement capacity. The project will establish collaborative mechanisms for implementation of the management plans for the Reserve and target communities and support sustainable livelihood of local communities in the long-term. To ensure institutional sustainability and ownership of the project results it is built on the partnership with the Mali Elephant Project that have long-term presence in the area. The project is built in line with on-going government programmes and agreements, like the National Policy for Environmental Protection (NEPP) adopted in 1998, the National Biodiversity Strategy (adopted in 2001), and Decentralisation legislation (organization and modalities for functioning are articulated in the arrêté n° 93-0965/MATS-CAB of 02 March 1993; the tasks of implementing bodies specified in the decree n° 93-001/PM-RM) to ensure ownership by national and local governments.

Social sustainability will be ensured through the development/strengthening of stakeholder participation and gender mainstreaming mechanisms at national and project area levels (see Annex H. Stakeholder Communication and Involvement Plan and Annex I. Gender Analysis and Mainstreaming Plan); the development and implementation of community NRM plans; and the development of opportunities for local communities on generation of sufficient income via alternative livelihood and CBNRM.

Environmental sustainability will be achieved through the implementation of all project Outputs that aim to improve wildlife crime law enforcement, elephant protection, PA management, sustainable CBNRM and supporting habitat restoration initiatives. The achievement of the project Outcomes will lead to reduction of poaching, deforestation, overgrazing and water ecosystem degradation in the project area and finally to stabilizing of Gourma elephant population and area woodlands and savannah.

Scaling-Up: The project is designed to provide demonstration models for upscaling in Mali and other African countries. In particular, the capacity building of the project stakeholders and careful documentation of the lessons learned by the project (Component 4) will strongly support its up-scaling. Communicating and disseminating project' results under Output 4.2 will help in generating demand for similar initiatives in the country and abroad. The involvement of the Mali Elephant Project, NGOs, and local communities will lead to further upscaling of the project's interventions. Following models developed by the project can be potentially upscaled nationwide and internationally:

- Development of National Anti-Poaching Strategy and review of wildlife crime and the Partial Elephant reserve legislation will provide effective framework for wildlife crime enforcement nation-wide;
- Establishment of the Wildlife Crime Investigation Unit can be used as a model by other West Africa's countries to improve national implementation of the CITES;
- Training programmes for law enforcement agencies, PAs, and local communities can be potentially used nationally and internationally for other projects in GWP framework and beyond;
- Anti-Poaching Unit approach and experience can be used in other areas where conservation and anti-poaching are urgent priorities despite insecurity;
- RBM approach to development of implementable management plans for the Partial Elephant Reserve and community NRM plans can be easily replicated by other PAs, communities, and administrative units;
- Implementation of community-based NRM and alternative livelihood models will likely be widely replicated in other districts of Mali in biodiversity hotspots.

IV. PROJECT MANAGEMENT

i. Cost efficiency and effectiveness

To ensure the project cost efficiency and effectiveness the project was developed using fully participatory approach (more than 90 stakeholders were consulted), was built on the war-tested experience and lessons learned by the Mali Elephant Project, and has carefully designed Theory of Change. The project implementation is based on a set of partnerships with Government, Non-Government, Multilateral and local organizations and communities (about 20 organizations were defined as partners for the project) to share time, labour and financial resources to deliver the project Outputs. Thus, the project is built on the rather strong financial foundation: total co-financing for the project is US\$ 14,195,675 with GEF contribution of US\$ 4,116,055, or 23% of the total project budget. To further increase the project efficiency it suggests fully participatory project M&E system that will allow effective lesson learning and adaptive management to select the most effective strategies to achieve the project Outcomes (see Outputs 4.1-4.2). The project has clear geographic focus on the key elephant habitat in the Gourma area (4,000,000 ha) with key focus on the Partial Elephant Reserve (1,250,000 ha), that has critical importance for the elephant survival during severe dry season, for investments under Components 2 and 3 with total budget of US\$ 3,021,533 (US\$ 242/km²).

A **detailed budget** has been prepared to manage all project investments and discussed with stakeholders, to ensure appropriate funding of the activities necessary to deliver each project Output. The project will use standard UNDP rules for procurement; these are specifically designed to optimise value for money. All activities will be included in the Annual Work Plan, which will be discussed and approved by the Project Board to ensure that proposed actions are relevant and necessary. When the activities are to be implemented and project Outputs monitored and evaluated, cost-effectiveness will be taken into account but will not compromise the quality of the Outputs. When hiring third party consultants or contractors, the project will follow a standard recruitment and advertising process to have at least three competitors for each contract. Selection will be based on qualifications, technical experience and financial proposal, to ensure hiring the best consultant (individual or organization) for an optimal price. Economy fares will be applied for necessary air and road travel, and appropriate lodging facilities will be provided to the project staff that ensures staff safety and cost-effectiveness. Similarly, the project will follow a tendering process for equipment purchase and any printing/publishing that accounts for more than USD 10,000, comparing at least three vendors. In case there is a single vendor only for any activity, appropriate official norms will be followed to obtain approval from UNDP and GEF. Expenses will be accounted for according UNDP rules and in line with the GEF policy. Finally, in order to maximise the effectiveness and sustainability of the project results, an exit plan will be developed by the end of year 5, for implementation and tracking during the final year. This will identify a key owner and sustainability mechanism for each of the project's results that also contributes to the project effectiveness.

ii. Project Management

The project will have Project Management Unit office the Sevaré-Mopti, Mopti Region, established by the Ministry of Environment, Sanitation, and Sustainable Development. The PMU will work directly with two Responsible Parties actively present in the project area – National Directorate of Water and Forests (DNEF) and Mali Elephant Project (MEP) and will use their offices in the project area for coordination of the project activities. The PMU will cooperate with key project partners and other project implemented in the project area via the Responsible Parties as well as directly during monitoring and evaluation visits, meetings of Technical Committee in the project area and Project Board. Details of the project management arrangements are described in the section 7 – Governance and Management Arrangements.

iii. Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information

To give proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the UNDP logo on all promotional materials, other written materials including publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GEF will also properly acknowledge the GEF. Information will be disclosed in accordance with relevant policies, notably the UNDP Disclosure Policy⁶³ and the GEF policy on public involvement.⁶⁴

⁶³ See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/

⁶⁴ See https://www.thegef.org/gef/policies_guidelines

V. PROJECT RESULTS FRAMEWORK

This project will contribute to the following Sustainable Development Goal (s): *Goal 1 No Poverty; Goal 2 Zero Hunger; Goal 3 Good Health and Well-Being; Goal 6 Clean Water and Sanitation; Goal 5 Gender Equality; Goal 8 Decent Work and Economic Growth; Goal 10 Reduced; Goal 13 Climate Action; Goal 15 Life on Land; and Goal 16 Peace, Justice and Strong Institutions*

This project will contribute to the following country outcome included in the UNDAF/Country Programme Document:
Outcome 2: Disadvantaged groups, particularly women and young people, benefit from productive capacities in a healthy (natural) environment that is conducive to poverty reduction

This project will be linked to the following output of the UNDP Strategic Plan:
Output 2.5: Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit-sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation;
Indicator 2.5.1: Extent to which legal or policy or institutional frameworks are in place for conservation, sustainable use, and access and benefit-sharing of natural resources, biodiversity and ecosystems

Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target	Assumptions/Data Collection Method
Project Objective: Protect Mali's elephants in key sites and enhance the livelihoods of the local communities that live along the migration route to reduce human-elephant conflict	No any Not updated ⁶⁵ No any ⁶⁶	Drafted and discussed with stakeholders; Updated and submitted for official approval Established;	Officially approved ⁶⁷ Officially approved Fully operational ⁶⁸	Assumption 1. National Anti-Poaching Strategy and updated wildlife crime and Partial Elephant Reserve legislation documents will be officially approved and supported for implementation by the Mali Government; Assumption 2. WCIU will have sufficient staff and funding from the Government and other donors for effective control of wildlife crime in the country; Assumption 3. Local communities will have sustainable, safe, and sufficient income from CBNRM comparable or higher with income

⁶⁵ Mali's wildlife crime legislation does not recognize wildlife crime as a serious crime and has low penalties for the crime offenders
⁶⁶ No WCIU exists in Mali
⁶⁷ Officially approved by Mali Parliament
⁶⁸ WCIU has trained staff, government funding, and implement wildlife crime control

<p>capacity to control wildlife crime</p>	<p>Indicator 6: Effectiveness of iWT enforcement in Mali: - annual number seizures; - annual number of arrests; - annual % of successful prosecutions on poaching and iWT.</p>	<p>0 0 0⁷⁵</p>	<p>10 5 20%</p>	<p>20 10 70%⁷⁶</p>	<p>their effectiveness in iWT control and achieve higher results. Assumption 2. Law enforcement agencies have sufficient support from Government and other donors Data Collection methods: Calculation of score using UNDP Capacity Scorecard (Indicator 5); Content analysis of the DNEF Annual reports (Indicator 6)</p>
<p>Outcome 2. Increased level of protection of Gourma elephants and their habitat</p>	<p>Indicator 7: Annual intensity of anti-poaching in the project area: - total number of staff available for anti-poaching - intensity of patrolling (inspector/days/ month)</p>	<p>35⁷⁷ 525⁷⁸</p>	<p>>=40 >=700</p>	<p>>= 60⁷⁹ >=1050⁸⁰</p>	<p>Assumption 1. APU will be provided with additional and complementary to the project support from Mali Government and international donors Assumption 2. Partial Elephant Reserve's staff will use knowledge, skills, and equipment provided by the project to improve PA management and protection Assumption 3. Security situation in Gourma region will allow effective</p>
		<p>46</p>	<p>56⁸¹</p>		

⁷⁵ Baseline information provided by DNEF to the PPG team

⁷⁶ Projections of the PPG team based on the consultations with DNEF

⁷⁷ 5 DNEF foresters and 30 military elements of the APU in the Gourma area

⁷⁸ 35 of APU staff spend in patrolling 15 days each month in average according to the agreed mode of operation

⁷⁹ Staff of the APU is going to be increased by Mali's Government to at least to 60 inspectors

⁸⁰ Projected increase of patrolling rate based on the increased APU staff

⁸¹ The METT score for the Reserve is expected to increase as a result of improved management and the project investments (Output 2.3)

	<p>Indicator 9: Number of elephants poached annually in the project area</p>	9 ⁸²	<= 0-2 ⁸³	<= 0-2 ⁸⁴	<p>law enforcement and the PA management</p> <p>Assumption 4. Increased effectiveness of law enforcement will have strong deterrent effect on poachers and unsustainable NRM practices in the project area because of threat of severe punishment and decreased income from illegal activities</p> <p>Data Collection methods: Content analysis of the APU/DNEF report (Indicator 7); METT assessment (Indicator 8); Analysis of the reports and surveillance data provided by local eco-guards in Gourma, APU/DNEF reports, and aerial surveillance (Indicator 9)</p>
<p>Outcome 3. Increased area under sustainable community-based natural resource management (CBNRM) and improved capacity of local communities to co-exist with Gourma elephants</p>	<p>Indicator 10: Annual number of Human-Elephant Conflicts in the project area</p>	27-40 ⁸⁵	<=27-40	<=27-40 ⁸⁶	<p>Assumption 1. Local communities can see economic and social benefits and have interest to develop and implement CBNRM practices in the project area;</p> <p>Assumption 2. Local people will use knowledge and skills on CBNRM provided by the project to practice sustainable NRM;</p>
<p>Indicator 11: a. Deforestation rate in the project area, ha and %/year</p>	<p>a. Deforestation rate in the project area, ha and %/year</p>	4.1/0.1% ⁸⁷	1.0/0.025%	0/0% ⁸⁸	

⁸² MEP database (information provided by eco-guards) verified with official government data 2017

⁸³ Zero poaching is the only way to keep the Gourma population increasing under average annual rate of increase of 1.4% (Canney et al. 2007)

⁸⁴ Zero poaching is the only way to keep the Gourma population increasing under average annual rate of increase of 1.4% (Canney et al. 2007)

⁸⁵ 0-2 people and 20-30 heads of livestock killed annually by the elephants ; 7-8 cases of crop destruction or raiding grain stores by the elephants

⁸⁶ Number of HECs is very low in the area and does not lead to retaliatory killing of the elephants. The project target is to keep the number of conflicts at stable low level and probably decrease their number

⁸⁷ The deforestation rate is calculated as average for 2012-2016 using data of Hansen et al. (2013) updated until 2016 http://earthenginepartners.appspot.com/science-2013-global-forest/download_v1.4.html

⁸⁸ The deforestation rate is projected to decrease to zero level as a result of increased law enforcement, sustainable consumption of wood and reforestation efforts of local communities

<p>through participatory M&E are used to fight poaching and IWT nationally and internationally</p>	<p>Indicator 15: % of women among the project participants</p>	<p>0</p>	<p>30%</p>	<p>50%⁹⁵</p>	<p>by the project, including gender mainstreaming practices; Assumption 2. Other projects make references to the GEF project if they use its experience and lessons; Assumption 3. Women have high interest to the project participation to improve their livelihood and social status Data Collection methods: Content analysis of publications, project documents and reports (Indicator 14); Content analysis of the Gender Strategy implementation reports, random interviews with local women (Indicator 15)</p>
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⁹⁵ Based on experience of the Mali Elephant Project in Gourma area with 8 CBNRM and alternative livelihood initiatives that benefitted 5,503 people (1,915 men and 3,588 women). Thus, 50% of women participation in the project implementation is quite realistic.

VI. MONITORING AND EVALUATION (M&E) PLAN

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

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the UNDP POPP and UNDP Evaluation Policy. The UNDP Country Office will work with the relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. Additional mandatory GEF-specific M&E requirements (as outlined below) will be undertaken in accordance with the GEF M&E policy and other relevant GEF policies⁹⁶.

In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including the GEF Operational Focal Point and national/regional institutes assigned to undertake project monitoring. The GEF Operational Focal Point will strive to ensure consistency in the approach taken to the GEF-specific M&E requirements (notably the GEF Tracking Tools) across all GEF-financed projects in the country. This could be achieved for example by using one national institute to complete the GEF Tracking Tools for all GEF-financed projects in the country, including projects supported by other GEF Agencies⁹⁷.

M&E Oversight and monitoring responsibilities:

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

The Project Manager will develop annual work plans based on the multi-year work plan included in Annex, including annual output targets to support the efficient implementation of the project. The Project Manager will ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored annually in time for evidence-based reporting in the GEF PIR, and that the monitoring of risks and the various plans/strategies developed to support project

⁹⁶ See https://www.thegef.org/gef/policies_guidelines

⁹⁷ See https://www.thegef.org/gef/gef_agencies

implementation (e.g. ESMP, gender action plan, stakeholder engagement plan etc..) occur on a regular basis.

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

Project Implementing Partner: The Implementing Partner is responsible for providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes, and is aligned with national systems so that the data used and generated by the project supports national systems.

UNDP Country Office: The UNDP Country Office will support the Project Manager as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project team and Project Board within one month of the mission. The UNDP Country Office will initiate and organize key GEF M&E activities including the annual GEF PIR, the *independent mid-term review* and the independent terminal evaluation. The UNDP Country Office will also ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality.

The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the UNDP POPP. This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; that annual targets at the output level are developed, and monitored and reported using UNDP corporate systems; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the GEF PIR and the UNDP ROAR. Any quality concerns flagged during these M&E activities (e.g. annual GEF PIR quality assessment ratings) must be addressed by the UNDP Country Office and the Project Manager.

The UNDP Country Office will retain all M&E records for this project for up to seven years after project financial closure to support ex-post evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GEF Independent Evaluation Office (IEO).

UNDP-GEF Unit: Additional M&E and implementation quality assurance and troubleshooting support will be provided by the UNDP-GEF Regional Technical Advisor and the UNDP-GEF Directorate as needed.

Audit: The project will be audited as per UNDP Financial Regulations and Rules and applicable audit policies on NIM implemented projects.⁹⁸

Additional GEF monitoring and reporting requirements:

Inception Workshop and Report: A project inception workshop will be held within two months after the project document has been signed by all relevant parties to, amongst others:

- a) Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project strategy and implementation;
- b) Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
- c) Review the results framework and finalize the indicators, means of verification and monitoring plan;
- d) Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GEF OFP in M&E;
- e) Update and review responsibilities for monitoring the various project plans and strategies, including the risk log; SESP, Environmental and Social Management Plan (will be developed through an ESIA at the earliest stage of the Inception phase) and other safeguard requirements; project grievance mechanisms; the gender strategy; the knowledge management strategy, and other relevant strategies;
- f) Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the annual audit; and
- g) Plan and schedule Project Board meetings and finalize the first year's annual work plan.

The Project Manager will prepare the inception report no later than one month after the inception workshop. The inception report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board.

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

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

⁹⁸ See guidance here: <https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx>

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

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

Independent Mid-term Review (MTR): An independent mid-term review process will begin after the second PIR has been submitted to the GEF, and the MTR report will be submitted to the GEF in the same year as the 3rd PIR. The MTR findings and responses outlined in the management response will be incorporated as recommendations for enhanced implementation during the final half of the project's duration. The terms of reference, the review process and the MTR report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the UNDP Evaluation Resource Center (ERC). As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. The GEF Operational Focal Point and other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final MTR report will be available in English and will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and approved by the Project Board.

Terminal Evaluation (TE): An independent terminal evaluation (TE) will take place upon completion of all major project outputs and activities. The terminal evaluation process will begin three months before operational closure of the project allowing the evaluation mission to proceed while the project team is still in place, yet ensuring the project is close enough to completion for the evaluation team to reach conclusions on key aspects such as project sustainability. The Project Manager will remain on contract until the TE report and management response have been finalized. The terms of reference, the evaluation process and the final TE report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the UNDP Evaluation Resource Center. As noted in this guidance,

the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. The GEF Operational Focal Point and other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final TE report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board. The TE report will be publicly available in English on the UNDP ERC.

The UNDP Country Office will include the planned project terminal evaluation in the UNDP Country Office evaluation plan, and will upload the final terminal evaluation report in English and the corresponding management response to the UNDP Evaluation Resource Centre (ERC). Once uploaded to the ERC, the UNDP IEO will undertake a quality assessment and validate the findings and ratings in the TE report, and rate the quality of the TE report. The UNDP IEO assessment report will be sent to the GEF IEO along with the project terminal evaluation report.

Final Report: The project's terminal PIR along with the terminal evaluation (TE) report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

Mandatory GEF M&E Requirements and M&E Budget

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ⁹⁹ (US\$)		Time frame
		GEF grant	Co-financing	
Inception Workshop	UNDP Country Office	USD 10,000	USD 5,000 ¹⁰⁰	Within two months of project document signature
Inception Report	Project Manager	None	None	Within two weeks of inception workshop
Standard UNDP monitoring and reporting requirements	UNDP Country Office	None	None	Quarterly, annually

⁹⁹ Excluding project team staff time and UNDP staff time and travel expenses.

¹⁰⁰ UNDP co-financing

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ⁹⁹ (US\$)		Time frame
		GEF grant	Co-financing	
as outlined in the UNDP POPP				
Risk management	Project Manager Country Office	None	None	Quarterly, annually
Monitoring of indicators in project results framework	Project Manager	Per year: USD 4,000 Total: USD 24,000	80,000 ¹⁰¹	Annually before PIR
GEF Project Implementation Report (PIR)	Project Manager and UNDP Country Office and UNDP-GEF team	None	None	Annually
NIM Audit as per UNDP audit policies	UNDP Country Office	Per year: USD 2,000 Total: USD 12,000	Per year: USD 2,000 Total: USD 12,000 ¹⁰²	Annually or other frequency as per UNDP Audit policies
Lessons learned and knowledge generation	Project Manager	Per year: USD 5,000 Total: USD 30,000	Per year: USD 5,000 Total: USD 30,000 ¹⁰³	Annually
Monitoring of environmental and social risks, and corresponding management plans as relevant	Project Manager UNDP Country Office	Per year: USD 3,000 Total: USD 18,000	None	On-going

¹⁰¹ MEP co-financing: aerial counts of elephants on the project Year 1 and 6 (\$40,000 each)

¹⁰² UNDP co-financing

¹⁰³ UNDP co-financing

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ⁹⁹ (US\$)		Time frame
		GEF grant	Co-financing	
Stakeholder Engagement Plan	Project Manager UNDP Country Office	Per year: USD 3,000 Total: USD 18,000	None	At inception
Gender Action Plan	Project Manager UNDP Country Office UNDP GEF team	Per year: USD 4,000 Total: USD 24,000	None	At inception
Addressing environmental and social grievances	GRM Sub-Committee of the Project Board	None	Per year: USD 4,000 Total: USD 24,000 ¹⁰⁴	On-going
Project Board meetings	Project Board UNDP Country Office Project Manager	Per year: USD 5,000 Total: USD 30,000	Per year: USD 5,000 Total: USD 30,000 ¹⁰⁵	At minimum annually
Supervision missions	UNDP Country Office	None	None	Annually
Oversight missions	UNDP-GEF team	None	None	Troubleshooting as needed
GEF Secretariat learning missions/site visits	UNDP Country Office and Project Manager and UNDP-GEF team	None	None	To be determined.
Mid-term GEF Tracking Tool	Project Manager	USD 5,000	None	Before mid-term review

¹⁰⁴ UNDP co-financing

¹⁰⁵ UNDP co-financing

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ⁹⁹ (US\$)		Time frame
		GEF grant	Co-financing	
				mission takes place.
Independent Mid-term Review (MTR) and management response	UNDP Country Office and Project team and UNDP-GEF team	USD 10,000	USD 15,000 ¹⁰⁶	Between 2 nd and 3 rd PIR.
Terminal GEF Tracking Tool	Project Manager	USD 5,000	None	Before terminal evaluation mission takes place
Independent Terminal Evaluation (TE) included in UNDP evaluation plan, and management response	UNDP Country Office and Project team and UNDP-GEF team	USD 20,000	USD 15,000 ¹⁰⁷	At least three months before operational closure
Translation of MTR and TE reports into English	UNDP Country Office	0	USD 5,000 ¹⁰⁸	As required. GEF will only accept reports in English.
TOTAL indicative cost Excluding project team staff time, and UNDP staff and travel expenses		USD 206,000	USD 216,000	

¹⁰⁶ UNDP co-financing

¹⁰⁷ UNDP co-financing

¹⁰⁸ UNDP co-financing

VII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

Roles and responsibilities of the project's governance mechanism: The project will be implemented following UNDP's **national implementation modality (NIM)**, according to the Standard Basic Assistance Agreement between UNDP and the Government of Mali, and the Country Programme. NIM was selected for the project management based on the HACT assessment of the Implementing Partner (Annex K).

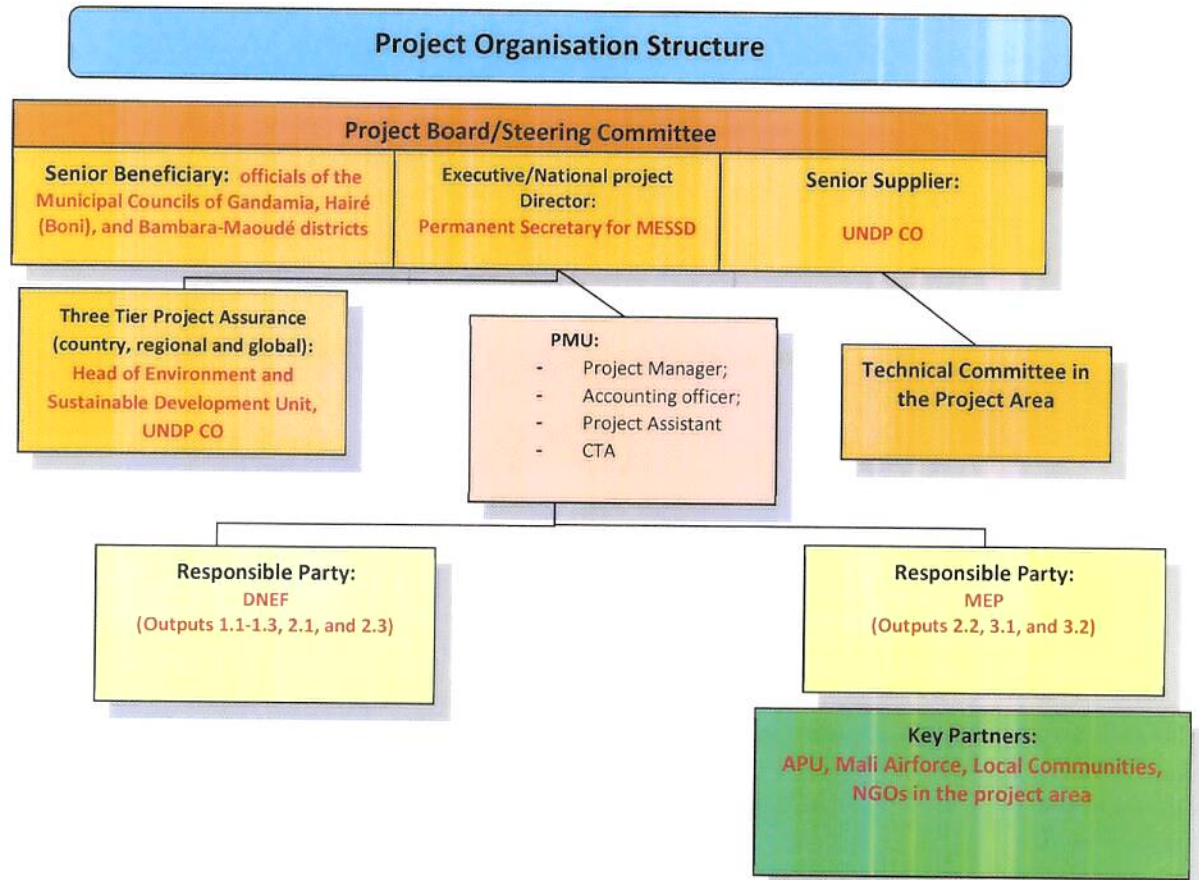
IMPLEMENTING PARTNER

The Implementing Partner for this project is the The Ministry of Environment, Sanitation and Sustainable Development (MESSD). The Implementing Partner is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources.

The Implementing Partner is responsible for:

- Approving and signing the multiyear workplan;
- Approving and signing the combined delivery report at the end of the year; and,
- Signing the financial report or the funding authorization and certificate of expenditures.

Project Management Arrangement



The Implementing Partner will also appoint a National Project Director. The National Project Director (NPD) is responsible for ensuring the smooth implementation of the project in line with planned project objective and outcomes. The NPD should ideally be a senior officer within the IP and will be a member of the Project Board (PB). The NPD will provide strategic support as needed to the project and with assistance from the Project Manager will also be responsible for ensuring cooperation, collaboration and efficient implementation of the project by the Responsible Parties and project partners and reporting on project progress to the PB and for coordinating the flow of results and information from the project to the Project Board. The function of the NPD is not funded through the project.

PROJECT BOARD

The Project Board (also called Project Steering Committee) co-chaired by the MESSD and UNDP is responsible for making by consensus, management decisions when guidance is required by the Project Manager, including recommendations for UNDP/Implementing Partner approval of project plans and revisions, and addressing any project level grievances. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with

standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the Board, final decision shall rest with the UNDP Programme Manager.

The PB will comprise not more than ten (10) representatives drawn from relevant line Ministries, Government departments, civil society organizations, UN agencies, private sector, research and academic institutions. Potential members of the Project Board are reviewed and recommended for approval during the Local Project Appraisal Committee (LPAC) meeting before project implementation. Potential Project Board members for this project include representatives of the following organizations:

- National Directorate of Water and Forests (DNEF);
- Mali Elephant Project;
- Administrations of Mopti and Timbuktu Regions;
- Municipal Councils of Gandamia, Hairé (Boni), and Bambara-Maoudé districts;
- Anti-Poaching Unit; and
- NGOs.

The Project Manager (PM) will be an ex officio member of the PB and will serve as secretary to the Board.

The Project Board will meet after the Inception Workshop and at least once each year thereafter. Attendance of the PB meetings will be monitored and attendance rate of the delegated people is expected to be no less than 80%. Specific responsibilities of the Project Board include:

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the Project Manager;
- Provide guidance on new project risks, and agree on possible countermeasures and management actions to address specific risks;
- Review the project progress, and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans;
- Appraise the annual project implementation report, including the quality assessment rating report; make recommendations for the workplan;
- Provide ad hoc direction and advice for exceptional situations when the project manager's tolerances are exceeded; and
- Assess and decide to proceed on project changes through appropriate revisions.

The Project Board will include the following roles:

Executive: The Executive is an individual who represents ownership of the project who will chair the Project Board. This role will be held by the Minister for the MESSD and can be delegated to the National Project Director. The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher-level outcomes. The Executive has to ensure that the project gives value for money, ensuring cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

Specific Responsibilities of the Executive (as part of the above responsibilities for the Project Board):

- Ensure that there is a coherent project organization structure and logical set of plans;
- Set tolerances in the AWP and other plans as required for the Project Manager;
- Monitor and control the progress of the project at a strategic level;
- Ensure that risks are being tracked and mitigated as effectively as possible;
- Brief relevant stakeholders about project progress;
- Organise and chair Project Board meetings.

Senior Supplier: The Senior Supplier is an individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. If necessary, more than one person may be required for this role. Typically, the implementing partner, UNDP and/or donor(s) would be represented under this role. The Senior Supplier for this project is the UNDP Mali Country Office Director who may delegate this role to the Assistant Resident Representative. Specific Responsibilities the Senior Supplier (as part of the above responsibilities for the Project Board) are following:

- Make sure that progress towards the outputs remains consistent from the supplier perspective and adheres to the GEF policies and criteria;
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management;
- Ensure that the supplier resources required for the project are made available;
- Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts.

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

government or civil society. The Senior Beneficiaries for this project will be a group of officials of the Municipal Councils of Gandamia, Hairé (Boni), and Bambara-Maoudé districts as representatives of target local communities (ultimate beneficiaries of the project).

The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The Senior Beneficiary role monitors progress against targets and quality criteria. This role may require more than one person to cover all the beneficiary interests. For the sake of effectiveness, the role should not be split between too many people.

Specific Responsibilities of the Senior Beneficiary (as part of the above responsibilities for the Project Board):

- Prioritize and contribute beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Specification of the Beneficiary's needs is accurate, complete and unambiguous;
- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target;
- Impact of potential changes is evaluated from the beneficiary point of view;
- Risks to the beneficiaries are frequently monitored via Grievance Redress Mechanism.

PROJECT MANAGER

The Project Manager has the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints laid down by the Board. The Project Manager is responsible for day-to-day management and decision-making for the project. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost. The Implementing Partner appoints the Project Manager, who should be different from the Implementing Partner's representative in the Project Board. Specific responsibilities of the Project Manager include:

- Provide direction and guidance to project Responsible Parties;
- Liaise with the Project Board to assure the overall direction and integrity of the project;
- Identify and obtain any support and advice required for the management, planning and control of the project;
- Responsible for project administration;
- Plan the activities of the project and monitor progress against the project results framework and the approved annual workplan;
- Mobilize personnel, goods and services, training and micro-capital grants to initiative activities, including drafting terms of reference and work specifications, and overseeing all contractors' work;
- Monitor events as determined in the project monitoring schedule plan/timetable, and update the plan as required;

- Manage requests for the provision of financial resources by UNDP, through advance of funds, direct payments or reimbursement using the fund authorization and certificate of expenditures;
- Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports;
- Be responsible for preparing and submitting financial reports to UNDP on a quarterly basis;
- Manage and monitor the project risks initially identified and submit new risks to the project board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log;
- Capture lessons learned during project implementation;
- Prepare the annual workplan for the following year; and update the Atlas Project Management module if external access is made available.
- Prepare the GEF PIR and relevant GWP reports and submit the final report to the Project Board;
- Based on the GEF PIR and the Project Board review, prepare the AWP for the following year.
- Ensure the mid-term review process is undertaken as per the UNDP guidance, and submit the final MTR report to the Project Board.
- Identify follow-on actions and submit them for consideration to the Project Board; and
- Ensure the terminal evaluation process is undertaken as per the UNDP guidance, and submit the final TE report to the Project Board.

PROJECT MANAGEMENT UNIT

A Project Management Unit (PMU) will be established in the Sevaré-Mopti and led by a Project Manager. The PMU will assume the day-to-day management of project operations, including implementation of activities and accountability for the delivery of the project's outputs and preparation of quarterly and annual work plans and reports, in direct collaboration with the Responsible Parties under the guidance of the Project Board. The PMU will also be staffed by a Financial Accounting Officer and a Project Assistant. The PMU will be supported by the Chief Technical Advisor (CTA) with international expertise and high project management profile

The TORs for the Project Manager, Financial Accounting Officer, the Project Assistant, and CTA included in Annex E.

RESPONSIBLE PARTIES (RPs)

These are entities selected to act on behalf of the Implementing Partner on the basis of a written agreement or contract to provide services using the project budget to implement different outputs of the project. There are two RPs for this project:

- **National Directorate of Water and Forests (DNEF)** will be responsible for delivery of Outputs 1.1 -1.3, 2.1, and 2.3;
- **Mali Elephant Project** – delivery of Output 2.2; 3.1, and 3.2

Both Responsible Parties will be accountable for Outputs 4.1-4.3 under their responsibilities coordinated by the Project Manager. Mandatory HACT assessment for each RP was conducted by the UNDP CO and included in the Annex K. Draft Terms of reference for Responsible Parties are in the Annex E. The Mali Elephant Project has been selected as a RP based on collaborative advantage. Please see Annex K1 for Comparative Advantage Analysis conducted based on the Terms of Reference for the Engagement.

The RPs will directly collaborate with the project partners and local communities to deliver relevant project Outputs and select appropriate sub-contractors to implement relevant project activities based on the UNDP requirements.

Project Assurance: UNDP provides a three-tier supervision, oversight and quality assurance role – funded by the GEF agency fee – involving UNDP staff in Country Offices and at regional and headquarters levels. Project Assurance must be totally independent of the Project Management function. The quality assurance role supports the Project Board and Project Management Unit by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. This project oversight and quality assurance role is covered by the GEF Agency, particularly by, UNDP Mali.

Governance role for project target groups: To involve local communities in the decision-making process, direct project implementation, and M&E the project will establish a **Technical Committee** in the project area that will consist from representatives of RPs, target communities, local governments, NGOs actively present in the project area. The Technical Committee will have meetings at least once a year before the Project Board meeting to review the project progress under Components 2 and 3, extract key lessons, plan project activities, review community concerns and grievances and provide recommendations to the PB, PMU, and RPs. The Technical Committee will ensure coordination among all stakeholders and their involvement in the participatory project M&E and management under PMU and RPs' guidance. The Technical Committee recommendations will be reviewed and taken into consideration by the PB at its meetings as well as by the Project Management Unit (PMU). Members of the Technical Committee will be selected at the Inception phase of the project. The locations of Technical Committee meetings will be determined during the project implementation in the project area. See the diagram below for the project management arrangements structure.

VIII. FINANCIAL PLANNING AND MANAGEMENT

The total cost of the project is USD 18,311,730. This is financed through a GEF grant of USD 4,116,055, USD 200,000 in cash co-financing to be administered by UNDP and USD 13,995,675 in other parallel co-financing. UNDP, as the GEF Implementing Agency, is responsible for the execution of the GEF resources and the cash co-financing transferred to UNDP bank account only.

Parallel co-financing: The actual realization of project co-financing will be monitored during the mid-term review and terminal evaluation process and will be reported to the GEF. The planned parallel co-financing will be used as follows (see Annex M. Co-financing letters):

Co-financing source	Co-financing type	Co-financing amount, USD	Planned Activities/Outputs	Risks	Risk Mitigation Measures
UNDP CO	Grant	200,000	Outputs 4.1-4.3 as well as the Project Management	Low, funds are secured	No any
Ministry of Environment, Sanitation and Sustainable Development	Grant	1,350,000	Outputs 1.1-1.3, 2.1 and 2.3, Project Management	Medium, the funds can be lower if economic situation in the country gets worse	To leverage additional funds from NGOs and private donors Concentrate available funding on the Output 2.1 (support of APU)
Ministry of Environment, Sanitation and Sustainable Development	In kind	4,400,000			
Ministry of Livestock and Fisheries in the framework of	Grant	1,464,000 ¹⁰⁹	Outputs 3.1-3.2	Low, funds are secured by PRAPS project	No any

¹⁰⁹ Converted to US dollars from 800,000,000 West African francs stated in the co-financing letter based on the exchange rate on the date of the letter issue (December 22, 2017)

PRAPS project					
Mali Elephant Project	Grant	5,780,525	Outputs 2.2, 2.3, 3.1, 3.2, and 4.1	Low, funds are secured	No any
	In kind	1,001,150			
TOTAL:		14,195,675			

UNDP Direct Project Services as requested by Government: This project is under NIM, and UNDP will provide direct project services. The services would follow the UNDP DPC policies on GEF funded projects on the recovery of direct costs. As is determined by the GEF Council requirements, these service costs will be assigned as Project Management Cost, duly identified in the project budget as Direct Project Costs. Eligible Direct Project Costs should not be charged as a flat percentage. They should be calculated on the basis of estimated actual or transaction-based costs and should be charged to the direct project costs account codes: “64397- Services to projects – CO staff” and “74596 – Services to projects – GOE for CO.

The UNDP country office will provide, at the request of the Implementing Partner, the following support services for the activities of the project

- (a) Identification and/or recruitment of project personnel;
- (b) Provision of Responsible Party Agreements;
- (c) Identification and facilitation of implementation of activities;
- (d) Procurement of goods and services required under the project.

See Annex L. Standard letter of agreement between UNDP and the Implementing Partner for the provision of support services and Annex L1. Indicative Procurement Plan for the first year of the project for further details on the Direct Project Services

Budget Revision and Tolerance: As per UNDP requirements outlined in the UNDP POPP, the project board will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Board. Should the following deviations occur, the Project Manager and UNDP Country Office will seek the approval of the UNDP-GEF team to ensure accurate reporting to the GEF: a) Budget re-allocations among components in the project with amounts involving 10% of the total project grant or more; or b) Introduction of new budget items/or components that exceed 5% of original GEF allocation. Any over-expenditure incurred beyond the available GEF grant amount will be absorbed by non-GEF resources (UNDP TRAC and cash co-financing).

Refund to GEF: Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the UNDP-GEF Unit in New York.

Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP. On an exceptional basis only, a no-cost extension beyond the initial duration of the

project will be sought from in-country UNDP colleagues and then the UNDP-GEF Executive Coordinator.

Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Terminal Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Board meeting. The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed. At this time, the relevant parties will have already agreed and confirmed in writing on the arrangements for the disposal of any equipment that is still the property of UNDP.

Transfer or disposal of assets: In consultation with the NIM Implementing Partner and other parties of the project, UNDP programme manager (UNDP Resident Representative) is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project. In all cases of transfer, a transfer document must be prepared and kept on file.

Financial completion: The project will be financially closed when the following conditions have been met: a) The project is operationally completed or has been cancelled; b) The Implementing Partner has reported all financial transactions to UNDP; c) UNDP has closed the accounts for the project; d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).

The project will be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

IX. TOTAL BUDGET AND WORK PLAN

Total Budget and Work Plan		
Atlas Proposal or Award ID:	00108261	Atlas Primary Output Project ID: 00108188
Atlas Proposal or Award Title:	Community-based natural resource management that resolves conflict, improves livelihoods, and restores ecosystems throughout the elephant range	
Atlas Business Unit	MLI10	
Atlas Primary Output Project Title		
UNDP-GEF PIMS No.	9661	
Implementing Partner	Ministry of the Environment, Sanitation, and Sustainable Development	

GEF Component/Atlas Activity	Responsible Party (Atlas Implementing Agent)	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Amount Year 5 (USD)	Amount Year 6 (USD)	Total (USD)	See Budget Note:	
Outcome 1. Improved national regulations and capacity to control wildlife crime	MESSD (DNEF RP)	62000	GEF	71200	International Consultants	49,000	21,000	-	-	-	-	70,000	1	
				72100	Contractual services	35,429	126,428	76,428	77,428	35,428	25,428	376,569	2	
				71600	Travel	-	20,000	-	-	-	-	-	20,000	3
				72200	Equipment and Furniture	-	62,500	50,000	-	-	-	-	112,500	4
				75700	Training, workshop, meetings	25,000	15,000	-	-	-	-	-	40,000	5
			GEF		Sub-Total Outcome 1 (GEF)	109,429	244,928	126,428	77,428	35,428	25,428	619,069		
					Total Outcome 1	109,429	244,928	126,428	77,428	35,428	25,428	619,069		
Outcome 2. Increased level of protection of Gourma elephants and their habitat	MESSD (DNEF RP and MEP RP)	62000	GEF	71200 (DNEF)	International Consultants	35,000	5,000	5,000	5,000	5,000	5,000	60,000	6	
				72100 (DNEF)	Contractual services	108,377	108,378	108,378	108,378	108,378	94,111	636,000	7	
				72100 (MEP)	Contractual services	187,623	157,622	137,622	137,622	37,622	37,622	695,733	8	

Summary of Funds:

	Amount Year 1	Amount Year 2	Amount Year 3	Amount Year 4	Amount Year 5	Amount Year 6	Total
GEF	1,023,035	1,099,737	644,634	580,634	413,634	354,381	4,116,055
UNDP- Grant	30,000	26,000	46,500	28,000	28,000	41,500	200,000
MESSD – Grant and In kind	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	750,000	5,750,000
Ministry of Livestock and Fisheries in the framework of PRAPS project	366,000	366,000	366,000	366,000	0	0	1,464,000
MIEP – Grant and In kind	1,272,264	1,200,000	1,200,000	1,200,000	1,000,000	909,411	6,781,675
TOTAL	3,691,299	3,691,737	3,257,134	3,174,634	2,441,634	2,055,292	18,311,730

Budget Notes:

OUTCOME 1	
1	International Consultant to organize ICCWC Indicator Framework (IF) workshop and produce ICCWC IF Report: \$700/day *20 days = \$14,000 (Output 1.1); International Consultants (including CTA) to develop National Anti-Poaching Strategy and update wildlife crime legislation: \$700/day * 60 days = \$42,000 for Year 1 and 2 (Output 1.1); International Consultant (CTA) to provide consultation support on establishment of Wildlife Crime Investigation Unit at DNEF (development of TOR, staff composition, standard operating procedures, and an operational plan): \$700/day * 20 days = \$14,000 on Year 1 (Output 1.2)
2	Contract with selected project partner (organization) to provide training and mentoring programme on wildlife crime investigation and forensics, and wildlife product management to the Wildlife Crime Investigation Unit at DNEF on Years 2-4: \$126,569 (Output 1.2) Contract with selected project partner (organization) to improve/construct confiscated wildlife product storing facility for the Wildlife Crime Investigation Unit at DNEF (Year 2): \$50,000 (Output 1.2)
3	Travel expenses for Wildlife Crime Investigation Unit at DNEF for exchange tour to Kenya, or Tanzania, or other selected country in Africa to learn necessary experience on wildlife crime investigation and enforcement: \$20,000 on Year 2 (Output 1.2)

4	Equipment and software for Wildlife Crime Investigation Unit at DNEF (Toyota Landcruiser: \$50,000; radios: \$2,500; 5 computers: \$10,000; software: \$5,000; office and investigation equipment: \$45,000): \$112,500 (Year 2 and 3) (Output 1.2);
5	Organization of ICCWC IF Workshop in Bamako with participation of law enforcement agencies: \$10,000 (Output 1.1) Organization of meetings with stakeholders to discuss and facilitate approval of developed National Anti-Poaching Strategy, updated wildlife crime legislation and the Partial Elephant Reserve Law: \$30,000 on Year 1 and 2 (Output 1.1)
OUTCOME 2	
6	International Consultant to facilitate development of the Management Plan for the Partial Elephant Reserve: \$30,000, Year 1 (Output 2.3)
7	International Consultant (CTA) to support implementation of the Component 2: \$5,000 * 6 years = 30,000 (Outputs 2.1-2.3) Contractual services to provide patrolling and anti-poaching operations in the Gourma area, including danger money and bonuses: for 6 years = \$636,000 (Output 2.1);
8	Contractual services to provide in-operations anti-poaching trainings and mentoring to the Anti-Poaching Unit including trainer fees, flights, visas, insurance, secure hotel, food, fuel, driver costs, communications: \$385,733 for 6 years (Output 2.2). Additional 50% of the trainers cost will be provided through the MEP co-financing. Contractual services to provide the Anti-Poaching Unit with aerial surveillance: \$40,000*6 years = \$240,000 (Output 2.2). Contractual services for immobilization and GPS-collaring of 10 elephants in the project area, including travel expenses: \$70,000 (Output 2.2), Years 1 and 2.
9	Vehicles for the Anti-Poaching Unit: 2 Landcruisers*\$50,000 = \$100,000; and 12 moto-bikes: 12 * \$1,200 = \$14,400. Total: \$114,400 (Output 2.1), Year 1. First Aid kits and radio equipment for the Anti-Poaching Unit: \$27,000 (Output 2.1), Year 1 Equipment for the Partial Elephant Reserve's staff: 2 Landcruisers *\$50,000 = 100,00; 12 moto-bikes: 12 * \$1,200 = \$14,400; personal field equipment: 12*\$2,000 = 24,000. Total: \$138,400 (Output 2.3), Year 2.
10	10 GPS collars for monitoring of the elephant movements: \$2,500*10 = \$25,000 (Output 2.2), Year 1.
11	Fuel for the Anti-Poaching Unit vehicles (5 military VLRA, 2 Land Cruisers and 6 motorbikes): \$30,000 * 6 years = \$180,000 (Output 2.1) Travel expenses, fuel and parts for vehicles for the Partial Elephant Reserve's staff to provide the reserve management: \$20,000*6 years = \$120,000 (Output 2.3)
12	Maintenance for the Anti-Poaching Unit vehicles: \$5,000* 6 years = \$30,000 (Output 2.1)

13	Meetings and workshops with local communities and other stakeholders for development of the Management Plan for the Partial Elephant Reserve: \$35,000 (Output 2.3), Years 1 and 2. Trainings for the Partial Elephant Reserve's staff on the PA management, law enforcement and wildlife monitoring: \$60,000 for Years 2-6 (Output 2.3)
OUTCOME 3	
14	Contract with selected project partner (organization) to develop elephant-friendly NRM plan for 25-30 target communities in Bambara Maoude, Gandamia and Haire districts: \$90,000 (Output 3.1), Years 1 and 2.
15	Trainings for target 25-30 communities in Bambara Maoude, Gandamia and Haire districts on HEC management, Bush fire management, Sustainable woodland management, NTFP use, and woodland restoration; Elephant friendly water management; Bookkeeping and accounting; Collection of monitoring data; Elephant and livestock census: \$60,000 (Output 3.1), Years 1-4
16	UNDP Micro-Capital Grants to selected local communities in Bambara Maoude, Gandamia and Haire districts for pilot CBNRM projects in accordance with developed community NRM plans: \$540,000 (Output 3.1), Years 1-6; These Grants will follow the UNDP's Micro-Capital Grants policy. UNDP Micro-Capital Grants to selected local communities in Bambara Maoude, Gandamia and Haire districts to develop and implement 20-24 alternative livelihood projects: \$210,000, Years 1-6. These Grants will follow the UNDP's Micro-Capital Grants policy.
OUTCOME 4	
17	International Consultant to conduct Environmental and Social Impact Assessment and develop Environment and Social Management Plan for the project (Output 4.1): \$35,000, Year 1 International Consultant for the MTR on Year 3 (Output 4.1): \$10,000 (additional \$15,000 to the contract will be provided by UNDP CO) International Consultant for the TE on Year 6 (Output 4.1): \$20,000 (additional \$15,000 to the contract will be provided by UNDP CO)
18	National Consultant to update GWP GEF TT (Year 3 and Year 6) (Output 4.1): 2 years* \$5,000 = \$10,000 National Consultant to develop and monitor implementation of the project Gender Mainstreaming Strategy (Output 4.3): 6 years*\$4,000 = \$24,000 National Consultant (Financial Accounting Officer): \$2,000/month*72 months * 19% (other 31% are covered by Project Management Cost budget and 50% - by MESSD co-financing) = \$27,431
19	Travel expenses for RPs to collect information on the PRF indicators (Output 4.1): \$24,000 for 6 years. Additional \$80,000 for aerial survey of the elephant population on Years 1 and 6 will be provided by the MEP in framework of co-financing Travel expenses for the project IP, RPs, and partners to participate in the national and international meetings, seminars and conferences to exchange experience: \$30,000 for 6 years (Output 4.2).

	Travel expenses for RPs to monitor environmental and social risks (Output 4.1): 6 years* \$3,000 = \$18,000 Travel expenses for PMU and RPs to facilitate and monitor stakeholders' involvement and gender mainstreaming actions in the project implementation (Output 4.1): 6 years* \$3,000 = \$18,000
20	Office furniture, computers, printers, scanners, and photo-camera for the PMU Office: \$11,000
21	Annual audit of the project implementation (Output 4.1) (50% Of the cost): 6 years*\$2,000 = \$12,000 (other 50% of the cost are covered by UNDP CO)
22	Organization of the Inception workshop (Output 4.1): \$10,000 (additional \$5,000 are covered by UNDP CO) Project Board meetings once a year (Output 4.1) – 50% of costs: 6 years * \$5,000 = \$30,000 (other 50% of the cost are covered by UNDP CO)
23	International Consultant for the MTR on Year 3 (Output 4.1): \$15,000 (additional \$10,000 to the contract will be provided by GEF)
24	International Consultant for the TE on Year 6 (Output 4.1): \$15,000 (additional \$20,000 to the contract will be provided by GEF)
25	National consultant to develop and support the project website: \$10,000 (Output 4.2), Years 1-6 Travel expenses for the GRM Sub-Committee of the PB to address stakeholders' grievances (Output 4.1): 6 years* \$4,000 = \$24,000
26	Annual audit of the project implementation (Output 4.1) (50% Of the cost): 6 years*\$2,000 = \$12,000 (other 50% of the cost are covered by GEF)
27	Publication of the project bulletin and other project materials: \$20,000 for 6 years (Output 4.2) Translation of MTR and TE Reports into English: \$5,000, Years 3 and 6
28	Organization of the Inception workshop (Output 4.1): \$5,000 (additional \$10,000 are covered by GEF). Project Board meetings once a year (Output 4.1) – 50% of costs: 6 years * \$5,000 = \$30,000 (other 50% of the cost are covered by GEF)
	PROJECT MANAGEMENT
29	National Consultant (Project Manager): \$3,000/month*72 months * 50% (other 50% are covered from MESSD co-financing) = \$108,000 National Consultant (Financial Accounting Officer): \$2,000/month*72 months * 31% (other 19% are covered by Component 4 budget and 50% - by MESSD co-financing) = \$44,569
30	PMU office supplies, paper, cartridges and other consumables: \$6,203 for Years 1 and 2 Estimated UNDP Direct Project Cost (DPC) recovery charges.
31	In accordance with GEF Council requirements, the costs of these services will be part of the executing entity's Project Management Cost allocation identified in the project budget. DPC costs would be charged at the end of each year based on the UNDP Universal Pricelist (UPL) or the actual corresponding service cost. The amounts here are estimations based on the services indicated, however as part of

annual project operational planning the DPS to be requested during the calendar year would be defined and the amount included in the yearly project management budgets and would be charged based on actual services provided at the end of that year. Estimated amount: \$37,231. See more details in Annex L. Standard letter of agreement between UNDP and the Implementing Partner for the provision of support services and Annex L1. Indicative Procurement Plan for the first year of the project for further details on the Direct Project Services

32	National Consultant (Project Assistant): \$1,500/month*72 months * 50% (other 50% are covered from MESSD co-financing) = \$54,000
33	PMU office supplies, paper, cartridges and other consumables: \$10,000 for Years 3-6

X. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of the Republic of Mali and UNDP, signed on June 9 1978. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

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

XI. RISK MANAGEMENT

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

- a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
- b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.

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

The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml.

Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).

The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.

In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.

The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement.

Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately,

including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term “Project Document” as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.

Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

The Implementing Partner shall ensure that all of its obligations set forth under this section entitled “Risk Management” are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled “Risk Management Standard Clauses” are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

XII. ANNEXES

Annex A. Multi-Year Work Plan

Annex B. Monitoring Plan

Annex C. Evaluation Plan

Annex D. GEF Tracking Tool

Annex E. Terms of Reference for the Project Board, Technical Committee, Project Manager, Chief Technical Advisor, Financial Accounting Officer, Project Assistant, and Responsible Parties

Annex F. Overview of Technical Consultancies

Annex G. UNDP Social and Environmental and Social Screening Template (SESP)

Annex H. Stakeholder Communication and Involvement Plan

Annex I. Gender Analysis and Mainstreaming Plan

Annex J. UNDP Risk Log

Annex K. HACT micro assessment of the Responsible Parties (DNEF and MEP)

Annex K1. Terms of Reference for a Responsible Party for Delivering Elephant Protection and Community-Based Conservation Outputs in Gourma

Annex L. Standard letter of agreement between UNDP and the Implementing Partner for the provision of support services

Annex L1. Indicative Procurement Plan for the first year of the project

Annex M. Project Co-Financing Letters

Annex N. OFP GEF Letter

Annex O. UNDP Project Quality Assurance Report

Annex P. Landscape Profile Report

Annex Q. Capacity Assessment Scorecard for law enforcement agency – National Directorate of Water and Forest (Direction Nationale des Eaux et des Forêts, or DNEF) of the Ministry of the Environment and Sanitation

Annex R. ICCWC Indicator Framework Report

Annex S. Calculation Basis for the Estimated Direct GHG Emissions Avoided in the project framework

Annex T. List of stakeholders consulted for the project development

Annex U. EPI Letter of Commitment

Annex V. Environmental and Social Management Framework