



**United Nations Development Programme
Global Environment Facility
Government of Thailand**

Mid-term Review Report

Combating Illegal Wildlife Trade, focusing on
Ivory, Rhino Horn, Tiger and Pangolins in Thailand

GEF Project ID: 9527
UNDP Project ID: 5619

Country: Thailand
Region: Asia Pacific
Focal Area: Biodiversity
GEF Agency: United Nations Development Programme
Executing Agency: Department of National Parks, Wildlife and Plant Conservation

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Mid-term Review opening page.

Project Details:

Project Name: Combatting Illegal Wildlife Trade, focusing on Ivory, Rhino Horn, Tiger and Pangolins in Thailand

Project ID: GEF Project ID: 9527 UNDP Project ID: 5619

Country: Thailand

Region: Asia Pacific

Focal Area: Biodiversity - BD 2 Program 3

Focal Area Objective: Outcome 3.1: Reduction in rates of poaching of rhinos and elephants and other threatened species and increase in arrests and convictions
GEF Trust Fund

Funding Source:

Implementing agency: United Nations Development Programme

Implementation Modality: National Implementation Modality (NIM)

Executing Agency: Department of National Parks, Wildlife and Plant Conservation (DNP)

Financials:

Project Preparation Grant: USD 110,000

GEF Project Grant: USD 4,018,440

Co-financing Total: USD 27,809,379

GEF Agency Fee: USD 361,660

Total Cost: USD 31,937,819

Project Timeline:

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Closing date (Planned): 18 November 2023

Midterm Review Details:

Midterm Review Timeframe: July – August 2021

Midterm Review Consultants: Carsten Germer and Dr. Tien-ake Tiyaopongpattana

Midterm Review Reporting Language: English

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Executive summary

Table 1: Project information table			
Project title:	Combatting Illegal Wildlife Trade, focusing on Ivory, Rhino Horn, Tiger and Pangolins in Thailand		
UNDP Project ID:	5619	PFD/Child project Approval Date:	04 June 2015
GEF Project ID:	9527	CEO Approval Date:	09 January 2018
Award ID:	00086286	Project Document Signature:	19 November 2018
Country:	Thailand	Date project manager hired	March 2019
Region:	Asia Pacific	Inception Workshop date:	28 March 2019
Focal Area:	Biodiversity	Midterm Review data:	July-August 2021
GEF-6 Focal Area Strategic Objective and Program	BD 2 Program 3	Planned Closing date:	18 November 2023
Trust Fund:	GEF TF	If revised, proposed closing date	n/a
Executing Agency	Department of National Parks, Wildlife and Plant Conservation (DNP)		
Responsible parties	IUCN	TRACE	TRAFFIC
Project Financing:	At CEO endorsement (USD)		At Midterm Review (UDS)
(1). GEF financing	4,018,440		1,113,133
(2). UNDP contribution	50,000		49,953
(3). Government:	24,539,379		7,609,460
(4). Other partners:	3,220,000		3,175,791
(5) Total Co-financing (2+3+4):	27,809,379		10,835,204
PROJECT TOTAL COST (1+5)	31,827,819		22,673,820

Project description

1. In partnership with the Department of National Parks, Wildlife, and Plant Conservation (DNP) of Thailand, IUCN, TRAFFIC, and TRACE, United Nations Development Programme (UNDP) in Thailand has developed the current project with the support of USD 4,018,440 from the Global Environment Facility (GEF) under the GEF-6 Biodiversity Focal Area (Program 3) and with an additional national support in form of USD 27,809,379 in co-financing. The project is a UNDP supported national child project under the ‘Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development’ led by the World Bank.

2. As per the project document, the *Project Objective* is to reduce the trafficking of wildlife (focusing on elephant ivory, rhinoceros horn, tiger and pangolins) in Thailand through enhanced enforcement capacity and collaboration and targeted behavior change campaigns. To achieve this objective, the project will utilize four strategies or Project Components. *Component 1: Improved Cooperation, Coordination and Information Exchange* will strengthen the collaboration mechanism and provide a platform for exchange of information among the responsible agencies for illegal wildlife trade (IWT) law enforcement. Under the component the project will aim to strengthen the effectiveness of the Thailand Wildlife Enforcement Network (WEN) to coordinate efforts to reduce IWT through a more comprehensive membership, a clear strategy and action plan, and organizational structures including operational task forces, information sharing mechanism and inter-agency training programs. Secondly, the project will strengthen information management, analytical capacity

and evaluation of joint law enforcement operations to increase wildlife crime detection and enforcement effectiveness. This will include support to DNP to integrate and upgrade online wildlife registration/CITES¹ e-permitting procedures and develop its case management database. Thirdly, an integrated approach to wildlife crime surveillance and enforcement will be demonstrated at two key border crossing points, including through community engagement. Fourthly, information exchanges with regional and international governments and NGOs working on trafficking of selected species will be enhanced through improved co-operation and co-ordination between wildlife forensics laboratories in ASEAN²/Asian and African countries. This will also include regular monitoring of physical/online market availability of CITES-listed species in Thailand.

3. Under *Component 2: Enhanced Enforcement and Prosecution Capacity* the coherence and capacity of law enforcement agencies to address and deter illegal trafficking of wildlife (focusing on elephant ivory, rhinoceros horn, tigers and pangolins), will be increased, through strengthening the cross-sectoral enforcement and prosecution framework. The project will aim to address key skills gaps of IWT enforcement officers and prosecutors in collaboration with the International Consortium on Combating Wildlife Crime (ICWC) (namely/particularly the United Nations Office on Drugs and Crime (UNODC)) and other partners and increase the capacity to implement relevant legislation, especially the revised Wildlife Conservation and Protection Act (WARPA) requirements that are expected to increase the protection of all CITES-listed species. It will review and elaborate the syllabus of DNP training courses on Crime Investigative Procedures and deliver training courses and materials on priority subject areas. The project will also support the DNP Wildlife Forensic Science (WIFOS) laboratory to use DNA forensics techniques in support of IWT investigations. The WIFOS laboratory will also be equipped and capacitated to deliver prosecution evidence including accreditation to international standards (ISO 17025).

4. The project will under *Component 3: Reduced demand for illegal wildlife products and targeted awareness actions to support law enforcement* work with partners to learn from existing efforts and achieve cumulative impact through a Steering Group and the Community of Practice on Demand Reduction. The activities will follow a well-defined systematic process for developing, implementing, and evaluating Social and Behavior Change Communication (SBCC) initiatives. This component also aims to increase awareness of prevailing laws and upcoming WARPA reforms and publicize convictions to strengthen deterrence of wildlife trafficking. Finally, *Component 4: Knowledge Management, Monitoring and Evaluation and Gender Mainstreaming* closely links with and underpins the other three components, by supporting the sharing of project experiences and lessons learned with project stakeholders, the wider public in Thailand, and globally through the GEF-financed, World Bank-led Global Wildlife Program, of which this project is a part.

Purpose and Methodology

5. The objective of the Midterm Review (MTR) was to provide an independent analysis of the project's progress at the project's half-way point. The MTR focuses on identifying project design problems, assesses project progress towards achieving the project objective, outcomes and the project assigned indicators. Findings of the MTR have been presented and discussed as well as incorporated into the MTR recommendations to facilitate a consolidated implementation for the remaining part of the project. The MTR was an evidence-based assessment and relied on feedback from persons who have been involved in the project design, implementation and supervision. The MTR also reviewed available documentation. The timing of the MTR has coincided with a new wave in the COVID-19 pandemic and international travel as well as travel inside Thailand was restricted during the timeframe of the MTR, and it was thus not possible to arrange field missions as part of the MTR. The inability to engage in site visits and face-to face stakeholder interaction was an MTR limitation and the MTR methodology was readjusted in coordination with UNDP Thailand and the project's PMU. To expand on the scope of stakeholder, feedback online surveys in Thai for the Project Board members as well as for the members of the Thailand WEN were developed.

Project progress summary Midterm Review rating

Measure	MTR Rating	Achievement Description
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¹ Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)

² Association of Southeast Asian Nations (ASEAN)

Project Strategy	N/A	Overall, the project has a robust design which remains relevant at the time of project signing and is still, by and large, relevant at the time of the MTR. The project's Theory of Change, although not overly detailed, provides for a presentation of the project logic, as well as the underlying assumptions, and provides a reasonable structure for the project implementors, clarifying the causal link between project barriers, project components and the intended project outcomes (through underlying outputs).
Progress Towards Results	Objective Achievement Rating: Moderately Unsatisfactory	<p><i>Project Objective: To reduce the trafficking of wildlife (focusing on elephant ivory, rhinoceros horn, tiger and pangolins) in Thailand through enhanced enforcement capacity and collaboration and targeted behavior change campaigns.</i> The project has established the Thailand WEN committee and related Thailand WEN sub-groups. In addition, an ad-hoc Pangolin task force has been operational and succeeded in bringing an old trafficking case for prosecution. At least 94 different Government staff have been capacitated through project interventions.</p> <p>Although positive, and close to having established the main structures under the Thailand WEN, the project is not meeting its MTR targets. Particularly the limited number of only 94 Government staff (out of an anticipated 400) who has received training so far should be a concern, as should the progress at the project's demonstration sites at Provincial level.</p>
	Outcome 1 Achievement Rating: Moderately Unsatisfactory	<p><i>Outcome 1: Strengthened wildlife crime institutional framework through increased coordination, cooperation and information exchange behavior change campaigns.</i> A draft agreement on an information-sharing protocol for Thailand WEN agencies has been developed and the i2 IBM investigation database has been installed, and data uploaded. Monitoring of online information on DNP identified indicator species are ongoingly monitored and DNP staff has been trained on online-market monitoring. Draft TORs for local inter-agency task forces committees at the two demonstration areas have been developed and submitted for the Provincial Governors approval. Finally, a national economic assessment impact from IWT using UNDP's Target Scenario Analysis (TSA) methodology is close to completion.</p> <p>In spite of this, the project is not on target for most of its indicators/sub-indicators. In addition, the integration and upgrading of the online CITES registration of existing non-native species in Thailand (live and products) is still pending, as is the organization of the database elements on species in trade, as well as the development of the CITES e-permitting procedures in line with the national single window/ ASEAN single window. An Operational Document/strategy which analyzes and describes what a well-functioning "accredited" WIFOS laboratory would look like and what would be its annual running and maintenance costs etc. is still to be prepared.</p>
	Outcome 2 Achievement Rating: Moderately Satisfactory	<p><i>Outcome 2: Effective Detection and Deterrence of Illegal Wildlife Trafficking as a result of Enhanced Capacity in Enforcement and the Criminal Justice System.</i> DNP has identified five training courses as priorities for the project and five different trainings have been provided so far. Support to the WIFOS Laboratory at DNP to conduct robust and validated DNA tests has been progressing and discussions for utilizing Next Generation Sequencing facility in Malaysia are underway. This would offer an effective training platform for WIFOS staff and would be a cost-effective procedure to develop DNA sequence databases for protected species in Thailand. SWFS Standards and Guidelines for Wildlife Forensic Analysis have been translated into Thai and a Thai language version of the Standard Operating Protocols (SOP) developed by TRACE (Appendix I) is currently being prepared. Further, new 12K flex QuantStudio DNA extraction equipment has been purchased, and a new evidence room at WIFOS has been established. In addition, 4 full time scientific officers for WIFOS have been requested in late 2019 and this request is still being considered internally by DNP. These staff would be an important addition as the improved performance of the temporary hired laboratory staff cannot guarantee sustainability of WIFOS after project termination.</p> <p>While parts of the actions under the outcome have been progressing well (in spite of complications) the project do face implementation complications. Most notably only 25 % of the planned 400 people to have been trained by midterm have been</p>

		<p>trained. Thus, increased and consolidated efforts in this regard is urgently needed. The project's work on capacitating WIFOS staff and upgrade the WIFOS laboratory and the "accreditation" of WIFOS are also important pending issues.</p>
	<p>Outcome 3 Achievement Rating: Moderately Unsatisfactory</p>	<p><i>Outcome 3: Social norms and consumer behavior in key target audiences move towards increased unacceptability of trafficking and purchasing illegal wildlife products.</i> A Demand Reduction Steering Group (DRSG) has been established and linkages between the DRSG and the TRAFFIC convened Community of Practice on Demand Reduction have been established. In addition, the document <i>Situation Analysis, Illegal Wildlife Trade and Consumer Demand Reduction Efforts in Thailand</i> has been prepared and a campaign for the new WARPA legislation has been prepared using visuals in Thai, Chinese and English. Further, a survey on Wild Meat Consumption in Thailand has been prepared (to be published in August 2021), and a campaign to reduce demand for ivory and tiger products (amulets) was launched on 23 July 2021.</p> <p>A main drawback under outcome 3 is that the baseline, midterm and end of project indicator information was not available at the time of the MTR. This not only hindered a review of the project's progress towards the indicators, but also raised questions as to the general implementation under the outcome, including towards two planned activities 1) a SBCC initiative strategy to identify the advocacy approaches, social mobilization activities & behavioral change communications to be delivered and 2) deliver upon said strategy.</p>
	<p>Outcome 4 Achievement Rating: Moderately Satisfactory</p>	<p><i>Outcome 4: Implementation, upscaling and replication of project approaches at national and international levels are supported by effective knowledge management and gender mainstreaming.</i> The first national ICCWC Toolkit Indicator Framework Baseline Assessment workshop was conducted in 2019 and ICCWC Indicators were identified. The PMU established a dedicated Facebook page link to DNP's main website. Furthermore, a Technical Advisory Consortium (TAC) was established, and the first meeting was held in Q3 2020. In addition, two sets of IWT project background information (Roll up & Exhibition sets) were prepared. And to promote the IWT project, a short video clip was also prepared on Illegal Wildlife Trade and COVID 19 issues. The PMU has attended several events and conferences providing exposure to the project. Finally, the project's Midterm Review is being executed.</p> <p>A key outstanding engagement under this outcome is the development of the project's communication strategy, which should have been developed during the first year of implementation and updated annually in the subsequent years. In addition, the annual national TAC forums and the Annual GWP Partnership Forum have not been held so far.</p>
<p>Project Implementation & Adaptive Management</p>	<p>Moderately Satisfactory</p>	<p>The project has a clear national ownership and is anchored within DNP and overall, the institutional setup for managing the project is in place and well established and managed. The project has faced initial complications related to the internal restructuring of the DNP as well as a change in the Project Board membership. The main reason for the Moderately Satisfactory rating is that, although the project is well structured etc. and has the needed reporting structures in place for good and adaptive management, it is difficult for the PMU to effectively manage the project. Key reasons for this are that different parts of the project are implemented by different entities (units under DNP, IUCN, TRACE and TRAFFIC) and not by the PMU itself. Thus, the PMU cannot directly influence the project implementation, and there seems to be a lack of a higher-level coordination.</p>
<p>Sustainability</p>	<p>Financial Risk: Moderately Unlikely</p>	<p>The project is in the process of setting up a robust system for a sustainable and long-term engagement related to IWT enforcement in Thailand. To obtain long-term sustainability, without GEF financing, long-term financing needs to be ensured, and it is currently not apparent that this might happen based on that the current increase in DNP budget spending towards IWT enforcement is 1%. This has to be seen in comparison with the expected 10% at midterm. The low budgetary support might be COVID-19 related. And while the potential for long-term financial sustainability nonetheless can be seen to be in the cards, the lack of established structures and the</p>

		lack of their inclusion into the government budgets at the present time leads to a level of uncertainty.
	Socioeconomic Risk: Moderately Unlikely	The <i>Situation Analysis, Illegal Wildlife Trade and Consumer Demand Reduction Efforts in Thailand</i> documentation prepared by TRAFFIC under the project highlights two important aspects 1) although there has been a prolonged and active campaigning related to halting IWT in Thailand many initiatives are awareness raising efforts rather than targeting behavior change ones. and 2) the focus has been on ivory and tiger products (primarily in Bangkok) and thus many other species are still to be tackled. Further, only 3% of 1300 respondents in a wild meat consumption survey have ever eaten pangolin, thus indicating that the amount of the general public in Thailand who trade and/or consume wildlife products are comparatively small. Although large in absolute numbers the percentage of Thais using ivory and tiger products is approximately 2-3%. And while Thailand still is a transit country, the numbers appear to be stable. Thus, continued public campaigning and publicizing of seizures and convictions should reduce the number of people committing acts of wrongdoing based on lack of knowledge. This coupled with increased law enforcement, including the development of the Provincial WENs, with its community involvement, could provide a template for other border provinces in Thailand hereby increasing pressure on the organized crime which is involved in most of the transit IWT.
	Institutional Framework and Governance Risk: Moderately Likely	<p>Provided the project increases its efforts and expedites the implementation of its key elements of the project, it will by the end of the project have a solid, and functioning, foundation in place which would ensure a consolidated and consistent engagement in IWT enforcement long-term.</p> <p>However, this will ultimately be dependent upon that sufficient financing to the established structures is ensured. Preferably through the Government budgeting, but it could also be obtained through other means including funding through new projects from third parties.</p>
	Environmental Risk: Moderately Likely	A main point in the project's Theory of Change is that with a decreased market demand on species the pressure on globally important species would decrease. And with the demand in Thailand in decline, transit-trade leveling out and increased government IWT enforcement efforts, facilitated by the project, being increased it would be reasonable to expect a further decline in IWT would spring from this. Hereby providing further reprieve to the project target species. This reprieve would not only result in that fewer numbers of animals of globally important species would be killed hereby increasing the species population size and genetic potential. As key stone species these animals would also play an important part in shaping the habitats in which they live, providing for additional benefits to the environment and the biodiversity within. That said, as the project could still to engage actively in many of the central outputs of the project the effects of these still remains to be seen.

Conclusion summary

6. The project has had a prolonged start up period followed by a slow project initiation which in effect has created substantial delays in the implementation of project activities and achievements in key project deliverables. The project was signed, following a cabinet approval, in November 2018, ten months after the CEO endorsement. And while the PMU was populated in the first quarter of 2019, project implementation did not begin in earnest due to and internal restructuring within DNP. Implementation during 2019 was also affected by the process of "on-boarding" the Responsible Parties, where the Responsible Parties agreements with UNDP were signed in July/August 2019. Further, the lack of a DNP dedicated bank account caused some delay although that was to some extent circumvented through UNDP's provision of project support.

7. Following a year of "setting up", the movement in the project activities has been apparent and has progressed at a steady pace. However, activities under several key outputs were stalled by the prolonged process of establishing the Thailand WEN committee. While it should be appreciated that the DNP, due to the importance of the Thailand WEN, wanted to get the composition of the Thailand WEN committee just right, it did delay the development of the Thailand WEN strategy, the protocol for information exchange, setting up joint

enforcement initiatives at provincial level including the establishment of community agreements with local communities.

8. The work with the WIFOS laboratory, which is a vital part of the project, was complicated by the internal restructuring within DNP, where WIFOS for instance moved from the auspices of the CITES office to the Wildlife Conservation office, causing an internal staff change within WIFOS itself. The turbulence in 2019 also resulted in that it was difficult to engage in the originally planned activities and that the assigned international support was retracted in a cost-saving measure. Unfortunately, it subsequently has become impossible to re-deploy said support due to the COVID-19 pandemic and the Thai Government's imposed travel and visa restrictions. In an adaptive management approach, work, which could be undertaken outside Thailand, has been pursued, such as work on protocols and assays. The critical work on capacitating WIFOS and ensuring that it, and its staff, meet international acceptable standards is still pending.

9. For the project main communication work different campaigns have been initiated and initial survey work undertaken. However, there seems to be a disconnect between the project stated intent and the contractual arrangements (and understanding) with the Responsible Party. This is most clearly expressed in that the project is to measure perception and attitude change in different target groups within Thailand over the course of the project (i.e. measuring how the project, through its communication work and other project achievements, have caused changes in attitude surveys)). As a minimum, surveys at project start and end of project should be engaged in. However, the Responsible Party agreement signed with UNDP only has a duration of 36 months, which leaves the final survey outside the purview of the Responsible Party. Complicating the matter is that the initial survey has not been engaged in so far. Thus, there is a need for the project to have a critical look at what the project wants to obtain from project's third component, while keeping within the bounds acceptable to GEF/UNDP.

10. Although the project has had a slow start up, as well as been affected by the COVID-19 pandemic caused by government safeguards and restrictions such as lockdowns, working from home, restrictions on travel and restrictions in people gatherings etc., it has been able to bring itself into a positive position. Many of the key structures of the project to be established appear to be in the later stages of the needed approval processes, and provided such approvals are given in the near future, the project will have time to operationalize them – at least to a certain extent. However, one thing is the establishment, another is to ensure that they are anchored financially within an associated budget. Doing the latter will take time and there is an open question as to whether there is sufficient time under the project to ensure that this will happen. Because of this the project should as a priority ensure that not only are the needed structures established (i.e. Thailand WEN sub-groups, Thailand WEN taskforces, Provincial WENs, Community agreements), but also that financing is linked to the long-term sustainability of these, as well as WIFOS and the established coordination modalities DRSG and TAC. For all of these, long-term strategies, which extend beyond the project period, should be developed (and approved) before the end of the project, providing for a very strong exit strategy for the project, cementing the legacy of the GEF intervention and creating a lasting engagement in IWT enforcement in Thailand for the years to come.

11. Thus, the project has the potential to become a key-stone project with high visibility directing IWT enforcement in Thailand, but it requires a strong leadership and enhanced coordination, as well as expedited and consolidated efforts towards the implementation of the project remaining activities. This includes a strong and active engagement in building the capacities of the various IWT law enforcement agencies, as these entities are the ones which will bring changes to fruition on-the-ground, creating the desired change which will provide for the sought-after global environmental benefits.

12. An important part of realizing the project's potential of becoming a key-stone project, will be to build the project's communication strategy, which will have as aim to highlight and underline the importance of IWT enforcement both within the DNP and the Thai Government, but also within Thai public at large. Equally important will be to use the relevant international platforms such as Exposure and Panorama and international events such as the UN Biodiversity Conference (COP 15) in Kunming, China, to position Thailand as lead and front runner in the IWT enforcement in Southeast Asia.

Recommendations Summary

13. The MTR team's recommendations are outlined in the NTR section 4.2 and for the executive summary only the recommendation banner has been listed.

1)	Revise the project's monitoring framework. a) Results framework; b) Risk table including the SESP; and c) GEF Core Indicators.
2)	Establish stronger ownership and leadership.
3)	Prepare and adaptive management plan to ensure that project targets and deliverables are met.
4)	Align and determine "task managers" for the project outputs for the project duration
5)	Engage in realistic budget discussion.
6)	Prepare documentation supporting decision makers.
7)	Prepare project exit strategy and sustainability plans for established project structures and initiatives
8)	Expedite the development and implementation of the project's capacity building efforts.
9)	Ensure accreditation of WIFOS and permanent staffs in place
10)	Enhance IWT enforcement in the project's border provinces.
11)	Develop a fit for purpose communication strategy.
12)	Review Responsible Party Agreements between IUCN/TRACE/TRAFFIC and UNDP.

Let's make the impossible possible.

Dr. Rungnapar Pattanavibool, DDG DNP.

Abbreviations and acronyms.

ASEAN	Association of Southeast Asian Nations
BD	Biodiversity
CDR	Combined Delivery reports
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
CHIS	Covert Human Intelligence Source
CO	Country Office
DNP	Department of National Parks, Wildlife, and Plant Conservation
DRSG	Demand Reduction Steering Group
EIA	Environmental Investigation Agency
GEF	Global Environment Facility
GWP	Global Wildlife Program
HDI	Human Development Index
ICCWC	International Consortium on Combating Wildlife Crime
IWT	Illegal Wildlife Trade
MLAT	Mutual Legal Assistance Treaty
MNRE	Ministry of Natural Resources and Environment
MTR	Midterm Review
NBSAP	National Biodiversity Strategy and Action Plan
NIM	National Implementation Modality
NGO	Non-Governmental Organizations
PFD	Program Framework Document
PD	Project Director
PIR	Project Implementation Review
PM	Project Manager
PMU	Project Management Unit
ProDoc	Project Document
QR	Quarterly Reports
RTA	Regional Technical Advisor
SBCC	Social Behavior Change Communication
SWFS	Society for Wildlife Forensic Science
TOR	Terms of Reference
TSA	Target Scenario Analysis
UNDP	United Nations Development Programme
UNODC	United Nations Office on Drugs and Crime
UWA	USAID Wildlife Asia
WARPA	Wildlife Conservation and Protection Act
WCS	Wildlife Conservation Society
WEN	Wildlife Enforcement Network
WIFOS	Wildlife Forensic Science

1 Introduction

1.1 Objective

1. The objective of the Midterm Review (MTR) is to provide an independent assessment of the project's current standing with regard to progress towards its achievements of the project objectives and outcomes. The MTR is also to gauge early signs of project successes and/or shortcomings and provide suggestions for adjustments, as needed, to ensure that the project remains relevant and on-track to achieve its intended end of project targets. In addition, the review will look at the project strategy, project implementation and adaptive management as well as the long-term sustainability of the project results.

1.2 Scope and Methodology

2. The MTR was an evidence-based assessment, which relied on feedback from individuals who have been involved in the design, implementation and supervision of the project. The MTR also undertook a review of documents made available to the Midterm Review Team. The overall approach and methodology for the review follows the guidelines outlined in the *UNDP Guidance of Conducting Midterm Reviews of UNDP supported, GEF - financed projects*³.

3. The review was carried out by a consultancy team consistent of a national consultant and an international consultant during the period of July and August 2021. The aforementioned duration of the MTR included preparatory activities, desk review, online interviews of stakeholders and project partners, online surveys and the completion of the MTR report. The MTR was conducted during the COVID-19 Pandemic and due to Thailand visa and travel restrictions, including restrictions to national travels, it was not possible to arrange any field missions as part of the MTR. The MTR methodology was adjusted accordingly considering the UNDP Independent Evaluation Office's evaluation guidelines⁴

4. The MTR team undertook a desk review of relevant information sources available to the MTR Team, including the project document, project progress reports such as Project Implementation Review (PIR) and Quarterly Reports (QR), financial reports and key project deliverables. The project management unit (PMU) uploaded project documentation onto a share-drive enabling easy access. A full list of documents reviewed is provided in Annex 1.

5. To support the data collection and provide the MTR with a supporting analysis tool, an evaluation matrix was developed (see Annex 3), which guided the review process. The information gathered during the MTR desk review and fact-finding phase was cross-referenced between as many sources as possible to verify the findings. This included cross-referencing during the MTR interviews which were held via ZOOM between 9 – 26 July 2021. The list of held interviews are listed in Annex 2.

6. To expand the engagement of project partners and interlockers, two online surveys using Survey Monkey were designed to receive feedback from the Project Board members as well as the members of the Thailand WEN. However, with regard to the developed surveys attached as Annex 4 and 5 only 2 persons from the Project Board took the survey (at the time of MTR submission) making the sample too small for analysis. The prepared Thailand WEN survey could not be undertaken as the contact details for the Thailand WEN members (located at the PMU offices) became inaccessible due to a COVID-19 lock-down in Bangkok. Furthermore, the PMU were provided with a project progress self-assessment matrix by the MTR team, using the project results framework template. The results of the self-assessment are referenced to in the MTR report. The project's

³ Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects, 2014, UNDP-GEF Directorate.
http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance_Midterm%20Review%20_EN_2014.pdf

⁴ Data collection, remote interviews, and use of national consultants. Evaluations during COVID-19. Evaluation Guidelines, UNDP Independent Evaluation Office, June 2020.
<http://web.undp.org/evaluation/guideline/documents/covid19/update/June2021/UNDP%20DE%20Guidance%20for%20evaluation%20TOR%20during%20COVID%20June%202021.pdf>

results framework used for the current evaluation to assess the achievement of project objective and outcomes is listed in Annex 9

7. Financial data including data on co-financing was provided by the PMU and the UNDP Country Office and are presented in the findings section 3.3.3 of this report. In this regard, the provided co-financing reporting contains breakdowns which are consistent with those included in the co-financing letter issued at the project submission and approval by GEF.

8. The MTR also reviewed the Global Wildlife Program (GWP) Tracking-tool, as well as provided suggestions for the selection of valid GEF Core-indicators, for the project's consideration.

1.3 Structure of the Report

9. The MTR report follows the outline specified in the UNDP-GEF MTR guideline. The initial part of the report provides a description of the project, outlines the project duration, presents the main project stakeholders, and outlines the immediate and development objective. The report subsequently presents the findings of the evaluation, which are broken down into four categories namely:

1. Project Strategy
2. Progress towards Results
3. Project implementation and adaptive management
4. Sustainability

10. The final part of the report provides the MTR conclusion and recommendations towards how the project can enhance its implementation during the remaining project period. In addition, the report contains an Executive Summary at the very onset of the report.

1.4 Rating Scale

11. Progress towards results and project implementation and adaptive management is rated according to a 6-point scale, ranging from highly satisfactory to highly unsatisfactory. Sustainability is evaluated across four risk dimensions which include financial risk, socioeconomic risk, institutional framework and governance risk, and environmental risks. According to the UNDP-GEF evaluation guidelines, all risk dimensions of sustainability are critical (i.e. the overall rating of sustainability cannot be higher than the lowest-rated dimension). Sustainability was rated according to a 4-point scale, including likely, moderately likely, moderately unlikely, and unlikely. The used rating scales are presented in Annex 17.

1.5 Ethics

12. The MTR was conducted in accordance with the UNEG Ethical Guidelines for Evaluators, and the MTR Team have signed the Evaluation Consultant Code of Conduct Agreement form (Annex 18). In particular the MTR team ensured the anonymity and confidentiality of the individuals who were interviewed and surveyed⁵.

1.6 Audit Trail

13. To document an "Audit Trail" of the evaluation process, review comments to the draft MRT report will be compiled along with the responses from the MTR team and annexed separately to the main report. Relevant modifications to the MTR report were incorporated into the final version of the MTR report.

1.7 Limitations

14. The MTR followed the provided for the assignment Terms of Reference (TOR) (Annex 16) and the UNDP Guidance of Conducting Midterm Reviews of UNDP supported, GEF- financed projects. The methodology of the MTR was adjusted in response to the visa and travel restrictions currently enforced in Thailand. As MTR mission and related field visits were not possible, the findings of the review are based on desk review and ZOOM interviews. The MTR team also prepared online questionnaire surveys meant for the Project Board and the

⁵ This has been upheld for everyone aside from the statement made by Dr. Rungnapar Pattanavibool (mentioned in the executive summary). For this particular statement explicit permission to reproduce the statement was obtained from Dr. Rungnapar Pattanavibool.

Thailand WEN members. As noted above, too few responses from the Project Board members were received to make a valid analysis and the Thailand WEN members could not be contacted due to lack of access to the PMU office computers (due to a COVID-19 lock-down in Bangkok).

15. Aside from the main drawback of not being able to engage face-to-face with project partners and stakeholders, for reasons described above, there were no significant limitations on the MTR work. Most of the project documentation is in English and for documentation, which was not, the national consultant reviewed the documentation and reported as needed on it. Parts of the interviews during the MTR were held in Thai language by the national consultant following an MTR team agreed questions set, and the national consultant translated and briefed the international consultant, as part of the process.

16. Overall, the MTR Team believes that the information and feedback obtained during the MTR exercise are sufficient to capture the project's progress, remaining barriers and evaluate the sustainability of project results following project closure.

2 Project Description

2.1 Development Context

17. The human development Index (HDI) for Thailand was 0.777 (2020) which ranks the country as number 79 out of 189 countries and territories assessed and places the country in the high human development category. Between 1990 and 2020 the Thailand HDI increased from 0.577, a percentage increase of 34,7 %⁶.

18. Following the Project Document (ProDoc) the project aims to combat the illegal trafficking of wildlife in Thailand, particularly the key globally threatened species that have been most affected by such trade (at the time of formulation) i.e. the elephants, rhinoceros, tigers and pangolins. By 2015 the illegal wildlife trade had reached the stage of an international crisis for biodiversity, attracting attention from world leaders, UN organizations, governments, and many non-governmental organizations (NGO). The current project is part of GWP, which is a joint global program between GEF, the World Bank and UNDP, and involves some twenty national projects in Africa and Asia.

19. While the value of the global illegal wildlife trade (by its nature) remained (and still does) unknown, it was estimated, in early 2017, at USD 5 billion to USD 23 billion per annum^{7,8}, indicating that wildlife crime is among the most lucrative types of transnational crime.

20. Thailand plays a significant role in the global illegal wildlife trade, being a major source, transit, and destination country for many different types of wildlife and wildlife products. In particular, Thailand is a consumer and trans-shipper of pets and high-value luxury items. The trade is driven by its growing economy with accompanying increased purchasing power and facilitated by the country's major international transport hubs, and indications are that Thailand still has an ongoing role as a hub for trade within South-East/East Asia and between Africa and Asia. This although, there has been a drop in the illegal trade due to the COVID-19 pandemic, which has affected people and cross-border trade. Trade in IWT has also changed character as online sales of illegal wildlife have increased in parallel to a drop in the physical trade. The illegal wildlife trafficking chains involved in the IWT are diverse and dynamic, even for individual species. Monitoring and analysis of illegal trade for key species involving Thailand in recent years are well documented, including reports by TRAFFIC⁹, United Nations Office on Drugs and Crime (UNODC)¹⁰ and Environmental Investigation Agency (EIA) among others, and seizures data from Thailand WEN between 2010 and 2017¹¹.

⁶ <http://hdr.undp.org/en/countries/profiles/THA>

⁷ ProDoc reference - <http://www.gfintegrity.org/issue/transnational-crime-terrorist-financing/> Accessed 30 June 2017

⁸ ProDoc reference - In comparison – in the early 1990s, TRAFFIC estimated the value of legal wildlife products imported globally was around USD160 billion. In 2009, the estimated value of global imports was over USD323 billion. <http://www.traffic.org/trade/> Accessed 30 June 2017

⁹ ProDoc Annex R

¹⁰ ProDoc reference - UNODC 2013; UNODC 2017

¹¹ ProDoc Annex O

21. The enhanced regulation and enforcement of the domestic market led to a steep reduction in trade of ivory in Thailand. Research undertaken by TRAFFIC in 2016¹² showed a 96% reduction in ivory sales in the domestic market compared with 2012. Thailand has since been downgraded from a country of 'primary concern' in global illegal ivory trafficking to one of 'secondary concern'. However, the longevity of this project will depend heavily upon continued law enforcement monitoring of the situation, especially in view of an apparent shift to online sales. Illegal ivory trade into Thailand remains an ongoing problem and the enforcement of the existing regulations has proven to be challenging. Once imported, illegal ivory from Africa is either re-exported or processed and passed-off as local and legal products¹³. The ProDoc highlights the severity of the issue by for instance noting that, between 2014 and 2017, customs authorities seized about 7 tons of ivory, approximately 10,000 turtles and tortoises, and nearly 6 tons of pangolin¹⁴.

22. The project has been put in place to assist the Royal Government of Thailand in implementing its Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) obligations. It will support the national implementation of a number of key CITES Resolutions, such as Res. Conf. 10.10 (Rev. CoP17) on Trade in Elephant Specimens; Res. Conf. 12.5 on Asian big cats; Res. Conf. 17.4 on Demand Reduction Strategies to Combat Illegal Trade in CITES-Listed Species; Res. Conf. 17.6 on Prohibiting, Preventing Detecting and Countering Corruption, Which Facilitates Activities Conducted in Violation of the Convention; Res. Conf. 17.10 on Pangolins; and Conference of Parties 17 Decisions directed to Parties on combating wildlife cybercrime, demand reduction, International Consortium on Combating Wildlife Crime (ICWC), national ivory action plans process and Asian big cats. Project activities have been designed to support implementation of these CITES requirements and recommendations. The project thus supports DNP in implementing the 4th National Biodiversity Strategy and Action Plan (NBSAP)¹⁵ in relation to the protection of endemic and globally threatened species. The primary legislation for wildlife protection is the Wild Animals Reservation and Protection Act (WARPA). A WARPA revision, approved in 2019, consists of updated adjustments from WARPA B.E. 2535, and is in congruence with CITES and the Convention on Biological Diversity¹⁶.

2.2 Problems the Project Seek to Address

23. The ProDoc underlines that once an emerging threat, wildlife crime has become one of the largest trans-national organized criminal activities alongside drug trafficking, arms, and trafficking in human beings. Criminal groups are using the same routes and techniques for wildlife trafficking as for smuggling of other illicit commodities, exploiting gaps in national law enforcement and criminal justice systems. The billions of dollars generated by this illegal business are often associated with further criminal activities, including financing terrorism, money-laundering and corruption¹⁷.

24. The illegal wildlife trade has major global impacts¹⁸:
- a) It drives the extinction of species such as elephants, tigers, rhinoceros and pangolins, and causes severe depletion of wildlife and disruption of ecological processes;
 - b) It causes socio-economic impoverishment: state revenues loss, reduced livelihood options for rural communities, spread of disease and damage to public health; and
 - c) It fosters corruption and criminality: undermining the rule of law and accountability.

¹² ProDoc reference - Krishnasamy, K. Milliken, T. and Savini, C. 2016. In Transition: Bangkok's Ivory Market –An 18-month survey of Bangkok's ivory market. TRAFFIC, Southeast Asia Regional Office.

<http://static1.1.sqspcdn.com/static/f/157301/27268598/1475147740703/TRAFFIC-Report-Bangkok-Ivory.pdf?token=n3Qux%2F0frqaf0v6SaWNTnF4AW2s%3D>

¹³ ProDoc reference - Stiles D. 2009. The elephant and ivory trade in Thailand, TRAFFIC Southeast Asia, Malaysia.

¹⁴ ProDoc reference - UNODC 2017.

¹⁵ ProDoc reference - Master Plan for Integrated Biodiversity Management B.E. 2558 – 2564 (2015-2021)
<https://www.cbd.int/doc/world/th/th-nbsap-v4-en.pdf>

¹⁶ ProDoc reference - The Act aims to emphasize the following: a. Wildlife preservation and restoration plans, b. Wildlife identity tags and management, c. Prohibition of the possession of protected wildlife, d. Prohibition of the import, export or transport of wildlife, e. Authorized inspections for illegal wildlife trade without the need for a warrant.

¹⁷ <https://www.unodc.org/unodc/en/wildlife-and-forest-crime/overview.html> Accessed 30 June 2017

¹⁸ UNODC 2013. Transnational Organized Crime in East Asia and the Pacific. A Threat Assessment. UNODC.

25. Although the Thai government has made significant efforts to control illegal wildlife trade at the time of project preparation, its efforts were seen to be impeded by a number of barriers including:

A. Inadequate and unsystematic communication and collaboration among enforcement agencies

26. The inter-agency cooperation for law enforcement in Thailand was, at the time of formulation, perceived as relatively good, with the agencies involved having clear policies and procedures outlining their respective roles and responsibilities. However, at the operational level, cooperation occurs on a case-by-case basis. Under the former ASEAN¹⁹ Wildlife Enforcement Network (ASEAN WEN), Thailand appointed a National Focal Point from the CITES Management Authorities and focal points from relevant enforcement agencies, such as Police, Customs, Attorney General's Office to support efficient coordination of national activities in relation to wildlife law enforcement and combating of illicit harvesting of, and trade in, wild fauna and flora among and between relevant national wildlife law enforcement agencies. This team was known as the Thailand Wildlife Enforcement Network (Thailand WEN). However, the Thailand WEN was, by and large, dormant at the time of project preparation and there was a need to revitalize it as well as expand the number of institutions involved. UNODC (2017) emphasizes that the creation of a specialized wildlife crime inter-agency team to target the upper levels of organized crime in Thailand was of the utmost priority. In addition, while there was some degree of international cooperation in the ASEAN context, it has yet to translate into an effective regional approach to intelligence sharing and joint operations. Baseline capacity assessment during the project preparation identified that DNP needed to strengthen the existing institution and organization on the anti-trafficking agenda to be more practical, particularly on coordination among concerned agencies; and to establish a strategy and develop action plan for Thailand WEN with participation from relevant enforcement agencies and regularly update it.

B. Limited scientific tools, data systems, and human capacities to prevent, detect, and convict individuals involved in the illegal wildlife trade (including forensic analysis capacity)

27. During the project formulation, the UNDP Capacity Development Scorecard assessment related to illegal wildlife trade (IWT) was applied to DNP. This indicated that DNP has significant capacity for its role in wildlife protection law enforcement (baseline score of 58.3%), but areas for improvement were indicated, including needs for stronger collaboration with other enforcement agencies, skills training for DNP staff on IWT enforcement, and related information management, intelligence analysis, etc. This mirrored the UNODC (2017) findings which identified specific law enforcement capacity needs across concerned agencies, including advanced investigation capabilities (e.g., use of controlled deliveries, covert human intelligence source (CHIS) recruitment and management, undercover operations, use of intelligence databases and intelligence analysis software). While DNP's Wildlife Forensic Science (WIFOS) laboratory, as noted in the ProDoc, is one of the most established in the region, it is still in need of significant investment to ensure that it can operate at an internationally accredited standard and reliably provide forensic evidence that will support wildlife crime prosecutions. This includes the development of its scientific equipment, DNA tests and other forensic techniques, and human capacity for analysis and evidence handling.

C. Lack of awareness and understanding of Thai public and tourists regarding the impacts of illegal wildlife trade on biodiversity, including the consequences of the illegal ivory trade in Thailand

28. The ProDoc notes that the baseline analysis of demand reduction undertaken during the project formulation, identified the following barriers concerning awareness and understanding of illegal wildlife trade:

- a) Absence of social pressure and sanctions against consumers and traders of illegal wildlife products;
- b) Lack of demand reduction campaigns employing a social norm approach in deterring illegal wildlife products trade and consumption;
- c) Limited public relations work on the existence of law enforcement capacity and activities;
- d) Shift of the market space from physical to online.

29. In the area of law enforcement, despite the high volume of awareness raising campaigns on the existence of wildlife trade law, it has been found that the lack of evidence in demonstrating real life examples of law enforcement and actual deterrent punishments made the campaigns less effective. So far, news and reports on enforcement have been about confiscation and destruction of illegal wildlife products, but not about punishment of smugglers or consumers of illegal wildlife products. Consequently, demand reduction campaigns pre-production work needs to include the measurement and identification of social norms, factors driving

¹⁹ Association of Southeast Asian Nations (ASEAN)

demand, and the reference networks of consumers. Also, there is a need for a mechanism that could regularly survey trends and public attitudes toward IWT. To address these barriers, demand reduction campaigns should aim at increasing social pressure on illegal wildlife products consumers and increase awareness of the existence of law including strong evidence of law enforcement/punishment in order to reduce demand and deter wildlife crime. In addition, there remains a need to increase awareness among senior government leaders that IWT has been officially recognized as serious crime by ASEAN Senior Officials Meeting on Transnational Crime (SOMTC) and needs to be treated as such during all aspects of law enforcement.

2.3 Project Description and Strategy

30. The ProDoc notes that the project objective is: *to reduce the trafficking of wildlife (focusing on elephant ivory, rhinoceros horn, tiger and pangolins) in Thailand through enhanced enforcement capacity and collaboration and targeted behavior change campaigns*. To achieve this objective, the project advocates utilizing four general strategies to remove the barriers and achieve the long-term solution, namely: to conserve globally threatened wildlife species by reducing the scale and impact of illegal wildlife trafficking in Thailand as a source, transit and destination country. The project Components are as follows:

31. **Component 1: Improved Cooperation, Coordination and Information Exchange**, through the strengthening of the collaboration mechanism, and provide a platform for information exchange, among the responsible agencies for IWT law enforcement. This will be brought about by effectuation of the Thailand WEN to better coordinate IWT reduction efforts through more comprehensive membership (e.g. including anti-money laundering and anti-corruption agencies etc.), a clear strategy and action plan, organizational structures including operational task forces, information sharing mechanisms and inter-agency training programs. Secondly, the project will strengthen information management, analytical capacity and evaluation of joint law enforcement operations to increase wildlife crime detection and enforcement effectiveness. Thirdly, an integrated approach to wildlife crime surveillance and enforcement will be demonstrated at two key border crossing points, including through community engagement. Furthermore, an economic assessment of the losses attributable to IWT affecting the national economy will be supported to strengthen the understanding of the issue by national decision-makers. And regular monitoring of physical/online market availability of CITES-listed species in Thailand will be undertaken.

32. **Component 2: Enhanced Enforcement and Prosecution Capacity**, by increased coherence and capacity of the enforcement agencies to be able to address and deter illegal trafficking of wildlife by strengthening the cross-sectoral enforcement and prosecution framework. It will review and elaborate the syllabus of DNP training courses on Crime Investigative Procedures and deliver training courses and materials on priority subject areas. The project will also support the WIFOS laboratory to use DNA forensics techniques in support of IWT investigations. The DNP WIFOS laboratory will also be equipped and capacitated to deliver prosecution evidence including accreditation to international standards (ISO 17025).

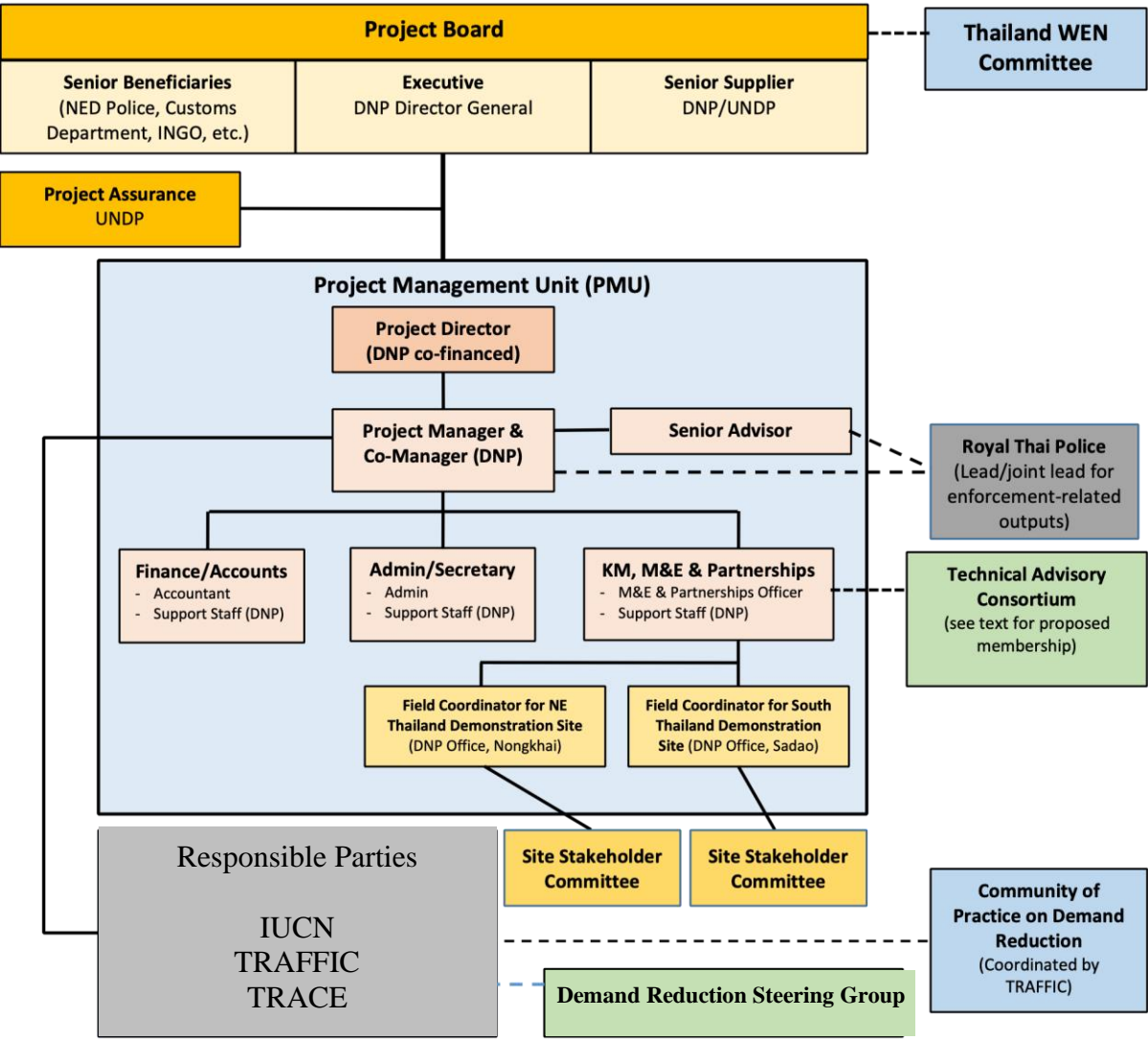
33. **Component 3: Reduced demand for illegal wildlife products and targeted awareness actions to support law enforcement**. Alongside reducing purchase of illegal wildlife products, this component aims to increase awareness of prevailing laws and upcoming WARPA reforms and publicize convictions to strengthen deterrence of wildlife trafficking. The activities will follow a well-defined systematic process for developing, implementing and evaluating Social and Behavior Change Communication (SBCC) initiatives including market and consumer research; scoping study, mapping process and review of existing programs; stakeholder analysis; SBCC strategy development; strategy implementation following an adaptive approach of iterative review and fine-tuning; and evaluative and summative research to evaluate campaign effectiveness. The SBCC/demand reduction campaigns would focus on illegal ivory and tiger products, and awareness measures to reduce trafficking of illegal ivory, rhinoceros horn, tiger, pangolins and other key species impacted by IWT in Thailand. During project implementation survey work on consumption of wildlife meat was included as a project focus.

34. **Component 4: Knowledge Management, Monitoring and Evaluation and Gender Mainstreaming**. The fourth project component closely links with and underpins the other three components by supporting the sharing of knowledge, experiences and lessons learned through project implementation with project stakeholders, the wider public in Thailand, and globally through the UNDP/WB/GEF Global Wildlife Program.

2.4 Implementation Arrangements

35. The project is being implemented under the national implementation modality (NIM), with UNDP as the GEF Implementing Agency and DNP of the Ministry of Natural Resources and Environment (MNRE) as the Implementing Partner (Executive Agency). The project organizational structure as presented in the ProDoc, as well as in the Project inception report is shown in Figure 1 below.

Figure 1. Project Management Diagram. Co-financed positions are indicated by (DNP).



36. The Project Board, which was established in December 2018 and re-organized in February 2020 (please see section 3.3.1), is responsible for making, by consensus, management decisions when guidance is required by the Project Manager, including recommendation for UNDP/Implementing Partner approval of project plans and revisions.

37. The director of the Wildlife Conservation office acts as the Project Director (PD) and is the MNRE Focal Point for the project. The PD is responsible for providing government facilitation and guidance for project implementation. The PD is not paid from the project funds but represents a government in-kind contribution to the project.

38. UNDP provides the project assurance and cycle management services. As such, UNDP holds overall accountability and responsibility for the delivery of results to the GEF. Working closely with MNRE, the UNDP Country Office (CO) provides the project assurance role. The UNDP Resident Representative or his/her

designated officials is represented on the Project Board. Strategic oversight and additional quality assurance is provided by the UNDP/GEF Regional Technical Advisor (RTA) responsible for the project.

39. The Project Manager (PM) runs the project on a day-to-day basis on behalf of the Implementing Partner within the constraints laid down by the Board and head of the Project Management Unit (PMU). The PM is responsible and accountable for the implementation of the project. In addition, DNP has assigned a co-financed Project Co-Manager to work with the Project Manager in implementing the project. The PMU includes a number of other staff. Most significantly, the Project Manager and Project Co-Manager were supported by a Senior Advisor (SA) during the first years of the project (the SA's contract ended in April 2021). The PMU has an Accountant and an Administrative Assistant, plus DNP support staff for Finance/Accounts, Administration, and Knowledge Management, M&E and Partnerships.

40. IUCN/TRACE/TRAFFIC are appointed, as per the ProDoc, as Responsible Parties on the basis of their collaborative advantage for the delivery of specific outputs. As directed by the ProDoc the appointment of the Responsible Parties was done during the inception phase of the project and was dependent upon the satisfactory completion and results of Capacity Assessments and HACT micro assessments of the Responsible Parties. The Responsible Parties are not Project Board members but are participating in the Project Board meetings as Responsible Parties.

2.5 Project Timing and Milestones

Project Milestones

PFD/Child project Approval Date:	04 June 2015
CEO Approval Date:	09 January 2018
Project Document Signature:	19 November 2018
Inception Workshop date:	28 March 2019
Midterm Review data:	July-August 2021
Planned Closing date:	19 November 2023

41. The Program Framework Document (PFD) and the Thailand Child Project *Combatting Illegal Wildlife Trade, focusing on Ivory, Rhino Horn, Tiger and Pangolins in Thailand* was approved on 04 June 2015 for incorporation into the GEF Council Work Programme for the GEF-6 replenishment cycle. Following the project preparation phase, the project obtained approval for implementation by the GEF CEO on 09 January 2018. The official start date of the project was 19 November 2018 when the Project Document was signed, following cabinet approval, by the Government of Thailand. The inception workshop was held on 28 March 2019, roughly four months after the project start date. The planned closing date of 60 months is 18 November 2023.

2.6 Main Stakeholders

42. The main project stakeholders and their indicative roles and general mandate as outlined in the ProDoc are presented in Table 1 below:

Table 1. Summary stakeholder analysis indicating main roles and mandate.

Stakeholder	Mandate	Role in Project
<i>National level</i>		

Stakeholder	Mandate	Role in Project
Ministry of Natural Resources and Environment (MNRE) (website: webeng.mnre.go.th)	<p>The Ministry was founded in 2002. It has a wide variety of responsibilities. These include the protection of the natural resources of the country. It is also responsible for the protection and restoration of the environment.</p> <p>Its vision is to return the natural environment to the Thai people and to work towards the incorporation of natural resources and the environment in the Government's national agenda as these provide the basis for social and economic development.</p> <p>The MNRE vision supports proactive integration of the administrative management of natural resources, environmental protection, and biological diversity, based on the principles of public participation and good governance.</p> <p>Departments related to illegal wildlife trade, under this Ministry, are:</p> <ul style="list-style-type: none"> - Department of National Parks, Wildlife and Plant Conservation (DNP); - Royal Forest Department (RFD); - Department of Marine and Coastal Resources; - Department of Environmental Quality Promotion; - Office of the Natural Resources and Environmental Policy and Planning; - The CITES Committee of Thailand (The Minister is chairman) 	DNP will, on behalf of MNRE, lead implementing during the project implementation and will be responsible in delivering project results.
Ministry of Agriculture and Cooperatives (MOAC) (website: eng.moac.go.th)	<p>The ministry is responsible for the administration of agricultural policies, conservation of marine and fisheries resources, water resources, irrigation, promotion and development of farmers and cooperative systems, including agricultural (plants and animals) manufacturing and products. Departments related to illegal wildlife trade, under this Ministry, are:</p> <ul style="list-style-type: none"> - Department of Agriculture (DOA); - Department of Fisheries (DOF); - Department of Livestock Development (DOLD) 	MOAC will have direct responsibility for project implementation via DOA and DOF and help support Component 1 via DOLD (Animals Quarantine).
Ministry of Finance (MOF) (website: www2.mof.go.th)	<p>The Ministry of Finance has many responsibilities over public finance, taxation, the treasury, government properties, operations of government monopolies, and revenue-generating enterprises. The ministry is also vested with the power to provide loan guarantees for the governmental agencies, financial institutions, and state enterprises. The Department related to IWT under this Ministry is The Royal Thai Customs Department.</p>	<p>Output 1.5 concerning economic valuation of IWT losses, and development of recommendations for cost-recovery and sustainable financing mechanisms for IWT enforcement will require MoF involvement.</p> <p>The Customs Department is a major frontline agency in IWT enforcement, working closely with DNP and others through Thailand WEN, which will be directly involved in project implementation and a member of the Project Technical Consortium.</p>

Stakeholder	Mandate	Role in Project
Ministry of Foreign Affairs (MoFA) (Website: http://www.mfa.go.th/main/en/home)	The MoFA is the lead organization driving Thailand's foreign policy. Its mission includes representing the Royal Thai Government in international conferences, bilateral and multilateral fora, and participating in the shaping of international principles and norms; providing advice and recommendations to the government and other agencies on policies and strategies related to foreign affairs and international law; promoting the transfer of knowledge, know-how, and best practices from overseas as well as international norms for Thailand's economic and social development; promoting international confidence in, and positive image of, Thailand; and promoting and implementing Thailand's development cooperation at bilateral and multilateral levels.	Given the transboundary nature of the illegal wildlife trade, the MoFA is an important player in the international cooperation required to strengthen operational partnerships and for Thailand to work with neighboring countries in disrupting IWT trade chains.
The Courts of Justice (COJ) (website: www.coj.go.th)	COJ is responsible for the national judiciary among other functions. The function of the court is to adjudicate the criminal and civil cases. The Courts of justice are classified into 3 levels: 1. Courts of First Instance have authorities to try and adjudicate criminal and civil cases. Those courts are Civil Courts, Criminal Courts, Provincial Courts and Municipal Courts. 2. Courts of Appeal handle an appeal against a judgment or order of Civil Courts and Criminal Courts 3. Supreme Court is the court of final appeal in all civil and criminal cases in the whole Kingdom.	The Courts of Justice will be involved through Thailand WEN, and through appropriate awareness development activities.
Office of the Attorney General (OAG) (website: www.ago.go.th)	The Office of the Attorney General is an independent agency. As Thailand is a single state, the Office of the Attorney General is responsible for the national prosecution service on criminal cases throughout the country.	The Office of the Attorney General should be invited advise Thailand WEN and staff will participate in training activities in Component 2.
Department of National Parks, Wildlife and Plant Conservation (DNP) (website: www.dnp.go.th)	The department is responsible for managing protected forest and wild animal species both in situ and ex situ, in parallel with the rehabilitation of degraded forests with the community participation. The department enforces the laws related to protected area and wildlife conservation issues i. e. National Parks Act, Wild Animal Reservation and Protection Act. DNP is one of the Management Authorities of the CITES Convention for terrestrial animals. The other two are Department of Fisheries which is responsible for CITES listed aquatic species and Department of Agriculture for plant species. As the national CITES focal point, DNP has to coordinate with many other agencies such as customs, quarantine, police and other related agencies. The DNP has established 53 wildlife checkpoints of which 40 are operational. All are co-located with Customhouses, Animal Quarantine offices, Plant Quarantine offices, Aquatic Animal Checkpoints at border entry and exit areas. According to DNP Annual Report of 30/9/2014, the total DNP staff was 21,270, which includes 3,666 government officers, 3,346 permanent and 14,258 temporary employees. Of these, c.500 work on CITES implementation. DNP is responsible for combating all wildlife crimes throughout the country. This project will support IWT enforcement operations and awareness raising activities around the country.	DNP has played a leading role in coordinating with other stakeholders during the project preparation. DNP will lead implementing during the project implementation (as the Implementing Partner), and will be responsible for delivering project results.
Department of Fisheries (DOF) (website: www4.fisheries.go.th/index.php/dof/main)	The department is implementing various acts i.e. Wild Animal Reservation and Protection Act (only aquatic species), Fisheries Act, etc. DoF is also the Management Authority for aquatic species listed in CITES Convention. It issues CITES permits and controlled the export and import via Aquatic Animal Checkpoints at the border entry and exit areas.	DOF staff will participate in this project, especially at the demonstration sites in Output 1.3.

Stakeholder	Mandate	Role in Project
Dept. of Agriculture (DOA) Website: eng.moac.go.th	The department is the Management Authority for plant (including timber) species listed in CITES via the Plant Act, Plant Quarantine Act. Import and export of plant species under CITES Convention are controlled by Plant Quarantine offices at the border areas.	DOA staff will participate in this project, especially at the demonstration sites in Output 1.3.
Royal Thai Customs (The Customs Department) (website: www.customs.go.th)	The Customs Department is in charge of prevention and suppression of customs offences, particularly the smuggling activities under the Customs Act. It plays a very important role in the detection and enforcement of the trade in wildlife through the country's airports and seaports. According to the Customs Act, CITES specimens are declared as Restricted Goods of which import and export first required permits from the related agencies.	The Customs Department is a key member of Thailand WEN and will play a key role in the project activities, especially at the demonstration sites in Output 1.3.
Royal Thai Police (RTP) (website: www.rtp.go.th)	The RTP has primary responsibility for law enforcement in the country, including environmental and transborder crime. In October 2015, following a proposal submitted by RTP, ASEAN Security Ministers signed a declaration reinforcing commitment to combat cross-border crime including wildlife and forest crime. The Natural Resources and Environmental Crimes Suppression Division (NED) of the RTP (www.nepolice.go.th) is the unit responsible for investigating environmental crimes in Thailand. It forms part of the Central Investigations Bureau and focuses on 4 main crime categories: wildlife crime, forest encroachment, illegal logging, pollution and illegal waste. The Division is based in Bangkok but there are also NED teams set up in provinces to investigate environmental crimes and they can ask local police units for assistance. The NED therefore is an important support agency that helps enforce the WARPA and CITES Convention in the country. It has 500 fulltime staff.	The NED is a key member of Thailand WEN and will play a leading role in many project activities, especially in Component 1, including at the demonstration sites in Output 1.3.
The Natural Resources and Environmental Protection Volunteer Network (NEV-NET) (website: www.deqp.go.th)	The Natural Resources and Environmental Protection Volunteer Network was established under MNRE's regulation on Village Natural Resources and Environmental Protection Volunteers (NEV) B.E.2558 (2015). The network has been established in all 878 districts throughout Thailand. The members of the network are people who volunteer to protect their villages' natural resources and environment. The main objective of the network is to participate in conservation and protection issues. Local stakeholder involvement will mainly focus on developing a more coordinated approach towards IWT law enforcement,	NEV-NET will be involved in local demonstration activities in Output 1.4, providing a link between law enforcement agencies and the engagement of local communities in efforts to control IWT. It can also assist in local implementation of awareness activities under Component 3.
Thailand Wildlife Enforcement Network (Thailand WEN) (website: www.dnp.go.th/thailand-wen/)	Thailand WEN is a national task force established by the DNP to address illegal wildlife trafficking issues and to enhance cooperation and coordination among wildlife law enforcement officers and officials. It is an integrated network composed of i.e. CITES authorities, customs, police, quarantine, airport/seaport authorities and other relevant agencies.	Thailand WEN will play a leading role in this project (through DNP as Implementing Partner), with Output 1.1 aiming to significantly strengthen its operations, and the entire scope of the project contributing towards its role.
The Airports of Thailand Public Company Limited (AOT) (website: airportthai.co.th)	AOT is a leader of Thailand's airport business operator. Its main business lines are managing, operating and developing airports. Presently, AOT has 6 international airports under responsibility i.e. Don Mueang, Phuket, Chiang Mai, Hat Yai, Chiang Rai and Suvarnabhumi, all of which accommodate both domestic and international flights. Suvarnabhumi Airport serves as the main airport replacing Don Muang International Airport.	The AOT is an important support agency of Thailand WEN and will also play a key role in the project activities, especially passenger check and inspection at cargo sites Component 1.

Stakeholder	Mandate	Role in Project
The Port Authority of Thailand (PAT) (website: www.port.co.th)	The PAT is responsible for the management of port facilities. The two largest international ports are Bangkok Port and Laem Chabang Port in eastern Gulf of Thailand. The others are Chiang Saen Port, Chiang Khong Port in Chiang Rai Province, at Golden Triangle Site, and Ranong Port in the south, next to Myanmar.	The PAT is an important support agency of Thailand WEN and will also play a key role in the project activities (Component 1).
The Anti-Money Laundering Office (AMLO) (http://www.amlo.go.th/)	The AMLO is the agency responsible for enforcement of the anti-money laundering and the counter-terrorism financing law. It was founded in 1999 upon the adoption of the <i>Anti-Money Laundering Act, B.E. 2542 (1999)</i> (AMLA). AMLO is an independent governmental agency. It has the status of a department functioning independently and neutrally under the supervision of the minister of justice, but is not part of the justice ministry. Anti-money laundering legislation has been used in six cases concerning rosewood in NE Thailand involving a Thai-Lao syndicate. The AMLO was awarded the Asia Environmental Enforcement Award (by UNEP and Freeland) in 2015 for recovery of the proceeds of crime from a wildlife trafficking syndicate.	The AMLO is a key partner to be involved in combating IWT through Thailand WEN and will be invited to participate in the project Technical Advisory consortium, Component 1 and Component 2 training activities.
Office of the National Anti-Corruption Commission (NACC) (https://www.nacc.go.th/main.php?filename=index_en)	The National Counter Corruption Commission was established in 1999, and in 2008, its name was changed to the National Anti-Corruption Commission (NACC). Between 2012 and 2017 the NACC investigated five cases of corruption linked to suspected environmental crimes (four on timber and one on tigers), none of which resulted in a conviction. It also proposes preventive measures to prevent forest crime to Cabinet, including one on Siamese Rosewood (approved in 2014) and on forest encroachment (approved in 2017). In January 2016, the MNRE signed an MoU with the NACC and Department of Special Investigations. The application of anti-corruption laws in dealing with IWT issues is recognized as an important aspect of the overall national approach, with UNODC (2017) recommending that NACC lead development of an anti-corruption strategy to prevent and suppress environment crime; undertake an independent audit of all seized wildlife and timber products; and for DNP to ensure maximum transparency in management of permits and licenses for zoos and breeding facilities.	The NACC is a key partner to be involved in combating IWT through Thailand WEN and will be invited to participate in the project Technical Advisory consortium, Component 1 and Component 2 training activities.
Local and International NGOs		
Local NGOs and academic institutions	There are many local NGOs working in the field of nature conservation, however few if any have experience and focus on IWT issues. A number of NGOs as well as academic institutions have expertise on Thai species, including Bangkok Zoo, Bird Conservation Society of Thailand, Siam Society (which publishes a Natural History Bulletin), etc.	Relevant local NGOs will be invited to participate in the project Technical Advisory Consortium and may be requested to support specific activities (eg on training, awareness raising, technical inputs on species identification, etc).

Stakeholder	Mandate	Role in Project
Wildlife Conservation Society (WCS) Thailand Program (website: www.wcsthailand.org)	WCS work in Thailand originated since 1980 with wildlife studies in Huai Kha Khaeng Wildlife Sanctuary. During 1997-2004, WCS continued to support Indochinese tiger conservation project. From 2004, WCS works with DNP in conserving wildlife and wild places in Huai Kha Khaeng-Thung Yai Naresuan Wildlife Sanctuaries which is a World Heritage Site. WCS introduced Smart Patrol System and Tiger Population Monitoring Programs in the Western Forest Complex. At present, WCS is implementing a two-year project with DNP namely "Strengthening of Law Enforcement on Combating Wildlife Trafficking, using software i2." The project runs from 1 October 2016 to 30 September 2018 with budget of 11,608,140 Thai Baht (app.US\$ 331,661). The demonstration sites are Mae Sod Wildlife Checkpoint in the northern Tak Province next to Myanmar and Mukdahan Wildlife Checkpoint in the north eastern Mukdahan Province next to Lao PDR. (www.dnp.go.th). WCS will be engaged as Responsible Party for implementation of the GEF-5 tiger project, conducting training activities, etc. WCS is a member of the GWP Steering Committee.	WCS will be invited to participate in the project Technical Advisory Consortium and may be requested to support demonstration site activities in Output 1.4, given the relevance of this to their current work at checkpoints with DNP.
World Wide Fund for Nature (WWF) Thailand (website: http://www.wwf.or.th/en/)	WWF implements several wildlife conservation projects in Thailand i.e. WWF's Role in changing the face of the Thai Ivory Trade; Wildlife Trade Campaign; Human-Elephant Conflict Mitigation-at Kuiburi National Park; Tiger and Prey Recovery Program. WWF is a member of the GWP Steering Committee.	WWF will be invited to participate in the project Technical Advisory Consortium.
Freeland Foundation (website: www.freeland.org)	Freeland combats the illegal wildlife trade and habitat destruction. This includes poaching and logging in protected areas, smuggling, sale and consumption of wildlife. During 2005-2011, Freeland Foundation, together with TRAFFIC Southeast Asia, implemented a USAID-funded support program to the ASEAN Wildlife Enforcement Network (ASEAN WEN) to combat illegal wildlife trade. The project provided training and workshops for officers of task forces from ASEAN member countries. Public awareness on wildlife conservation was also promoted around ASEAN countries. This continued as the USAID-funded ARREST Program, implemented by FF and a consortium of partners (not including TRAFFIC) from 2011-2016. Freeland developed the WildScan species identification application for frontline staff.	Freeland will be invited to participate in the project Technical Advisory Consortium.
TRAFFIC (website: www.traffic.org)	TRAFFIC was established in 1976 by WWF and IUCN. TRAFFIC works to ensure that trade in wild plants and animals is not a threat to the conservation of nature. The TRAFFIC Southeast Asia regional office is located in Malaysia. From 2005-2011, TRAFFIC together with Freeland Foundation implemented a USAID-funded support program to the ASEAN Wildlife Enforcement Network (ASEAN WEN) to combat illegal wildlife trade. TRAFFIC provided technical support to ASEAN WEN officers with training on CITES regulation, species identification and the engagement of the judiciary and prosecutors. TRAFFIC is a member of the GWP Steering Committee.	TRAFFIC will be invited to participate in the project Technical Advisory Consortium, would lead on market assessment of illegal wildlife trade in Component 1, and Component 3 on Demand Reduction and Advocacy. Outputs 1.2, 3.1, 3.2, 3.3 and 3.4.

Stakeholder	Mandate	Role in Project
TRACE (website: www.tracenetwork.org)	TRACE is an international NGO that aims to promote the use of forensic science in biodiversity conservation and investigation of wildlife crime. The need for wildlife forensic capacity in ASEAN region was identified in the first ASEAN WEN Strategic Plan of Actions (2007-2012). In 2009, TRACE Wildlife Forensic Network took the lead in the wildlife forensic project, partnering with TRAFFIC, for ASEAN WEN. The project was supported by the UK Darwin Initiative, with the initial focus of the work being shared between Malaysia and Thailand. In Thailand, DNP took the leading role of support for the project with the intention to develop wildlife forensic work in country. There is a strong existing partnership between TRACE and DNP's WIFOS laboratory.	TRACE will be invited to participate in the project Technical Advisory Consortium, and through a subcontract with IUCN, would lead on providing technical assistance for project outputs involving wildlife forensic science (1.4, 2.2, 2.3).
World Conservation Union (IUCN)	Thailand began its relationship with IUCN (International Union for Conservation of Nature) in 1948 as one of 14 countries that established the Union. Over the next 20 years, IUCN supported the Royal Thai Government to develop a network of protected areas, and to formulate management regimes for these areas. IUCN's Asia Regional Office has been based in Bangkok since the early 1990s, and a dedicated Thailand Programme was established in 2001. IUCN Thailand's projects directly address the environmental stresses the country faces today, including Mangroves for the Future, support for Thailand's Dong Phrayayen-Khao Yai World Heritage Site which faces pressures including encroachment and illegal logging of Siamese Rosewood, and climate change resilience. As a founding partner of TRAFFIC (with WWF), IUCN plays a major role in providing technical advice to governments in developing policy, strategy and capacity for combating illegal wildlife trade. IUCN has significant networks of international experts that are able to provide technical knowledge such as the Species Survival Commission. IUCN is a GWP Steering Committee member.	IUCN will assist the GEF Implementing Agency (UNDP) and the Implementing Partner (DNP) as a Responsible Party to the project for the delivery of a number of Outputs, of which 1.2, 3.1, 3.2, 3.3 and 3.4 will be subcontracted to TRAFFIC and Outputs 1.4, 2.2 and 2.3 to TRACE. IUCN will co-chair the project Technical Advisory Consortium and support CSO engagement in the project.
USAID Wildlife Asia (UWA)	USAID Wildlife Asia was established in September 2016 as a USAID Activity in collaboration with the Association of Southeast Asian Nations (ASEAN). It addresses wildlife trafficking by working to reduce demand of wildlife products and to improve regional action to end wildlife crime in Southeast Asia and China. It builds on established relationships in a cross-sectoral, cross-agency approach to end wildlife crime throughout Cambodia, China, Laos, Thailand and Vietnam. The activity is implemented RTI (formerly IRG) in partnership with a consortium of organizations and companies recognized for leadership in counter-wildlife trafficking and social behaviour change communications including FHI 360, International Fund for Animal Welfare, Freeland and Integra. UWA has a USD \$23 million budget for the period 2016 to 2021.	UWA's work is closely aligned with the aims of this project and it will therefore be invited to participate in the project Technical Advisory Consortium, the proposed Steering Group on Demand Reduction, and contribute towards the implementation of certain project outputs.
International level		
ASEAN Working Group on CITES and Wildlife Enforcement (formerly ASEAN WEN)	ASEAN WEN was established in 2006 and covered all 10 ASEAN countries including Thailand. It aimed to provide an inter-governmental law enforcement network to combat wildlife crimes, sharing of IWT information and best practices. ASEAN WEN has been renamed the ASEAN Working Group on CITES and Wildlife Enforcement as of early 2017.	The regional cooperation, capacity development and information sharing envisaged under this project through Thailand WEN will fall largely under the umbrella of this body, including transboundary collaboration on IWT law enforcement under Component 1.

Stakeholder	Mandate	Role in Project
International Consortium on Combating Wildlife Crime (ICCWC) Website: https://cites.org/eng/prog/iccwc.php	<p>ICCWC is the collaborative effort of <u>five inter-governmental organizations</u> working to bring coordinated support to the national wildlife law enforcement agencies and to the sub-regional and regional networks that, on a daily basis, act in defense of natural resources. The ICCWC partners are the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) Secretariat, INTERPOL, the United Nations Office on Drugs and Crime (UNODC), the World Bank and the World Customs Organization. This powerful alliance was formally established in November 2010.</p> <p>INTERPOL represents the main platform for policing authorities to work across borders to catch wildlife trade criminals through its Wildlife Crime Working Group. They lead operations to address wildlife crime, develop best practice guidelines and link national environmental agencies.</p> <p>The UNODC is implementing a four-year global program for Combating Wildlife and Forest Crime. This program aims to link existing regional efforts into a global system, enhancing capacity building and law enforcement networks at regional and sub-regional levels. UNODC works with the wildlife law enforcement community to ensure that wildlife crime is treated as serious transnational organized crime. The UNODC Regional Office for Southeast Asia and the Pacific also has a sub-program on transnational organized crime and illicit trafficking. UNODC published a rapid assessment of the criminal justice response to wildlife crime in Thailand in June 2017.</p> <p>The WCO established its Environment Programme in 2012, which includes IWT.</p>	Engagement with ICCWC is expected to be primarily through UNODC and INTERPOL's offices in Bangkok. Both UNODC and INTERPOL provide capacity development to Thai Government agencies on law enforcement including on IWT issues, and are expected to participate in training and related activities in Component 2 in particular. WCO may help support the project in Component 1 via the Royal Thai Customs Department.
World Bank (WB)	The WB is Chair of the GWP Steering Committee and leads the coordination of this GEF-supported global program, under which this project sits.	The WB will be involved in global knowledge sharing activities arising from this project through the GWP (Output 4.1)

3 Findings

3.1 Project Strategy

3.1.1 Project Design

43. The project, according to the ProDoc is part of the GEF *Programmatic Approach to Prevent the Extinction of Known Threatened Species* and falls under the GEF Program *Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development (GWP) (9071)*. Under this programmatic framework coordinated knowledge management and cross-fertilization of the individual regional and national projects will be assured. The project components will contribute towards the GWP Outcomes as shown in Annex 8. The project was approved under the GEF-6 replenishment cycle and is aligned with the biodiversity (BD) focal area BD 2 objective *Reduce Threats to Globally Significant Biodiversity* and its Program 3 *Preventing the Extinction of Known Threatened Species*.

44. Overall, the MTR team finds that the project has a robust design which remains relevant at the time of project signing and is still, by and large, relevant at the time of the MTR. This view has also been expressed by various stakeholders. The project's Theory of Change (Annex 13), although not overly detailed, provides for a presentation of the project logic, as well as the underlying assumptions, and provides a reasonable structure for the project implementors, clarifying the causal link between project barriers, project components and the intended project outcomes (through underlying outputs).

3.1.2 Results Framework

45. An important part of the Midterm Review was to assess the project's results framework against the "SMART" criteria to identify whether the project's indicators and their targets were sufficiently Specific, Measurable, Achievable, Relevant and Time-bound. In connection with the time-bound aspect, the end of project targets are designed to be achieved by the end of the 5-year project period and can thus all be considered as time-bound.

Project Objective:

46. There are three indicators at the project objective level, as described below in Table 2. However, one of the three indicators has sub-target categories resulting in that at project objective level there are 4 indicators/sub-indicators which the project has to follow.

Table 2: SMART analysis of project results framework (project objective)

Indicator	Baseline	Midterm Target	End-of Project Target	MTR SMART analysis				
				S	M	A	R	T
Objective: To reduce the trafficking of wildlife (focusing on elephant ivory, rhinoceros horn, tiger and pangolins) in Thailand through enhanced enforcement capacity and collaboration and targeted behavior change campaigns								
0.1: Number of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystem services, chemicals and waste at national and/or sub-national level, disaggregated by partnership type (IRRF Output 1.3, indicator 1.3.1) (GWP TT – 0.1 c)	3 a) Thailand WEN functioning, but lacks operational task forces, engagement of all key national stakeholders, and sustainable financing; Forest Protection Operation Centre formed April 2017; b) inter-agency collaboration on IWT at subnational level is ad hoc and not strategic; c) lack of civil society engagement at local level	3 a) Thailand WEN’s organizational structure includes mandates for operational task forces; b) Joint Operational Partnerships (DNP, NED Police, Customs, Immigration, Quarantine, other agencies as needed) for demonstration areas in Nongkhai Province and Sadao District; c) at least 2 community agreements on wildlife protection established involving NEV-Net	3 a) A series of task forces are operational under Thailand WEN and sustainably financed; b) Joint Operational Partnerships (DNP, NED Police, Mekong Navy, Customs, Immigration, Quarantine, other agencies as needed) for demonstration areas in Nongkhai Province and Sadao District; c) at least 4 community agreements on wildlife protection established	N	Y	Y	Y	Y
0.2: Number of direct project beneficiaries: - Number of government agency staff including enforcement officers who improved their knowledge and skills on IWT due to the project (m/f) - Number of local community members participating in wildlife protection efforts	0	400 (40% female)	800 (40% female)	Y	Y	Y	Y	Y
	0	50 (50% female)	100 (50% female)	Y	Y	Y	Y	Y

Indicator	Baseline	Midterm Target	End-of Project Target	MTR SMART analysis				
0.3: Strengthened institutional capacity to combat IWT as indicated by the ICCWC Indicator Framework (note – baselines to be determined in year 1) - National indicator targets for monitoring drawn from ICCWC Indicator Framework baseline assessment	i) ICCWC Indicator Framework – Baseline scores TBD - No national IWT indicators	i) No Midterm ICCWC Indicator Framework Assessment - National indicators defined and targets set in Year 2 for subsequent monitoring	i) ICCWC Indicator Framework – Project Completion targets TBD - National indicators monitored annually and evaluated at EoP	?	?	?	?	Y
SMART: Specific, Measurable, Achievable, Relevant, Time-bound Green: SMART compliant (YES); Yellow: Questionable SMART compliance (?); RED: Not SMART compliant (N)								

47. Regarding **objective indicator 0.1** it is as such a SMART indicator which measures the number of identified partnerships in form of an established Thailand WEN (1) with identified sub-groups and task forces, an established joint enforcement partnership framework at provincial level (2) and established community agreements (4). However, while the baseline data suggests that three such partnerships are already established, the accompanying text seems to indicate otherwise namely that none (0) partnerships are established at project start. Further, the end of project target lists three (3) established partnerships when in fact it would be at least seven (7) all dependent upon how partnerships are identified. For instance, the text for (a) midterm target (*Thailand WEN functioning, but lacks operational task forces, engagement of all key national stakeholders, and sustainable financing; Forest Protection Operation Centre formed April 2017*) breaks it into a sub-set of options 1) establish Thailand WEN 2) operational task forces 3) Forest protection operation center. In addition, the midterm target also throws in the issue of sustainable financing. As such indicators should be clear and not leave room for interpretation and the current indicator is wobbly in this regard.

48. Generally speaking, for a) there seems to be a mismatch between the indicator itself and then the identified midterm and end of project targets, where the midterm and end of project targets do not mirror each other (nor the baseline) making it difficult to monitor. Also, it should be noted that the baseline, midterm and end of project all have the number 3 listed as their base figure which seems to indicate that there will be no change during the project duration. Thus, there would be a cause to revisit the indicator as part of a results framework revision.

49. For the **objective indicator 0.3** it is not possible to make judgement as to the “SMARTness” of the indicator. As such the indicator itself is descriptive in the use of the wording *Strengthened institutional capacity* whereas wording as used in indicator 2.2 (i.e. increase in) would have made the indicator more precise. Further, although the baseline, midterm and end of the project targets should have been determined during year 1 these have not been included in the project results framework by the time of the project midterm. This even though the project has identified the two relevant indicators as follows 1) *Wildlife crime is thoroughly investigated using an intelligence-led approach* and 2) *Specialized investigation techniques are used to combat wildlife crimes as required*. But although identified, the indicator for the midterm and end of project targets have not been specified to the knowledge of the MTR team. Even in case that the already identified ICCWC scores for the indicators are used for the baseline, the targets for midterm and end of project are still to be identified. This issue should be addressed during the proposed revision of the results framework²⁰.

Component 1: Improved Cooperation, Coordination and Information Exchange

²⁰ Indicators are that the Results Framework will be revisited in September 2021 following the MTR.

50. There are three indicators under outcome 1, as described below in Table 3. However, one of the three indicators has sub-target categories resulting in that at project objective level there are 5 indicators/ sub-indicators which the project has to follow.

Table 3: SMART analysis of project results framework (Outcome 1)

Indicator	Baseline	Midterm Target	End-of Project Target	MTR SMART analysis				
				S	M	A	R	T
Outcome 1: Strengthened wildlife crime institutional framework through increased coordination, cooperation and information exchange behaviour change campaigns								
1.1: Annual number of joint IWT enforcement operations informed by intelligence and information exchange	Annual number of joint IWT enforcement operations in 2016-17: 16 (4 ivory, 2 rhino horn, 10	Baseline +10%	Baseline +25%	?	Y	Y	Y	Y
1.2: Thailand WEN's coordination effectiveness improved as indicated/measured by:	a) No strategy and action plan for Thailand WEN;	a) Agreed strategy and action plan;	a) Strategy and action plan under implementation;	Y	Y	Y	Y	Y
a) Agreed strategy and action plan for Thailand WEN;	b) No formal mechanism for exchanging information and intelligence;	b) Draft formal mechanism for exchanging information and intelligence;	b) Operational formal mechanism for exchanging information and intelligence;	Y	Y	Y	Y	Y
b) Agreed formal mechanism for exchanging information and intelligence in TWEN;	c) No reporting mechanism linked to a strategy and action plan for TWEN	c) Reporting mechanism for strategy and action plan provides at least partial feedback	c) Reporting against strategy and action plan allows TWEN performance to be monitored and evaluated	?	?	Y	Y	Y
c) Reporting mechanism against strategy / action plans to evaluate performance								
1.3: Increase in government funding towards wildlife law enforcement	DNP total budget for 2016 was 10,725.7421 million Baht; 2017 was 10,823.8870 million Baht.	Baseline +10%	Baseline +20%	Y	Y	Y	Y	Y
SMART: Specific, Measurable, Achievable, Relevant, Time-bound Green: SMART compliant (YES); Yellow: Questionable SMART compliance (?); RED: Not SMART compliant (N)								

51. **Component 1 indicator 1.1** by and large meets the SMART criteria and the end of project target of *Baseline + 25%* seems valid (i.e. 20), but with the midterm target being *baseline + 10%* project targets present a calculation issue which makes the targets less useful as one cannot have 17.6 *joint IWT enforcement operations* per year, for example. In this regard, it would be better to provide actual numbers as indicator targets. There is however an underlying issue of whether this indicator is trying to capture joint IWT enforcement operations which are a direct result of the project engagement and Thailand WEN task forces, or whether it will gauge increased cooperation in general. As baseline data has been provided, it should be the latter where the Thailand WEN task forces could provide important input.

52. In connection with **Component 1 indicator 1.2 c)** the indicator is a statement rather than an actual indicator such as for instance *reporting mechanism against strategy/action plans established* and used for *performance evaluation* by (somebody). Although this suggestion is a compound indicator (i.e. two parts established and used), it provides for easy monitoring, reporting and verification. Yes, reporting mechanism against strategy / action plans is established and are using the reporting mechanism in their performance evaluation.

53. Both Component 1 indicator 1.1 and 1.2 c) should be revisited as part of the proposed results framework revision.

Component 2: Enhanced Enforcement and Prosecution Capacity

54. There are three indicators under outcome 2, as described below in Table 4. However, one of the three indicators has sub-target categories resulting in that at project objective level there are 7 indicators/ sub-indicators which the project has to follow, although some of these are interlinked.

Table 4: SMART analysis of project results framework (Outcome 2)

Indicator	Baseline	Midterm Target	End-of Project Target	MTR SMART analysis				
				S	M	A	R	T
Outcome 2: Effective Detection and Deterrence of Illegal Wildlife Trafficking as a result of Enhanced Capacity in Enforcement and the Criminal Justice System								
2.1: Increase in number of successful cases (seizure-arrest-prosecution-conviction) involving wildlife criminals dealing in ivory, rhino horn, pangolins and tiger, and their parts and derivatives. i) annual number of seizures (GWP TT) ii) annual number of arrests (GWP TT) iii) ratio of seizures: arrests iv) annual number of prosecutions (GWP TT) v) ratio of arrests: prosecutions	<i>Official national statistics on seizures, arrests and prosecutions for Baseline in 2016*:</i> i): 6 (8.15kg ivory, 427 head/3052 kg pangolins) *Baseline to be updated with 2017 data during inception phase	<i>Official national statistics on seizures, arrests and prosecutions –</i> i) >10% increase in seizures over baseline	<i>Official national statistics on seizures and arrests and prosecutions –</i> i) >25% increase in seizures over baseline	?	Y	Y	Y	Y
	ii) 1	ii) >10% increase in no. arrests	ii) >25% increase in no. arrests	?	Y	Y	Y	Y
	iii) 6:1	iii) 3:1	iii) 2:1	N	N	N	N	Y
	iv) 0	iv) >10% increase in no. prosecutions	iv) >25% increase in no. prosecutions	?	Y	Y	Y	Y
	v) 0	v) 3:1	v) 2:1	N	N	N	N	Y
2.2: Increase in DNP’s institutional capacity to respond to IWT as indicated by the UNDP Capacity Development Scorecard	UNDP CD Scorecard Baseline Score for DNP: 58.33 %	Baseline + 10%	Baseline +20%	Y	Y	Y	Y	Y

2.3: DNP wildlife forensic science laboratory accredited under ISO17025 Quality Management System for components of its wildlife DNA forensic testing to align with International Standards and ensure legally admissible evidence for prosecutions in Thailand.	Baseline – DNP wildlife forensic science laboratory is not internationally accredited	DNP wildlife forensic science laboratory and staff capacity increased in line with the Standards and guidelines prepared by the Society of Wildlife Forensic Sciences	DNP wildlife forensic science laboratory is laboratory accredited under ISO17025 Quality Management System for components of its wildlife DNA forensic testing.	Y	Y	Y	Y	Y
SMART: Specific, Measurable, Achievable, Relevant, Time-bound Green: SMART compliant (YES); Yellow: Questionable SMART compliance (?); RED: Not SMART compliant (N)								

55. Regarding **Component 2 Indicator 2.1**, at a first glance it technically generally checks all the “SMART boxes”, however, there is an underlying flaw which makes the indicator not SMART compliant. If the indicator tracks the individual cases from seizure to arrests and prosecution the indicator is adequate. However, as the timespan between seizure to arrest and prosecution (and conviction) can be prolonged, one should not look at the data on an annual basis but rather on a case-by-case basis. Meaning, does a seizure in a case lead to an arrest in the same case? and does this lead to a successful prosecution of that case? (i.e. a conviction is obtained). By looking at the statistical data annually (as proposed) and by using the numbers for seizure, arrest and prosecution (as proposed) one could/would (in all likelihood) end up using data related to different cases. As an example, one could mention the midterm reporting for the project, where under *sub-target iv) number of prosecutions* there is 1 case (Rhino horn) being reported. However, the three cases reported in connection with the *sub-target ii) annual number of arrests* relates to 1) 2 pangolin scale, 2) 1 pangolin, and 3) 2 tiger illegal captive breeding. It thus places a question mark as to the relevance of *sub-target v) ratio of arrests: prosecutions* which in this connection are “comparing” different cases. As such the project could avoid this complication by not reporting on (remove from the results framework) sub-indicator iii) and v). This would not affect the indicator itself as iii) and v) are “derived” results which use already reported findings.

56. In addition, and similar to the issue noted under Component 1 indicator 1.1, the midterm and end of project targets present a calculation issue, which makes the targets less meaningful. For the sub-targets i), ii) and iv) they all state that there should be an increase of >10% and >25% at midterm and end of project respectively. Particularly the data for iv) illustrates this, as it is not possible to increase the value of zero with 10 or 25%, and 25% of 1 (the baseline of i)) for instance would be 0.25. As for Component 1 indicator 1.1 it would be beneficial to provide actual (whole) numbers as indicator targets. Thus, there would be a cause to revisit the indicator as part of a results framework revision.

Component 3: Reduced demand illegal wildlife products and targeted awareness actions to support law enforcement.

57. There are three indicators under outcome 3, as described below in Table 5.

Table 5: SMART analysis of project results framework (Outcome 3)

Table 3: SMART analysis of project results framework (Outcome 3)								
Indicator	Baseline	Midterm Target	End-of Project Target	MTR SMART analysis				
				S	M	A	R	T
Outcome 3: Social norms and consumer behavior in key target audiences move towards increased unacceptability of trafficking and purchasing illegal wildlife products								

Indicator	Baseline	Midterm Target	End-of Project Target	MTR SMART analysis				
3.1: Increased awareness of key target groups concerning Thai laws and penalties imposed for IWT including the proposed WARPA reforms, as indicated by systematic assessments using a standardized methodology	Baseline: to be established in Year 1, including confirmation of target groups, key questions and assessment methodology	Mid Term Target: to be established in Year 1, including confirmation of target groups, key questions and assessment methodology	Project Completion Target: to be established in Year 1, including confirmation of target groups, key questions and assessment methodology	?	?	?	?	Y
3.2: Change in social norms concerning the acceptability of trafficking, buying, possessing and using illegal wildlife products and derivatives as indicated by systematic assessments using a standardized methodology	Baseline: to be established in Year 1, including confirmation of target groups, key questions, desired social and behavioral change and assessment methodology	Mid Term Target: to be established in Year 1, including confirmation of target groups, key messages and desired social and behavioral change	Project Completion Target: to be established in Year 1, including confirmation of target groups, key messages and desired social and behavioral change	?	?	?	?	Y
3.3 Change in purchasing behavior of key target groups regarding illegal wildlife products and derivatives as indicated by systematic assessments using a standardized methodology	Baseline: to be established in Year 1, including confirmation of target groups, key questions, desired social and behavioral change and assessment methodology	Mid Term Target: to be established in Year 1, including confirmation of target groups, key messages and desired social and behavioral change	Project Completion Target: to be established in Year 1, including confirmation of target groups, key messages and desired social and behavioral change	?	?	?	?	Y
SMART: Specific, Measurable, Achievable, Relevant, Time-bound Green: SMART compliant (YES); Yellow: Questionable SMART compliance (?); RED: Not SMART compliant (N)								

58. As the indicators for all of the **Component 3 indicators (i.e. 3.1; 3.2 and 3.3)** and their targets (midterm and end of project), which were to have been established in year 1 of the project, are still in the process of being identified - they are not included in the results framework reviewed by the MTR team. It is thus not possible to gauge whether the indicators fulfill the SMART criteria aside from the time-bound one. **The issue here is that although the** indicators themselves generally speaking can be considered SMART, the baseline, midterm and end of project targets are not available, and it is therefore not possible to identify if the indicator and its targets are indeed Specific, Measurable, Achievable, and Relevant. That said, the proposed indicator baseline suggestions being reviewed, as informed to the MTR team, can all be seen as meeting the SMART criteria. The specific indicators under Component 3 are discussed in the section 3.2.1 below.

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

59. There are three indicators under outcome 4, as described below in Table 6

Table 6: SMART analysis of project results framework (Outcome 4)

Indicator	Baseline	Midterm Target	End-of Project Target	MTR SMART analysis				
				S	M	A	R	T
Outcome 4: Implementation, upscaling and replication of project approaches at national and international levels are supported by effective knowledge management and gender mainstreaming								

4.1: number of project lessons documented and disseminated to other national and international projects.	0	At least 5 project lessons documented and disseminated to other national and international projects	At least 10 project lessons documented and disseminated to other national and international projects	Y	Y	Y	Y	Y
SMART: Specific, Measurable, Achievable, Relevant, Time-bound Green: SMART compliant (YES); Yellow: Questionable SMART compliance (?); RED: Not SMART compliant (N)								

60. The lone indicator under **Component 4 i.e. indicator 4.1** fulfills the SMART criteria. However, the lone indicator, in the view of the MTR team does not sufficiently cover the overall scope of Component 4 which includes the full outputs of one of the project's Responsible Parties.

3.1.3 Gender Mainstreaming Analysis

61. The project has a Gender 2 marker which means that the project is to have a significant contribution to gender equality. The ProDoc also has a clear focus on ensuring that gender mainstreaming and gender equality are incorporated into the project. The ProDoc, among other, has an Annex M which outlines the Project Gender Mainstreaming Plan. In the plan it is noted that *"The importance of gender equality will be addressed specifically in considering representation for training activities, project related working groups, and contracted inputs. Overall, the project will seek to establish or strengthen stakeholder participation mechanisms in order to achieve improvements in IWT law enforcement effectiveness and for the implementation of demand reduction and advocacy campaigns"*. To ensure this the Plan provides for indicative actions to be undertaken in relation to the individual outputs.

62. The project also uses gender disaggregated data for instance in connection with one of its indicators which measures the project's direct beneficiaries (i.e. 1) *Number of government agency staff including enforcement officers who improved their knowledge and skills on IWT due to the project* and 2) *Number of local community members participating in wildlife protection efforts*). In this connection, the project has realized that there is an existing gender discrepancy within the IWT law enforcement units etc. and because of this it will not be possible to obtain a 50/50 female/male ration for the capacity building interventions of government staff. At the same time, the project nonetheless encourages increased female participation in the capacity building events and activities to the extent possible.

63. While this is positive, the project is still to develop its gender mainstreaming strategy under its activity 4.2.5. This even though *Gender was to be factored into project implementation through a gender mainstreaming strategy and monitored as part of the M&E framework*.

64. While the ProDoc included Gender Mainstreaming Plan does provide guidance towards the integration of gender mainstreaming and gender equality into the project's implementation, it is currently restricted to a subset of bullet point level instructions. A gender mainstreaming strategy could provide more detailed directions for the project including how to include gender equality into the hiring processes, the project management processes, training and workshop setups (such as potential all women trainings) particularly in connection with the project's engagement with local communities in the project's two demonstration sites in Pengjan Village, Rattanawapi District, Nongkhai Province and Sadao Checkpoint, Sadao District, Songkhla Province.

3.2 Progress towards Results

3.2.1 Progress towards Outcomes Analysis

Objective: To reduce the trafficking of wildlife (focusing on elephant ivory, rhinoceros horn, tiger and pangolins) in Thailand through enhanced enforcement capacity and collaboration and targeted behavior change campaigns	
Progress towards achieving the project objective is rated as:	Moderately Unsatisfactory

65. A rating of **Moderately Unsatisfactory** is given for the project's progress towards achieving the project objective at midterm, as summarized in Table 7 below and further elaborated on in Annex 9.

Table 7: Project progress towards achieving the project objective.

Indicator	Baseline	Planned Midterm target	Status at midterm	End of project target	MTR assessment
Date	2018	2021	2021	2023	
0.1: Number of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystem services, chemicals and waste at national and/or sub-national level, disaggregated by partnership type (IRRF Output 1.3, indicator 1.3.1) (GWP TT – 0.1 c)	3 a) Thailand WEN functioning, but lacks operational task forces, engagement of all key national stakeholders, and sustainable financing; Forest Protection Operation Centre formed April 2017; b) inter-agency collaboration on IWT at subnational level is ad hoc and not strategic; c) lack of civil society engagement at local level	3 a) Thailand WEN's organizational structure includes mandates for operational task forces; b) Joint Operational Partnerships (DNP, NED Police, Customs, Immigration, Quarantine, other agencies as needed) for demonstration areas in Nongkhai Province and Sadao District; c) at least 2 community agreements on wildlife protection established involving NEV-Net	1 a) Thailand WEN's organizational structure established. b) 0 Joint Operational provincial Partnerships c) 0 community agreements	3 a) A series of task forces are operational under Thailand WEN and sustainably financed; b) Joint Operational Partnerships (DNP, NED Police, Mekong Navy, Customs, Immigration, Quarantine, other agencies as needed) for demonstration areas in Nongkhai Province and Sadao District; c) at least 4 community agreements on wildlife protection established	not on target
0.2: Number of direct project	0	400 (40% female)	94 (15 female-16%)	800 (40% female)	not on target

Indicator	Baseline	Planned Midterm target	Status at midterm	End of project target	MTR assessment
Date	2018	2021	2021	2023	
beneficiaries: Number of government agency staff including enforcement officers who improved their knowledge and skills on IWT due to the project (m/f) - Number of local community members participating in wildlife protection efforts	0	50 (50% female)	0	100 (50% female)	not on target
0.3: Strengthened institutional capacity to combat IWT as indicated by the ICCWC Indicator Framework (note – baselines to be determined in year 1) - National indicator targets for monitoring drawn from ICCWC Indicator Framework baseline assessment	i) ICCWC Indicator Framework – Baseline scores TBD - No national IWT indicators	i) No Midterm ICCWC Indicator Framework Assessment - National indicators defined and targets set in Year 2 for subsequent monitoring	2 National indicators for monitoring identified.	i) ICCWC Indicator Framework – Project Completion targets TBD - National indicators monitored annually and evaluated at EoP	marginally on target

66. The potential limitations related to the “SMARTness” of the Objective Indicators have been discussed in a previous section, the current section will present the MTR team’s findings as to the project progress towards meeting the set Midterm targets of the project.

67. For **Objective Indicator 0.1** which is divided into three separate sub-targets the project is **not on target**. Related to the sub-target a) the Thailand WEN has been established as has three identified sub-groups. Said sub-groups obtained MNER approval on 18 August 2021. In addition, only one task force (on Pangolin) is currently operational, ad-hoc, as the sub-groups have just been officially. Hence, the project is yet to meet the midterm target for sub-target a). For the sub-targets b) and c) the current limited engagement in the provincial demonstration sites has not resulted in any joint operational partnerships nor in any established community agreements, and the midterm targets of established joint operational partnerships (in each of the two provinces) and at least 2 community agreements have therefore not been met.

68. Regarding **Objective Indicator 0.2**, which consist of two sub-indicators, the first indicator related to the capacity building of government staff is **not on target** as 94 people, of which 47 were female, have received training out of a planned midterm target of 400 people trained, of which 160 would be women. The sub-indicator related to the number of community members participating in wildlife protection efforts, the project, as noted above, is still to establish local community agreements, thus the project is **not on target** for this indicator. It is important to note that number of people trained is meant to infer the number of capacitated individuals and not the trainings' accumulative numbers. For instance, for the i2 IBM trainings each training had 45 participants, but these 45 participants partook in both trainings and thus the number of different people capacitated is 45 and not 90.

69. **Objective Indicator 0.3** can be seen as being **marginally on target**. The ICCWC Indicator Framework assessment workshop has been held in September 2019 and indicators have been identified and scored. In addition, DNP identified two ICCWC Indicators which the project is to monitor and evaluate as part of its project indicator set²¹. However, it should be noted that while the indicators have been identified, the actual targets (baseline, midterm and end of project) have not been agreed to at the time of the MTR. It is thus of the MTR team's opinion that the project takes steps to 1) identify the mentioned targets 2) obtain technical clearance from UNDP on the validity of the indicators (and their targets) and 3) obtain Project Board approval for including the indicators in the project results framework.

Component 1: Improved Cooperation, Coordination and Information Exchange

Outcome 1: Strengthened wildlife crime institutional framework through increased coordination, cooperation and information exchange behavior change campaigns	
Progress towards achieving the Outcome 1 is rated as:	Moderately Unsatisfactory

70. A rating of **Moderately Unsatisfactory** is given for the project's progress towards achieving the project outcome at midterm, as summarized in Table 8 below and further elaborated on in Annex 9.

Table 8: Project progress towards achieving the project outcome 1.

Indicator	Baseline	Planned Midterm target	Status at midterm	End of project target	MTR assessment
Date	2018	2021	2021	2023	
1.1: Annual number of joint IWT enforcement operations informed by intelligence and information exchange	<i>Annual number of joint IWT enforcement operations in 2016-17: 16 (4 ivory, 2 rhino horn, 10</i>	<i>Baseline +10%</i>	<i>1</i>	<i>Baseline +25%</i>	not on target
1.2: Thailand WEN's coordination effectiveness	<i>a) No strategy and action plan for Thailand WEN;</i>	<i>a) Agreed strategy and action plan;</i>	<i>a) 0</i>	<i>a) Strategy and action plan under implementation;</i>	not on target

²¹ The ICCWC indicator scores could be used as the project's baseline scores, provided that the project wants to measure the progress towards the indicators using a similar ICCWC assessment exercise at the project mid-term and end of the project (an end of the project assessment could be considered as a minimum). However, could also consider the numbers of 1) intelligence-led approach and 2) *specialized investigation techniques* (ICCWC indicator 1 and 2 respectively).

improved as indicated/measured by: a) Agreed strategy and action plan for Thailand WEN;	b) No formal mechanism for exchanging information and intelligence;	b) Draft formal mechanism for exchanging information and intelligence;	b) 0	b) Operational formal mechanism for exchanging information and intelligence;	on target
b) Agreed formal mechanism for exchanging information and intelligence in TWEN; c) Reporting mechanism against strategy / action plans to evaluate performance	c) No reporting mechanism linked to a strategy and action plan for TWEN	c) Reporting mechanism for strategy and action plan provides at least partial feedback	c) 0	c) Reporting against strategy and action plan allows TWEN performance to be monitored and evaluated	not on target
1.3: Increase in government funding towards wildlife law enforcement	DNP total budget for 2016 was 10,725.7421 million Baht; 2017 was 10,823.8870 million Baht.	Baseline +10%	1.01 % increase (i.e. 10,915.45 million Bath)	Baseline +20%	not on target

71. For **Outcome 1 Indicator 1.1**, the indicator is to capture the increase in joint IWT enforcement operations in general and not only those stemming from the Thailand WEN established task forces, which is what has been reported on for the MTR. However, it should be noted that the baseline data was collected as part of an earlier ICCWC process, and it has been expected that future reporting (i.e. midterm and end of project) would be collected through the Thailand WEN sub-groups and task forces members. However, as the sub-groups were only officially established on 18 August 2021 and there is only one ad hoc task force at present, the PMU has not been in a position to officially collect the relevant midterm data. However, while the PMU have not been able to officially collect the as the relevant task forces have not been established, it could have collected this information informally through the various DNP entities and combined with the actual reporting of 1 annual joint IWT enforcement operations a rating of **not on target** has therefore been given.

72. **Outcome 1 indicator 1.2** consists of three sub-indicators. **Sub-indicator a)** relates to the development of the Thailand WEN strategy and action plan and as it has not been developed at the time of the MTR the project is thus **not on target**. For **sub-indicator b)** the project is **on target** i with the preparation of a formal mechanism for exchanging information and intelligence, as the project at midterm has, as planned, prepared a draft for said mechanism, which currently awaits review by the Thailand WEN Committee. With regard to **sub-indicator c)** which relates to the development of a reporting mechanism for the strategy and action plan it is directly linked with the development of said strategy. Hence, the project is **not on track** for this sub-indicator as the midterm directions provided in the results framework state that the mechanism should provide "at least partial feedback" at the time of MTR.

73. With regard to **outcome 1 indicator 1.3** the results framework provides two baseline figures (i.e. 2016 and 2017). For the MTR, the MTR team has used the 2017 data in its review. Regardless of whether the 2016 or the 2017 data is used, the midterm target has not been met (**not on target**), as the annual government funding towards wildlife law enforcement through DNP during the budget year 2020/2021²² was 10,915 million Bath

²² The budget year in Thailand runs from September to August.

constituting an increase of 1.01% (up from 10,824 million Baht in 2017), which is below the anticipated increase of 10% by project midterm. It should be noted that DNP spending for 2019 and 2020 has been implied to be 11,029 and 11,345 million Baht respectively, which constitutes 1.9 and 4.8% over the baseline. Although still not meeting the 10% midterm target, it does make a substantial difference to the reported figure of 10,915 million Baht. The MTR Team has not been able to ascertain whether the comparatively low budgetary spending for 2020/2021 is due to the fact that government spending (across the board) has been cut with 10% to channel funds towards Thailand's COVID-19 mitigation and recovery, or there are other reasons for the relatively "lower" spending.

Output 1.1: *Thailand WEN is strengthened by more comprehensive membership, clear strategy and action plan, organizational structure including operational task forces, information sharing mechanism and inter-agency training provision*

Key Achievements:

74. The new Thailand WEN committee has been endorsed and approved by the permanent secretary of the Ministry of Natural Resources and Environment in September 2020, and the draft Thailand WEN sub-working group structure 1) Law enforcement, 2) Technical special list, and 3) Public relation has been prepared and submitted to the Permanent Secretary of the Ministry of Natural Resources and Environment for approval, which is expected in August 2021. Although not directly related to the project output, it is worth mentioning that DNP established a Combatting IWT Office within DNP in February 2020, comprising 5 units related to IWT work: 1) General Management unit; 2) IWT data base unit; 3) IWT Capacity building unit; 4) Wildlife Forensic unit; and 5) and Thailand Wildlife law enforcement Networking unit. Furthermore, the Project's ICCWC Indicators 1) *Wildlife crime is thoroughly investigated using an intelligence-led approach* and 2) *Specialized investigation techniques are used to combat wildlife crimes as required*, have been identified. In addition, an ad hoc Pangolin task force reviewed and provided all necessary evidence for a previous Pangolin's scale trafficking case at Suvarnaphum airport (2015-2020). Finally, the draft agreement on an information-sharing protocol for Thailand WEN agencies has been developed and awaits to be presented to the Thailand WEN second meeting, currently delayed due to government-imposed restrictions related to the COVID-19 Pandemic.

Issues/Challenges:

75. The establishing/restructuring of the Thailand WEN has been a prolonged process which has taken longer than originally envisioned. In addition, as DNP has viewed it as a caveat to have the Thailand WEN in place before engaging in a subset of the activities under the current output, such as the strategy development and the establishment of task forces (at both national and provincial level) many of the underlying activities have not moved forward as planned. With the Thailand WEN committee and the sub-groups now in place, the project should look towards moving forth in an expedited manner on the pending activities, to bring the project back on track and bring it in line to be able to meet its end of project targets. In this regard particular attention should be placed on the work in the two project provinces including the establishment of community agreements.

Output 1.2: *Strengthened information management, analytical capacity, and evaluation to increase wildlife crime detection and enforcement effectiveness*

Key Achievements:

76. The i2 IBM investigation database is installed in the main DNP law enforcement teams and procedures for the process and step to upload wildlife crime data into the DNP Wildlife Crime server (Ibase-DNP) are in place. Further, law enforcement teams under DNP have identified previous Illegal Wildlife crime cases under their purview related to ivory, Tiger, Rhino horn and Pangolin and uploaded this information in the i2 IBM investigation database. TRAFFIC²³ are undertaking weekly monitoring of online information on DNP identified indicator species and a reporting mechanism has been identified. Training to relevant DNP staff on online-market

²³ TRAFFIC is a Responsible Party under the project

monitoring has been provided, and a chat group between TRAFFIC and the Wild Hawk Unit on the LINE application has been set up for direct communication and real time information sharing.

Issues/Challenges:

77. A main drawback of the output is that the support DNP to integrate and upgrade online CITES registration of existing non-native species in Thailand (live and products) is still pending, as is the organization of the database elements on species in trade, and the development of the CITES e-permitting procedures in line with the national single window/ASEAN single window. The main reported stumbling block is that the non-native species list under the new WARPA is yet to be finalized, and it is thus imperative that efforts in this regard is increased to ensure its completion as soon as possible. Moreover, information sharing between different line agencies is not merely depending on willingness of concerned agencies to share information, but regulations on confidentiality especially on the information related to crime investigations restrict the information which can be shared. To reach common agreement, therefore, each party should identify what kind of information and at which level that could be shared with other agencies.

Output 1.3: *Pilot an integrated approach to wildlife crime surveillance and enforcement at demonstration areas on the Malaysian border (Sadao District) and Lao border (Rattanaowapi District), especially to combat Pangolin trafficking*

Key Achievements:

78. Draft TORs for local inter-agency task forces committees at the two demonstration areas have been developed, in consultation with the Heads of Wildlife Check points at the Nongkai and Songkha demonstration sites and submitted for the Provincial Governors approval (still pending). DNP has decided to establish the project demo-site local joint task force committee through the IWT provincial wildlife enforcement network (Provincial WEN) instead of Thailand WEN at the national level. Initial provincial workshops and discussions bringing local stakeholders together have also been held.

Issues/Challenges:

79. Due to the initial linkage between the establishment of the Thailand WEN committee and the local inter-agency task forces committees or IWT provincial wildlife enforcement network (Provincial WEN) the project's engagement under this output was placed on hold until the approval of the previously mentioned ministerial approval of the Thailand WEN committee. Because of this there is now an increased urgency for actions related to the strengthening of cross-border collaboration at local level. This work should also be strengthened as part of the Thailand WEN engagement under output 1.1, but particular attention to the provincial efforts is needed to provide an effective engagement at the border crossings and the surrounding areas. An increased focus on the establishment of community agreements should also be seen as imperative as they are a central part of the provincial setup, which the project seeks to pilot.

Output 1.4: *Strengthened national capacity and role in supporting regional and global networks for wildlife forensic science (WIFOS)*

Key Achievements:

80. Under this output it cannot be said that there have been any key achievements. One reason for this is that the project's aim of creating a center of excellence (WIFOS) which could be used by other countries in the region has fallen "victim" to the accelerated capacities in other countries in the region where regional wildlife DNA forensic capacity has now been developed in neighboring ASEAN countries e.g. Malaysia, Vietnam, Singapore, Indonesia, or is available as portable capacity through UNODC for Myanmar, Cambodia and Laos. Because of this the work related to the anticipated support towards the development of regional protocol(s) under the ASEAN Mutual Legal Assistance Treaty (MLAT), Customs or AWG to facilitate the rapid exchange of specimens, and specimen/evidence handling etc. could be seen as redundant.

Issues/Challenges:

81. Due to the internal restructuring and changes in management etc., issues related to TRACE and also COVID-19 related problematics, the development of the “strategic plan” for the WIFOS laboratory has not been engaged in. With the delay the relevance of a strategic plan has become less important as the processes for strengthening (discussed under output 2.3) has been ongoing (to the extent possible) regardless. What is now considered more needed is an analysis and description of how a well-functioning “accredited”²⁴ WIFOS laboratory would look like and what would be its annual running and maintenance costs etc. The thought is that this documentation will become a main document for the DNP in its considerations for the long-term sustainability of WIFOS. Further, now that the placement of WIFOS seems to be secured for the foreseeable future and that the importance of WIFOS is better recognized, as a place of excellence, it will be important to increase the exposure of WIFOS both nationally, but also internationally. Thus, the project should increase its efforts towards Thailand’s engagement in existing networks of wildlife forensic scientists across ASEAN/Asia and Africa, including the regional Wildlife Forensic Working Groups established by the TRACE Wildlife Forensic Network.

Output 1.5: Economic assessment to highlight the global and national economic losses due to illegal wildlife trade and making the case for additional financing for Wildlife Crime Enforcement.

Key Achievements:

82. The national economic assessment impact from IWT using UNDP’s Target Scenario Analysis (TSA) methodology is under development and an TSA-IWT Launch workshop for key decision makers and other stakeholders related to the Wildlife Trade issue was held in November 2020 and data/information has subsequently been collected. A validation workshop to present the scenario result and verify data accuracy is planned for the month of August (COVID-19 dependent). The TSA work highlights at least two main issues which are relevant for future planning and budget discussions related to IWT enforcement. One being that reducing wildlife trafficking will also reduce the risk of future outbreaks of zoonotic diseases (and its associated health, social, and economic costs) and second increased enforcement of IWT of domestic protected species will in turn increase the potential of nature tourism within Thailand. This is reportedly a relatively untapped segment which has the potential to play an important part in the “building back better” efforts of Thailand.

Issues/Challenges:

83. An important next step which the project needs to focus on is the review and determination of the additional financing required to strengthen the medium-term Wildlife Crime Enforcement in Thailand. Followed by a realistic suggestion for how sustainable financing through government channels and cost-recovery can be effectuated. This and the above-mentioned work will be cornerstones in the upcoming discussions on how to ensure long-term sustainability of the project established structures and initiatives. Closely linked with project’s main “communication” Component (i.e. Component 3) communication and awareness raising work aimed at key department heads, decision makers, and politicians and influencers, needs to be put in place to ensure a broad understanding and buy-in as to the need for increased government engagement in IWT. This work should be an essential part of the project’s communication strategy (currently not developed).

Component 2: Enhanced Enforcement and Prosecution Capacity

²⁴ The project document is making references to the ISO17025 Quality Management System for components of its wildlife DNA forensic testing, however that is a prolonged process which in all likelihood is not obtainable during the project’s lifetime. In this regard UNODC notes in a study that “Laboratory accreditation to the ISO17025 standard has become a requirement for human forensic laboratories in many countries and is considered the gold standard in wildlife forensic testing. However, accreditation to such a standard is time consuming, expensive and may require a level of staffing and infrastructure that is simply not realistic for wildlife forensic laboratories to achieve, irrespective of the quality of their work. While a number of wildlife forensic laboratories do hold ISO17025 accreditation, an absolute requirement for laboratory accreditation to this level in wildlife forensic science is an unrealistic expectation at this time. To address this issue SWFS, has established a set of Standards and Guidelines specifically for several disciplines within wildlife forensics (SWFS Standards and Guidelines 2018)”

Outcome 2: Effective Detection and Deterrence of Illegal Wildlife Trafficking as a result of Enhanced Capacity in Enforcement and the Criminal Justice System	
Progress towards achieving the Outcome 2 is rated as:	Moderately satisfactory

84. A rating of **Moderately satisfactory** is given for the project's progress towards achieving the project outcome 2 at midterm, as summarized in Table 9 below and further elaborated on in Annex 9.

Table 9: Project progress towards achieving the project outcome 2.

Indicator	Baseline	Planned Midterm target	Status at midterm	End of project target	MTR assessment
Date	2018	2021	2021	2023	
2.1: Increase in number of successful cases (seizure-arrest-prosecution-conviction) involving wildlife criminals dealing in ivory, rhino horn, pangolins and tiger, and their parts and derivatives. (GWP TT)	<i>Official national statistics on seizures, arrests and prosecutions for Baseline in 2016*: i) 6 (8.15kg ivory, 427 head/3052 kg pangolins)</i> *Baseline to be updated with 2017 data during inception phase	<i>Official national statistics on seizures, arrests and prosecutions – i) >10% increase in seizures over baseline</i>	i) 9	<i>Official national statistics on seizures and arrests and prosecutions – i) >25% increase in seizures over baseline</i>	on target
i) annual number of seizures	ii) 1	ii) >10% increase in no. arrests	ii) 3	ii) >25% increase in no. arrests	on target
ii) annual number of arrests	iii) 6:1	iii) 3:1	iii) 3:1	iii) 2:1	on target
iii) ratio of seizures: arrests	iv) 0	iv) >10% increase in no. prosecutions	iv) 1	iv) >25% increase in no. prosecutions	on target
iv) annual number of prosecutions	v) 0	v) 3:1	v) 3:1	v) 2:1	on target
v) ratio of arrests: prosecutions					
2.2: Increase in DNP's institutional capacity to respond to IWT as indicated by the UNDP Capacity Development Scorecard	UNDP CD Scorecard Baseline Score for DNP: 58.33 %	Baseline + 10%	UNDP CDSC not undertaken at Midterm.	Baseline +20%	not on target

Indicator	Baseline	Planned Midterm target	Status at midterm	End of project target	MTR assessment
2.3: DNP wildlife forensic science laboratory accredited under ISO17025 Quality Management System for components of its wildlife DNA forensic testing to align with International Standards and ensure legally admissible evidence for prosecutions in Thailand.	<i>Baseline – DNP wildlife forensic science laboratory is not internationally accredited</i>	<i>DNP wildlife forensic science laboratory and staff capacity increased in line with the Standards and guidelines prepared by the Society of Wildlife Forensic Sciences</i>	0	<i>DNP wildlife forensic science laboratory is laboratory accredited under ISO17025 Quality Management System for components of its wildlife DNA forensic testing.</i>	not on target

85. **Outcome 2 indicator 2.1** consists of five sub-indicators of which three are interrelated. However, as reported above there are some conceptual problems with this indicator, which makes it difficult to work with, as well as evaluate. For sub-indicator i) the project is **on target** at the time of the MTR and has actually exceeded the end of project target of an increase >25% (and increase >1.6 seizures). The sub-indicator ii) is also **on target** and exceeds the end of project target of an increase >25% (and increase >0.25 arrests). As noted previously the midterm and end of project targets do not meet the SMART criteria and the project should consider revising the indicator/sub-indicators. Sub-indicator iii) has reached the planned midterm target of 3:1 ratio between seizures and arrests and is thus **on target** and sub-indicator vi) has with its 1 noted prosecution exceeded the planned midterm target of an increase of 10%. However, as noted above a 10% increase of 0 is 0 making the sub-indicator non-SMART compliant. Nonetheless the indicator could be seen as being **on target**. Finally, sub-indicator v) is **on target**, but as noted for the current project the arrests and the prosecution are related to different cases/seizures.

86. **Outcome indicator 2.2** is **not on target** as a midterm capacity building assessment has not been performed at the time of the MTR. According to MTR interviews, as the project, at the time of the MTR, had engaged in limited capacity building activities and, because of that, it was perceived that little change in the capacity building scores would have occurred. Hence, in a cost-saving effort the midterm capacity building assessment were not undertaken. Regardless, of whether or not an increase in scores would have been obtained the fact that the CDSC exercise was not undertaken as planned (prior to the MTR) can be construed as the project is not on target.

87. Finally, **outcome 2 indicator 2.3** is **not on target**. While the SWFS standards has been prepared and the SOP is under preparation efforts towards capacitating staff and raising the WIFOS laboratory capabilities enabling it to pass an accreditation is still pending. While the laboratory and staff capacity are not currently in line with the Standards and guidelines prepared by the SWFS, these could reportedly be in place within three to six months after trainings and equipment is in place. The current delay is in part related to the COVID-19 restrictions and in part due to lack of needed agreement with DNP.

Output 2.1: Enforcement Officers who come into contact with suspected cases of wildlife trafficking are equipped and trained to identify, report, arrest and collect evidence, following chain of custody procedures, of and from wildlife crime suspects.

Key Achievements:

88. DNP has identified five training courses²⁵ as priorities for the project, to be provided over the duration of the project. Stakeholder consultation in this regard confirmed that special IWT investigation course using Crime methodologies should be a first priority for training of DNP and other law enforcement frontline officers. So far, a subset of trainings has been provided including training on Wildlife Non-native species case management under the new Wild Animal Reservation and Protection Act. Two training courses on the i2 IBM in collaboration (one basic and one advanced) have also been provided, as has a general wildlife crime investigation training. The beneficiaries of these training are reported under Objective Indicator 0.2. As EIA already engaged in providing Thai subtitles to the EIA Enforcement Training Film²⁶ the planned translation support etc. was suspended, and as UWA already were in the process of developing materials for judges on the key Wildlife Crime laws, including the 2019 revised WAPRA legislation, the Custom law, the AMLO law etc. the project changed track and will support broader distribution of the UWA document.

Issues/Challenges:

89. While initial training has been provided and further trainings are planned, the project should take a critical look at how they can provide quality training on the already identified priority areas and ensure that the project will meet its planned target of building the capacity of 800 people. A reason to note this, is that at the MTR approximately 25 % of the anticipated government staff has received training (12.5% of the end of project target). In this regard, it should be noted that the project's engagement at the provincial level is largely still pending and capacity building for both government staff and local communities are to be part of the project's intervention. Regarding project trainings it should also be noted that the project could make effective use of already established training (and materials) including those within the GWP "ecosystem". However, in this regard it should be noted that the training process requires more than in-class sessions in order to develop teamwork management skills and trust among actors from different agencies.

90. A separate but very important component with regard to the capacity building is the capacity building of WIFOS which strictly also falls under this output although implementation generally speaking could be seen as falling under output 2.2. Further, and although, the project no longer is to engage with EIA on providing subtitles to the EIA Enforcement Training Film, there is still an important outstanding task related to this, which is to assess the training film's usefulness to trainees.

Output 2.2: *Enhanced wildlife DNA forensics techniques, analysis and DNA database developed to address specific questions in relation to the illegal trade in elephants, pangolins, rhinoceros and tigers and their parts and derivatives.*

Key Achievements:

91. Support to the WIFOS Laboratory at DNP to conduct robust and validated DNA tests has been progressing and includes the development of a standard species identification DNA assay for tiger products, and a standardized pangolin species identification test. A Loxodonta localizer, which allows ascertainment of the geographical provenance of confiscated ivory is available, as is species identification tests for rhino. Working with Vietnam and Malaysia, TRACE and WIFOS have developed a validated test for tiger part species identification to be used in forensic casework. Furthermore, TRACE staff have developed an appropriate DNA test for rhino DNA identification, working collaboratively with WIFOS, and as part of a global collaboration, TRACE and WIFOS, have developed an appropriate DNA test for all pangolin species. Also, in collaboration with

²⁵ 1) Legal requirements of the New 2019 Wild Animal Reservation and Protection Act (WARPA) and new requirements for enforcement; 2) Species identification skills, ability to use available tools such as WildScan App for CITES listed species, access to technical expertise; 3) Training course on Crime Scene Management and evidence handling following chain of custody; 4) Training on Criminal Proceedings and 5) Training on Wildlife Cybercrime.

²⁶ The Environmental Investigation Agency (EIA) Enforcement Training Film on Combating Ivory Trade includes the following modules: Developing an anti-poaching strategy, Community engagement, Crime scene management: elephant poaching incident, Crime scene management: ivory seizure incident, Identifying ivory, Risk analysis, Ivory trafficking: airports, Ivory trafficking: maritime ports, Ivory trafficking: overland, Canine units, Managing seized ivory, Investigations, DNA analysis of ivory, Financial investigations, Controlled deliveries, Sharing intelligence and information, Best practice for successful prosecutions

the Malaysian National Wildlife Forensic Laboratory TRACE staff have advanced the design and production of SNP based genotyping panels for both tiger and elephant resulting in the selection and purchasing of testing panels for both species. Discussions are also underway with Malaysia on utilizing their Next Generation Sequencing facility to replicate their complementary project with TRACE. This would offer an effective training platform for WIFOS staff and would be a cost-effective procedure to develop DNA sequence databases for protected species in Thailand.

Issues/Challenges:

92. While the work under output 2.2 is progressing and shows promise for obtaining functional capacities within WIFOS, the work under the output has been affected by the internal restructuring within DNP and the changes in the project management setup during the project's initial year, which generally slowed down implementation across outputs. One result of this was, in a cost saving effort, the retraction of an international consultant who were to support the WIFOS related activities. This was followed by an inability to the reintroduction of international support due to the Thai Government travel and visa restrictions related to the COVID-19 pandemic. It should also be noted that the Responsible Parties Agreements with TRACE (as well as with IUCN and TRAFFIC) were signed in July/August 2019. In this connection, the inability of TRACE to work directly in Thailand, at present, TRACE had worked with other countries including Malaysia to ensure activities and engagements under the auspice of TRACE could be advanced. However, to accelerate the work with WIFOS which is a central part of the GEF-6 IWT project it will be important that TRACE, as one of the project Responsible Parties, can work closely with WIFOS on-site in Thailand. This not only for the current output but also in connection with the other outputs where TRACE is the lead agency. A final issue related to output 2.2 is that related to finalizing the internal DNP decision as to how and who are to manage the review and sampling of ivory from the Thai domestic ivory market.

Output 2.3: Wildlife Forensic Science (WIFOS) Laboratory at DNP equipped and capacitated to collect and deliver robust prosecution evidence including DNA analysis for cases related to elephants, pangolins, rhinoceros and tigers. This enhanced capacity and equipment will also result in enhanced evidence to support successful prosecutions for other CITES-listed species.

Key Achievements:

93. Three WIFOS staff became full members of the Society for Wildlife Forensic Science (SWFS) in an attempt to raise WIFOS and the staff members international presence, unfortunately the reorganization within DNP resulted in that WIFOS which was then under the CITES office, was moved and came under the Wildlife Conservation office. However, most of the staff including the SWFS members did not follow in the move. TRACE is now trying to influence SWFS to allow a "conversion" of the full membership to staff currently with WIFOS. Also, the SWFS Standards and Guidelines for Wildlife Forensic Analysis have been translated into Thai and a Thai language version of the Standard Operating Protocols (SOP) developed by TRACE (Appendix I) is currently being prepared. Further, new 12K flex QuantStudio DNA extraction equipment has been purchased, and a new evidence room at WIFOS has been established. In addition, 4 full time scientific officers for WIFOS have been requested in late 2019 and this request is still being considered internally by DNP.

Issues/Challenges:

94. A central part of Output 2.3, according to the project document, is to enable the WIFOS Laboratory to obtain ISO17025 accreditation to ensure legally admissible evidence for prosecutions in Thailand. And while the work under this outcome is and will be moving, there is an issue related to the aim of obtaining the ISO17025 accreditation. However, as it is noted in an UNODC report commissioned by CITES²⁷ "Laboratory accreditation to the ISO17025 standard has become a requirement for human forensic laboratories in many countries and is considered the gold standard in wildlife forensic testing. However, accreditation to such a standard is time consuming, expensive and may require a level of staffing and infrastructure that is simply not realistic for wildlife forensic laboratories to achieve, irrespective of the quality of their work. While a number of wildlife forensic laboratories do hold ISO17025 accreditation, an absolute requirement for laboratory accreditation to this level

²⁷ (<https://cites.org/sites/default/files/eng/prog/enforcement/Annex%204%20-%20CoP18%20-%20Doc%2032%20-%20Enforcement%20matters%20-%20FINAL.pdf>).

in wildlife forensic science is an unrealistic expectation at this time. To address this issue, the SWFS has established a set of Standards and Guidelines specifically for several disciplines within wildlife forensics (SWFS Standards and Guidelines 2018)". With this in mind, the project (ultimately DNP) should consider whether it still wishes to pursue the ISO17025 accreditation with its costs and lengthy process or whether it would opt for regular auditing/assessments of compliance to the SWFS Standards and Guidelines. Feedback obtained during the MTR indicates that the relevant introduction of protocols, training in the use of the SOP and the purchased equipment could be completed within a six-month period and be sufficient for the SWFS auditing/assessments. A final issue is that a positive outcome in WIFOS' staff request is still pending. These staff would be an important addition as the improved performance of the hired temporary laboratory staff cannot guarantee sustainability of WIFOS after project termination.

Component 3: Reduced demand illegal wildlife products and targeted awareness actions to support law enforcement.

Outcome 3: Social norms and consumer behaviour in key target audiences move towards increased unacceptability of trafficking and purchasing illegal wildlife products	
Progress towards achieving the Outcome 3 is rated as:	Moderate Unsatisfactory

95. A rating of **Moderate Unsatisfactory** is given for the project's progress towards achieving the project outcome 3 at midterm, as summarized in Table 10 below and further elaborated on in Annex 9.

Table 10: Project progress towards achieving the project outcome 3.

Indicator	Baseline	Planned Midterm target	Status at midterm	End of project target	MTR assessment
Date	2018	2021	2021	2023	
3.1: Increased awareness of key target groups concerning Thai laws and penalties imposed for IWT including the proposed WARPA reforms, as indicated by systematic assessments using a standardized methodology	Baseline: to be established in Year 1, including confirmation of target groups, key questions and assessment methodology	Mid Term Target: to be established in Year 1, including confirmation of target groups, key questions and assessment methodology	Mid-term targets and end of project targets not established, and target groups not defined.	Project Completion Target: to be established in Year 1, including confirmation of target groups, key questions and assessment methodology	not on target
3.2: Change in social norms concerning the acceptability of trafficking, buying, possessing and using illegal wildlife products and derivatives as indicated by systematic assessments using a standardized methodology	Baseline: to be established in Year 1, including confirmation of target groups, key questions, desired social and behavioral change and assessment methodology	Mid Term Target: to be established in Year 1, including confirmation of target groups, key messages and desired social and behavior change	Mid-term targets and end of project targets not established, and target groups not defined.	Project Completion Target: to be established in Year 1, including confirmation of target groups, key messages and desired social and behavior change	not on target

3.3 <i>Change in purchasing behavior of key target groups regarding illegal wildlife products and derivatives as indicated by systematic assessments using a standardized methodology</i>	<i>Baseline: to be established in Year 1, including confirmation of target groups, key questions, desired social and behavioral change and assessment methodology</i>	<i>Mid Term Target: to be established in Year 1, including confirmation of target groups, key messages and desired social and behavioral change</i>	<i>Mid-term targets and end of project targets not established, and target groups not defined.</i>	<i>Project Completion Target: to be established in Year 1, including confirmation of target groups, key messages and desired social and behavioral change</i>	not on target
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96. For all of the three **Outcome indicators (i.e. 3.1, 3.2 and 3.3)** it is not possible to evaluate to what extent the project has met its midterm targets, because the project baselines, midterm targets and end of project targets have not been established as they should have been (as per the ProDoc) during the first year of the project. And even though suggestions to use data from work done by, among other, UWA in 2018 as the baseline for the three indicators²⁸, midterm assessments using UWA methodologies and target groups have, at the time of the MTR, not been performed. Because of this the MTR team feels that with regards to the Outcome indicators the project is **not on target** on indicator 3.1, 3.2 or 3.3.

97. While the use of baseline data not developed by the project is to be encouraged (to avoid overlap and provide for cost-savings), care has to be taken in ensuring that the surveys to be used are in line with the project's established indicators and can in actual fact provide the needed data which fulfill the intent of the indicators. For instance, the "proposed" sub-indicators under indicator 3.1 (i.e. a) eight out of 10 (80%) Thais are not aware that trade of ivory from domesticated elephants is legal; b) eight percent (8%) think that ivory from Africa is legal; c) three out of 10 (30%) Thais believe that it is legal to trade in tiger parts if the tiger is domesticated; and d) nine percent (9%) believe it is legal if the tiger parts come from other countries) does not actually address the indicator which is *related to key target groups responses to Thai laws and penalties imposed for IWT*. For this indicator it might be more relevant to use identified trends from the online monitoring undertaking under activity 1.2.4 *"In collaboration with DNP and UWA, support an assessment of market availability (physical and online) for five selected CITES-listed species traded in Thailand and system for monitoring of market response before and after the revised WARPA legislation"*.

98. With regard to the Outcome and its indicators it should be noted that the project Objective provides for a strong hint as to the importance of Outcome 3, in that the objective of the project is *"to reduce the trafficking of wildlife (focusing on elephant ivory, rhinoceros horn, tiger and pangolins) in Thailand through enhanced enforcement capacity and collaboration and targeted behavior change campaigns"*. That coupled with that the GEF-6 IWT project has the largest demand reduction budget allocation among all of the GWP projects, provides a sense of the importance for the project to be able to show (verify) that its SBCC efforts are effective (including cost effective) in changing behavior of the key target groups which have high impact on IWT in Thailand.

Output 3.1: *Strengthened coordination between organizations engaged in demand reduction and advocacy on IWT in Thailand and internationally supports effective planning and sharing of lessons learned to inform other initiatives*

²⁸ Baseline for Indicator 3.1: a) eight out of 10 (80%) Thais are not aware that trade of ivory from domesticated elephants are legal; b) eight percent (8%) think that ivory from Africa is legal; c) three out of 10 (30%) Thais believe that it is legal to trade in tiger parts if the tiger is domesticated; and d) nine percent (9%) believe it is legal if the tiger parts come from other countries – Derived from UWA in 2018. Baseline for Indicator 3.2: 32% of Thai urban population consume wildmeat during the past 12 month – derived from GlobeScan research commissioned by TRAFFIC and ZSL in 2021. Baseline for Indicator 3.3: a) 2% of general Thai population purchases Ivory products; and b) 1% of general Thai population purchase tiger products - Derived from UWA in 2018.

Key Achievements:

99. The Demand Reduction Steering Group (DRSG) has been established following the approval of the Project Board and has held regular quarterly meetings since Q3 2020 creating an important platform for communication and sharing of lessons learned. In addition, the UWA SBCC manual was translated into Thai and a SBCC Community of Practice (CoP) webinar has been held, as has a TRAFFIC/WWF workshop on “Wildlife Demand Reduction Campaigns in Thailand: Lessons Learned”. Finally, linkages between the DRSG and the TRAFFIC convened Community of Practice²⁹ on Demand Reduction have been established.

Issues/Challenges:

100. While the project has created the DRSG and is to some extent engaging in the Community of Practice on Demand Reduction through engagements with CITES and the World Bank Virtual Knowledge Management exchange, as well as delivering training on DR to CITES Parties in neighboring countries, the project still needs to step up the efforts to create synergies with neighboring countries including through structures such as the ASEAN Working Group on CITES and activities such as Virtual Knowledge Management with the GEF GWP. In addition, as the Responsible Parties (IUCN, TRACE and TRAFFIC) agreements with UNDP all have a 36-month duration the project needs to consider how it will bring (at least parts) of the project’s activities forward once said agreements have ended. This is particularly important for outcome 3 where the project (according to the established indicators) is to follow the effects of the project’s activities and outputs until the end of the project (hence end of project targets). Also, with regard to output 3.1 there will for instance be the question as to where the DRSG is to be handed over to and how the long-term sustainability of the DRSG can be ensured.

Output 3.2: *Conduct of standardized market and consumer research, to identify the availability of illegal wildlife products in physical and virtual markets, confirm a relevant baseline and measure progress towards SBCC goals*

Key Achievements:

101. The situation analysis, which forms the base for the SBCC campaign development and market availability assessment work, was prepared and used as a background for the future work under the outcome (mainly output 3.3). Further, an although part of Output 1.2, it should be noted that TRAFFIC³⁰ are ongoingly monitoring online information on DNP identified indicator species and a reporting mechanism has been identified, training to relevant DNP staff on online-market monitoring has been provided, furthermore a chat group between TRAFFIC and the Wild Hawk Unit on the LINE application has been set up for direct communication and real time information sharing.

Issues/Challenges:

102. Related to output 3.2 and output 3.3 there seems to be a disconnect between the scope and intent of the ProDoc and the contractual requirements of TRAFFIC, as the Responsible Party, outlined in the Responsible Parties agreement signed with UNDP (from the point of view of the MTR team). The project document seems to suggest that the project will target a multitude of target groups through SBCC campaigns to shift Knowledge, Attitudes and Practices of said target groups and the project indicators under the outcome clearly point towards that the effects of the SBCC campaigns will be measured throughout the project. While preferable that the effects of the project’s work related to the SBCC are, as a minimum, measured at the project start and end of project, it is naturally possible to measure the effects of the SBCC earlier and then for instance the midterm and having no end of project per se. Such an approach does however not take full advantage of the accumulative impacts of the project over time to the same extent compared to measuring the effects at the end of the project. It is not clear which approach the project has opted for but from the Responsible Parties agreement it appears that the project has opted for a narrower scope. While, the TRAFFIC TOR have been developed based on the information in the ProDoc (and relevant annexes) it does not appropriately capture the scope of the assignment as intended in the ProDoc (or at least so it seems to the MTR team). Here it should be noted that the UNDP/TRAFFIC agreement has a 36-month duration, which places the end of project surveys outside the current agreement. In addition, it would appear that the scope of work to be delivered has not been seen to include the establishment of the project’s baseline. In this connection, it is currently, as mentioned, being suggested to use

²⁹ See: www.changewildlifeconsumers.org

³⁰ TRAFFIC is a Responsible Party under the project

UWA data from 2018 as the project baseline, but such a decision should have been taken at the onset of the project so as to also be able to recalibrate the activities to be undertaken under the Responsible Parties agreement. Hence, the project needs to take a critical look at Component 3 and how it can meet the identified project deliverables and outputs including meeting the targets of the three outcome 3 indicators. In short, the project target groups for demand reduction should be streamlined and the intended behavioral changes should be clearly specified.

Output 3.3: Targeted Social and Behavioral Change communications and initiatives, that include a mix of Advocacy Approaches, Social Mobilization activities and Behavioral Change Communications, aiming to influence the purchase, use and trafficking of illegal ivory, rhino horn, pangolin and tiger products, and other key species that are illegally traded

Key Achievements:

103. A campaign for the new WARPA legislation has been prepared prepared to support DNP efforts to build WARPA awareness using visuals in Thai, Chinese and English. WARPA digital posters were disseminated through DNP, UNDP and partner organizations' communication channels and by end of 2020, there had been 1,779 reactions (like, sad, love, angry), 55 comments, and 240 shares on social media. Further, a survey on Wild Meat Consumption in Thailand has been prepared (to be published in August 2021), and a campaign to reduce demand for ivory and tiger products (amulets) was launched on 23 July 2021. The campaign targets 2-3% of the Thai population who are using such amulets for spiritual reasons.

Issues/Challenges:

104. Under this output there are two planned activities 1) a SBCC initiative strategy to identify the advocacy approaches, social mobilization activities & behavioral change communications to be delivered and 2) deliver upon said strategy. And while the project achievements so far in all likelihood are based upon a strategy for the individual campaigns etc. it does not change the fact that an overall strategy is still pending, which is somewhat problematic as it should form the base for the project's outreach activities – and potentially for the DNP going forward. While there as mentioned seems to be a disconnect between the scope and intent of the ProDoc and the contractual requirements of TRAFFIC, this as such does not come into play here as the strategy development is part of the listed deliverables under the Responsible Parties agreement. The MTR team therefore suggests that such a strategy is developed in the near future and is aimed at DNP instead of being tied to the project per se. A DNP focused strategy could provide DNP for a long-term vision (and directions for implementing this vision) for how it in the coming years could pinpoint its efforts towards high-impact target groups to ensure maximum change in a cost-effective manner.

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

Outcome 4: Implementation, upscaling and replication of project approaches at national and international levels are supported by effective knowledge management and gender mainstreaming

Progress towards achieving the Outcome 4 is rated as:

Moderate Satisfactory

105. A rating of **Moderate Satisfactory** is given for the project's progress towards achieving the project outcome 4 at midterm, as summarized in Table 11 below and further elaborated on in Annex 9.

Table 11 Project progress towards achieving the project outcome 4.

Indicator	Baseline	Planned Midterm target	Status at midterm	End of project target	MTR assessment
Date	2018	2021	2021	2023	

4.1: number of project lessons documented and disseminated to other national and international projects.	0	At least 5 project lessons documented and disseminated to other national and international projects	4 a) PMU-DNP disseminated the full ICCWC national indicator framework report to IWT network agencies and Thailand WEN committee member on Q1 2020	At least 10 project lessons documented and disseminated to other national and international projects	marginally on target
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106. For **Outcome indicator 4.1** the project is **marginally on target** as it has produced (or close to finalizing) 4 project lessons documented out of an anticipated 5. However, the prepared documents do not reach the planned 5 and the documents prepared are not lessons learned documents per se. That said, the prepared documents provide for important information valuable to share. The four documents are 1) Social and behavior change communication (SBCC) demand reduction guidebook (collaboration with UWA); 2) *A focus on Ivory, Rhino horn, Tiger and Pangolins situation analysis illegal wildlife trade and consumption demand reduction efforts in Thailand*; 3) *Wild Meat Consumption in Thailand*; 4) *Targeted Scenario Analysis (TSA) on illegal wildlife trade in Thailand*. The project has, in addition, reported two additional items under this indicator namely 1) PMU-DNP contributed to the case study / story of the Women fighting wildlife crime story to UNDP Ecosystem and Biodiversity Using Science and forensics to facilitate change in Combating IWT in Thailand led by Dr. Kanita Ouitavorn : Director of DNP-Wildlife Forensic Science Center, and 2) Together with DNP and relevant IWT partners, the project distributed and communicated IWT project exhibition and key visual WAPRA 2019 posters information through a 2020 World Wildlife Conservation day public event on 26 December 2020 at the DNP.

Output 4.1: Knowledge management is coordinated with other GEF projects through the GEF Programmatic Framework to Prevent the Extinction of Known Threatened Species

Key Achievements:

107. The PMU has a dedicated Facebook page link to DNP's main website for the project communication and IWT organization networking. Annex 6 provides a brief overview of some of the DNP IWT communications identified by the MTR Team. The Technical Advisory Consortium (TAC) committee members have been approved by the project board and the first meeting was held in Q3 2020. Furthermore, two sets of IWT project background information (Roll up & Exhibition sets) were prepared and used at the ASEAN Ministers meeting in 2019. A short video clip on Illegal Wildlife Trade and COVID 19 issues, to promote the IWT project, was also prepared and shown at the GWP meeting in 2021. The PMU has attended several events and conferences including the GWP Annual Conference in South Africa 2019 and the virtual GWP Annual Conference in 2020. The PMU, IUCN and TRAFFIC have also participated in the communication strategy training organized by the GWP team also in 2020.

Issues/Challenges:

108. A key outstanding engagement under this output is the development of the project's communication strategy, which should have been developed during the first year of implementation and updated annually in the subsequent years. As the strategy is to provide the project guidance as to how it will raise the profile of the project – not only internationally but specifically nationally as well as within MNRE and DNP. This is critical as the project should be seen as a flag ship project (high profile project) which should have senior leaders' attention and support. The strategy should provide directions as to how this could be achieved. The strategy should also provide the guidance for how the products related to the sustainability of the project's deliverables could be effectively promoted among the decision makers. This included WIFOS, Thailand WEN, the Provincial WENs, DRSG, TAC as well as the studies/findings on how to ensure sustainable financing for long-term ITW enforcement in Thailand. The project should also place additional efforts to ensure that the TAC annual national forums will be held, as well as the Annual Partnership Forum conducted for GWP project in Asia. Of particular importance will be for the project to look at which entity is to take over these tasks once the Responsible Party agreement with IUCN expires in 2022 (as do all of the Responsible Parties agreements i.e. IUCN, TRACE and TRAFFIC).

Naturally one option would be to agree with a no-cost extension with the respective parties until the end of the project.

Output 4.2: *M&E system incorporating gender mainstreaming developed and implemented for adaptive project management*

Key Achievements:

109. The first national ICCWC Toolkit Indicator Framework Baseline Assessment workshop was conducted in 2019 in collaboration with UNODC and as part of this the Project's ICCWC Indicators 1) Wildlife crime is thoroughly investigated using an intelligence-led approach and 2) Specialized investigation techniques are used to combat wildlife crimes as required, have been identified. Finally, under this output the project is currently undergoing its Midterm Review.

Issues/Challenges:

110. As noted previously in this report, while the project's ICCWC indicators have been identified the project targets have not been specified yet and it should take precedence in the time to come. In the case that targets are determined to be the scores for the individual ICCWC indicators a similar exercise, to the one undertaken in 2019, should be undertaken, as a minimum, at the end of the project. It should also be noted that the project is yet to develop its gender mainstreaming strategy, which should have been prepared in the first year of the project. While the project has a gender mainstream plan attached as an annex to the ProDoc, a need for said strategy has been seen, by the project developers, as an additional gender mainstreaming safeguard for the project as the strategy is has its own separate activity under output 4.2.

3.2.2 Remaining Barriers to Achieving the Project Objective

111. **Adapting to the time deficit created by the DNP restructuring during the project startup.** While the project seems to be progressing at an accelerated pace, particularly compared to the first year of the project, it is still not fully up to speed. This is a major concern as the first year few achievements were made. This has placed the project in the unfortunate position that it needs to accelerate and compress its implementation of activities. On the positive note it is the view of the MTR team that at midterm most of the central structures needed for the long-term sustainability and legacy of the project are either in place or in the process of becoming. There is thus hope that through consolidated efforts, by the project leadership and implementing parties, that the project can bring itself into a good position enabling it to meet its end of project targets and deliverables.

112. **Strengthening the positioning of the project.** While DNP has an ownership of the project and with the establishment of the Thailand WEN, for instance, have ensured a needed platform for coordination and cooperation for IWT enforcement, the project could benefit from having a higher profile internally and externally. In the view of the MTR team this project with its underlying scope and stated intent should be a flagship project which is highly publicized and recognized within government and among the public. While the project's Component 3 is working on behavior change through messaging, the project by itself could become a key driver for this by making itself highly visible, through various channels. It is also the view of the MTR Team that the project would benefit from having a stronger coordination within DNP as the project success depends on different departments and offices within DNP. For instance, laying the "day-to-day project oversight" on the table of the DDG might be an option which could be considered. While the "day-to-day project oversight" should not be taken literally the term indicates a frequent and regular engagement. Said engagement should focus on what has not been achieved rather than looking at current project achievements. In this way it will be possible to trouble-shoot and engage in adaptive management.

113. **Dissolving the capacity building bottleneck.** While some trainings have been undertaken, the project should be accelerating its efforts in this area as the capacitated staff is a vital component in bringing the project to fruition but also for the long-term sustainability of the IWT enforcement in Thailand. In this regard, the project should look at how they can institutionalize the training better so that the developed trainings will be accessible and can be provided when needed in various settings. Regarding project trainings it should also be noted that

the project could make effective use of already established training (and materials) including those within the GWP “ecosystem”.

114. **Refocus the local level engagement in the project’s demonstration areas.** Although, more or less hidden within Outcome 1 the project’s work at the local level is one of the baring elements of the project – or at least an important one. By successfully piloting a provincial system including a Provincial WEN and an effective community engagement the project can obtain a template for how such engagements could be done in other border provinces in Thailand, hereby taking a great stride in halting the transit trade of IWT in Thailand.

115. Each of the demonstration areas should design and plan on their unique approaches in working with local agencies and communities. Based on their on-the-job, as well as trial and error learning process, the lesson learned could be drawn to develop models for other border posts.

116. **Adapting to the COVID-19 pandemic and its effects.** The COVID-19 pandemic has caused disruptions which have been keenly felt by the project where activities have been placed on pause due to constraints including limitation of travel, gathering of people and the ability to work within an office setting. As noted above the project should, in response, accelerate and compress its implementation of activities. The project should also actively make use of available alternatives such as using online media and forums. While, less effective compared to face-to-face interactions it has been shown (also within this project) that holding virtual forums and meetings are indeed possible and have provided good results. The project unfortunately has been somewhat slow in adopting a virtual setting which could have ensured that project activities had not been placed on hold for prolonged periods of time as has been reported in the project’s progress reports.

117. Another aspect related to COVID-19 which should be mentioned is that the project’s TSA work highlights that reducing wildlife trafficking will also reduce the risk of future outbreaks of zoonotic diseases and will thus have inherited health, social, and economic costs benefits. Further, increased enforcement of IWT of domestic protected species will in turn increase the potential of nature tourism within Thailand, and area which could potentially play an important part in the “building back better” efforts of Thailand.

118. With regard to the COVID-19 Pandemic the MTR team requested feedback from the UNDP, DNP, IUCN, TRACE and TRAFFIC as the main project implementors on how COVID-19 had affected the project. The responses are presented in Annex 14.

3.3 Project Implementation and Adaptive Management

3.3.1 Management Arrangements

Project Board

119. Due to the internal restructuring within DNP at the start of the project and also to make a closer linkage between the Project Board and the Thailand WEN, the composition of the Project Board was changed in February 2020 and the change in membership can be seen in Table 12 below.

Table 12: composition of the Project Board

Project Board Appointed in December 2018	Project Board Appointed in February 2020
Board members which remained the same in the two constellations of the Project Board	
Director General of Department of National Park, Wildlife and Plant Conservation	Director General of Department of National Parks, Wildlife and Plant Conservation
Representative, Director General of Customs	Representative, Customs Department
Representative, UNDP	Representative, UNDP
Representative, TRAFFIC	Representative, TRAFFIC
Representative, IUCN	Representative, IUCN

Project Board Appointed in December 2018	Project Board Appointed in February 2020
Director, Wildlife Conservation Bureau of Department of National Park, Wildlife and Plant Conservation	Director, Wildlife Conservation Bureau of Department of National Park, Wildlife and Plant Conservation
Director, Foreign Affairs Division of Department of National Park, Wildlife and Plant Conservation	Director, Foreign Affairs Division of Department of National Park, Wildlife and Plant Conservation
Director, Wild Fauna and Flora Protection Division of Department of National Park, Wildlife and Plant Conservation	Director, Wild Fauna and Flora Protection Division of Department of National Park, Wildlife and Plant Conservation
Project Manager, Combatting Illegal Wildlife Trade in Thailand	Project Manager, Combatting Illegal Wildlife Trade in Thailand
Project Co-Manager, Combatting Illegal Wildlife Trade in Thailand	Project Co-Manager, Combatting Illegal Wildlife Trade in Thailand
Old members	New Members
Deputy Director General of Department of National Park, Wildlife and Plant Conservation, oversee CITES	Deputy Director General of Department of National Park, Wildlife and Plant Conservation, oversee Wildlife Conservation Office
Representative, Governor of Nongkhai Province	Project Director, Combatting Illegal Wildlife Trade in Thailand
Representative, Governor of Songkhla Province	Wildlife Conservation Advisor for DG, DNP
Representative, Commissioner of Central Investigation Bureau of Royal Thai Police	Representative, Royal Forest Department
Director, Administration Bureau of Department of National Park, Wildlife and Plant Conservation	Representative, Fishery Department
Director, Planning and Technology Office of Department of National Park, Wildlife and Plant Conservation	Representative, Department of Agriculture
Head of Wildlife Checkpoint Group, Wild Fauna and Flora Protection Division of Department of National Park, Wildlife and Plant Conservation	Representative, Department of Special Investigation
	Representative, The Anti-Money Laundering Office
	Representative, Office of The Attorney General in Thailand
	Representative, Environmental Division of the Supreme Court of Thailand
	Representative, Court of Justice
	Representative, Natural Resources and Environmental Crime Division
	Representative, Airports of Thailand PLC.
	Representative, Port Authority of Thailand
	Representative, TRACE Wildlife Forensic Network
	Director, Forest Protection and Fire Control Office of Department of National Park, Wildlife and Plant Conservation

120. The project board which, according to the ProDoc is to meet bi-annually have met twice in 2019 (January and May), once in 2020 (June) and once in 2021 (April). In addition to this Project Board members took

part in the project's Inception Workshop in March 2019. A main reported reason for why the Project Board meetings have not been held regularly as planned, is government restrictions related to the COVID-19 pandemic. Virtual board meetings have not yet been held.

121. From the recorded minutes of the board meetings project progress is reported on, and issues outlined in the agenda discussed and agreed upon, including the review and endorsement of the project's annual work-plan and budget. The conclusions of the meeting are recorded, and the Project Board meeting reports are approved at the subsequent board meeting by the Board members. However, while undertaken activities are presented at the board meetings and work-plans are also presented, little attention is devoted to activities which are not being implemented in a timely manner. Nor is the progress towards achieving the project results, as per the project's results framework (and its indicators and targets).

Project Management Unit

122. Staffing for the project management unit was secured between December 2018 and April 2019, consisting of a Project Manager, a Project Assistance, a Financial Assistant and a Senior Advisor. The Senior Advisor ended his assignment in April 2021. In addition, a DNP co-financed Co-Manager is also part of the PMU. The PMU were initially placed within the DNP-CITES office but with the internal DNP reorganization the PMU were moved to the Wildlife Conservation office in early 2020. While the PMU core staff (i.e. Project Manager, Project Assistant and Financial Assistant) has remained the same, the DNP co-manager has changed three times latest in early 2020. In addition, overall project responsible (within DNP) were also changed causing certain uncertainty which affected project start-up and overall implementation. A brief schematic presentation of the main changes within DNP, as understood by the MTR Team, is presented in Annex 7.

123. Adding to the complications was that DNP were not able to set up a project bank account for a prolonged period of time. The MTR team were not able to ascertain the underlying reasons for this, as different sources provided different explanations. Regardless, during this period UNDP provided support services to DNP in accordance with the ProDoc's DPC agreement.

124. Following PMU's move to the Wildlife Conservation office things seems to have settled but the work of the PMU is still hampered by that the project is being implemented by many different entity's bot within the DNP but also externally (i.e. IUCN, TRACE and TRAFFIC). This means that the PMU is not as such in control of the project's implementation which makes both the PMU and the project's implementation less effective.

UNDP

125. Central staff within UNDP only first joined after the project approval and were thus not part of the formulating process. This provided for an uneasy project initiation as the UNDP staff had to "play catch-up". Regardless, UNDP has had until the MTR had a dedicated person assigned to oversee the project as well as support from financial and project assistants. Unfortunately, key staff has just left the UNDP Country Office at the time of the MTR and the UNDP Country Office is now again faced with that it has to create new strong management/oversight team, which not only can undertake the day-to-day management of the project but can also trouble-shoot and assist DNP in moving the project forward. Regardless, in the point of view of the MTR Team UNDP has managed the project both financially, administratively, and technically in an appropriate way in line with good practices. This includes the appropriate due diligence and project auditing.

Responsible Parties

126. The project has three separate Responsible Parties (IUCN, TRACE and TRAFFIC) which all have signed three-year Responsible Parties agreements with UNDP. The three entities are responsible for (including financially) the implementation of specific parts of the ProDoc's activities and outputs. Their areas of responsibilities are presented in Table 13 below.

Table 13: Area of responsibilities of the Project Responsible parties (IUCN/TRACE/TRAFFIC)

Responsible Party	Area of Responsibility.
IUCN	Activity 4.1.5 Technical Advisory Consortium (TAC) is established. Activity 4.1.6 Partnership forums are convened on key thematic issues.

TRACE	Activity 1.4.1 Develop a strategic plan for DNP WIFOS services Activity 1.4.2 Support participation of Thailand in developing & supporting WIFOS networks Activity 1.4.3 Support development of regional protocol(s) under ASEAN MLAT, Activity 2.2.1 Support the WIFOS Lab at DNP to conduct robust and validated DNA tests Activity 2.2.2 Develop a DNA sequence database for key CITES-listed species Activity 2.2.3 Support two sampling surveys of the Thai domestic ivory market Activity 2.3.1: Capacity development for DNP WIFOS Laboratory Activity 2.3.2: Ensure the DNP WIFOS Lab has the required equipment
TRAFFIC	Activity 1.2.4 Support an assessment of market availability (physical and online) and system for monitoring of market response before and after the revised WARPA legislation Activity 3.1.1 Establish a Demand Reduction Steering Group Activity 3.1.2 Share planning, experiences and lessons with the CoP on DR Activity 3.1.3 Building on previous initiatives and existing research, Convene & report on a workshop to review awareness / SBCC campaigns Activity 3.2.1 Elaborate on PPG baseline for consumption of ivory and tiger parts, and trafficking of rhino horn and pangolins Activity 3.2.2 Conduct Formative Research Activity 3.2.3 Develop and test messaging targeting target audience segments Activity 3.2.4 Test the efficacy and evaluate the effectiveness of SBCC initiatives Activity 3.3.1 Develop an SBCC Initiative Strategy Activity 3.3.2 Deliver the SBCC Initiative Strategy

127. All of the Responsible Parties were subjected to a PCAT and a micro-HACT assessment by UNDP prior to the signing of the Responsible Parties agreement. As part of this process, it was agreed that IUCN and TRAFFIC would be provided quarterly advances from UNDP, whereas TRACE would work on a reimbursement basis. All parties provide FACE forms to UNDP on a quarterly basis. And in the MTR Team's opinion the general project management of all three parties are adequate, this although some financial discrepancies were identified during the UNDP Spot Check of the Responsible Parties undertaken in the first half of 2021.

128. Regarding the Responsible Parties, it should be noted TRACE's work has been hampered by that they do not have offices in Thailand but are relying on bringing in international consultants to work, in this case, with WIFOS. As noted above due to the internal restructuring within DNP and the resulting slow-down in implementation, compounded with issues related to the COVID-19 pandemic TRACE has not been able to work with WIFOS on the planned project activities as anticipated. They have circumvented this by undertaking parts of the activities using laboratories outside Thailand – for instance to develop protocols and assays. However, the current situation, if not managed, can impact the capacity building component of WIFOS as well as the establishment of WIFOS as a fully functioning laboratory able to provide quality services.

129. With regard to TRAFFIC there seems, in the perspective of the MTR Team, to be a disconnect between the deliverables and targets envisaged in the ProDoc and those deliverables outlined in the TOR of the Responsible Parties agreement signed with TRAFFIC. There is therefore a concern (on behalf of the MTR Team) that the deliverables requested from TRAFFIC will not meet the intent of the ProDoc.

130. Finally, it should be noted that due to the preparation and signing of the Responsible Parties agreement the respective entities were not able to initiate activities before the later part of 2019. Further, all of the agreements have a duration of 3 years meaning, unless they are extended, that the engagements will end by mid-2022.

3.3.2 Work Planning

131. As indicated, previously the project implementation has been slow with little engagement during 2019. As noted, this have, in part, been due to the internal restructuring within DNP, including the PMU's move to the Wildlife Conservation office, the inability to establish a project bank account, and the signing of the Responsible Parties agreements. Implementation of some aspects of the project were further slowed down because of the link between the establishment of the Thailand WEN and activities such as the development of the Thailand

WEN strategy. In addition, a cabinet approval induced time-gap between the CEO Endorsement (January 2018) and the signing of the ProDoc (November 2018) should also be mentioned.

132. The project works with annual work plans, which are being used as the main management tools by the PMU. In addition to this, the project implementors DNP, IUCN, TRACE and TRAFFIC prepares quarterly reports outlining progress under the individual activities, as well as outlining the actions under the various activities for the coming quarter. Furthermore, the project's progress is also being controlled and monitored via the FACE form submissions.

133. While the tools and processes for the work planning are in place, the PMU is having difficulties in ensuring that the provided plans are being followed. And as the PMU is not as such in control of many (most) of the activities it is difficult to trouble-shoot and engage in adaptive management. This in essence needs to be done at a higher level.

134. Therefore, to be able to manage the project activities in concert within a limited timeframe, the PMU should review the action plan together with all responsible agencies and set a clear roadmap for each component. Then, facilitate implementation under close monitoring as well as master on trouble shooting timely.

3.3.3 Finance and Co-financing

Financial expenditures

135. The total expenditures of the GEF project grant reported in the UNDP Combined Delivery reports (CDR) through to June 30, 2021, were USD 1,113,133, which is 25% of the provided USD 4,018,400 GEF project Grant. Table 14, which covers the period from project signature until July 2021, provides a breakdown as per project components and per project year, and Table 15, which covers the period from January 2019 to June 2021, shows the project spending by the project partners per quarter.

Table 14: Project spending per project components and per project year (November 2018-July 2021).

	2018	2019	2020	2021 (as of July)	Total
Component 1	5,622	130,737	225,263	148,001	509,623
Component 2		64,283	71,883	28,372	164,538
Component 3		40,892	131,062	124,148	296,102
Component 4		29,562	37,555	25,279	92,395
Project management cost	1,090	32,367	31,141	6,063	70,662
Total	6,712	297,841	496,905	331,863	1,133,321

Table 15: Project spending by the project partners per quarter Q1 2019- Q2 2021 (i.e. January 2019-June 2021)

Entity\ Quarter	Q1 2019	Q2 2019	Q3 2019	Q4 2019	Q1 2020	Q2 2020	Q3 2020	Q4 2020	Q1 2021	Q2 2021	TOTAL
DNP	n/a	n/a	n/a	n/a	n/a	n/a	n/a	24,939	24,632	30,631	80,202
IUCN	n/a	n/a	2,535	4,096	8,142	8,030	9,234	8,593	4,878	6,250	51,759
TRACE	n/a	n/a	20,554	47,123	15,091	14,593	35,499	12,411	6,149	n/a*	151,420
TRAFFIC	n/a	n/a	n/a	50,493	49,468	41,859	47,153	68,384	60,531	81,375	399,263
UNDP	35,957	38,256	49,308	96,250	-12,186	17,883	32,659	66,894	26,421	79,045	430,488
TOTAL	35,957	38,256	72,397	197,963	60,515	82,365	124,545	181,220	122,612	197,301	1,113,133

Entity\ Quarter	Q1 2019	Q2 2019	Q3 2019	Q4 2019	Q1 2020	Q2 2020	Q3 2020	Q4 2020	Q1 2021	Q2 2021	TOTAL
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Note:

* Documents from TRACE were missing

** Correction from Q4-2019 expenditures

136. The financial deliveries at the MTR for the Responsible Parties are 30%, 33% and 40% respectively for IUCN, TRACE and TRAFFIC. For UNDP and DNP, the combined financial delivery at MTR is 21%.

137. The project partners are to undergo Spot Check yearly, however due to the slow startup and limited activities in 2019 it was decided by UNDP to side-step the Spot Check in 2019 and include the full project period in the 2020 Spot Check which was undertaken during Q1 2021. Thus, the Spot Check covers the period from the signing of the ProDoc up until December 2020. While minor irregularities were observed these have been addressed and the status of the entities remains as determined at the time of the Micro-HATC.

Co-financing

138. The co-financing contribution realized at midterm equates to USD 10,835,204 which is 39% of the USD 27,865,167 committed at the project approval. The co-financing contributions are broken down in Table 16 below. Please do also see Annex 15

Table 16: Co-financing contribution from project partners at the project Midterm

Sources of Co-financing and Name of Co-financers	Type of Co-financing	Amount Confirmed at CEO Endorsement (USD)	Actual Amount Contributed at Stage of Midterm Review (USD)	Expected Amount by Project Closure (USD)	Actual Contribution % of Expected Amount (USD)
GEF Partner Agency					
UNDP	Grant	50,000	49,953	50,000	100%
National Government					
Department of National Parks, Wildlife and Plant Conservation of the Ministry of Natural Resources and Environment	Grant	14,539,379	4,544,000	14,539,379	31%
Natural Resources and Environmental Crime Suppression Division of the Royal Thai Police	In-kind	10,000,000	3,065,460	10,000,000	31%
Civil Society Organization					
IUCN	Grant	90,000	35,930	90,000	40%
TRAFFIC	Grant	100,000	67,223	100,000	67%
TRACE	In-kind	30,000	16,850	30,000	56%
Donor Agency					
USAID Wildlife Asia	Grant	3,000,000	3,055,788	3,055,788	100%
TOTAL		27,809,379	10,835,204	27,865,167	39%

3.3.4 Project-level Monitoring and Evaluation Systems

139. The monitoring and evaluation (M&E) plan were prepared using the standard UNDP-GEF template. The estimated cost for the implementation of the M&E plan was listed as USD 215,700 in the ProDoc which is 5.4 % of the total GEF grant. The M&E plan was presented at the project inception workshop where the project's results framework was also presented. At the inception workshop the participants accepted the results framework and its indicators set. A key aspect in connection with the results framework is that a sub-set of indicators had targets for which the baselines (and midterm and end of project targets) were to be determined during the first year of the project. However, such inclusions had not been undertaken by the time of the MTR.

140. As this lack of inclusion could be explained with the limited project activities resulting from the internal reorganization within DNP and the setting up of the Responsible Parties agreements, but that actions related to this were not undertaken subsequently is difficult to explain, and it does appear (to the MTR team) that the results framework has not been used as a management tool but rather something towards which reporting is done – not paying attention to the actual indicator requirements.

141. As one of its primary reporting tools, the project has prepared one Project Implementation Report (PIR) at the time of the MTR and the second PIR is under development (a draft report was provided to the MTR team). In the initial PIR the rating provided for the project's progress towards the Development Objective (OD) was Moderately Unsatisfactory and a rating of Moderately Unsatisfactory was provided with regards to the project's Implementation Process (IP). For the current PIR (i.e. 2021) this rating should be maintained.

142. As noted above, the project makes use of a detailed quarterly reporting system where information is collected from the individual project partners and integrated into a combined report. The reports bring together the project actions at activity level while also outline the activities to be undertaken in the following quarter. These reports are constructive and provide for a solid reference and management tool for adaptive management if used well.

143. The project's Social and Environmental Screening Procedures, as well as the project's Risk log provide a general base for risk monitoring of the project and the project environment. However, one aspect which has not been integrated is the COVID-19 pandemic and the effects it might have on project implementation as well as personnel related issues. It would therefore be advisable to revisit these documents and ensure that all relevant risks are identified and that existing risks are recategorized as needed. Initial draft thoughts of the MTR Team (for the project to consider) have been attached as Annex 10 and Annex 11.

144. For full reporting on the project's results framework please see section 3.1.2. As noted, several of the indicators have problems fulfilling the SMART criteria, which makes it difficult to assess the project in full. In this connection, it should be noted that many of the project indicators are (in terms of wording) closely aligned with the GWP indicators (please see Annex 8), which might be one reason as to why the project does not have indicators which are narrower in scope and thus better suited to the realities of the project – as well as its size.

145. The project uses a separate tracking tool, common for all of the projects under the GWP, and this tracking tool was reviewed. The project's objective sub-indicator 01 c) and the sub-indicators 2.1 i), ii) and iv) provide reporting to the project identified GWP indicators also (*i.e. # of formal agreements with local communities on wildlife monitoring and conservation established, # of wildlife/wildlife product seizures at program sites, # of investigations that lead to arrests of wildlife/wildlife products smugglers and # of prosecutions of wildlife/wildlife product smugglers*).

146. Although using a common tracking tool for the GWP, the project is set to migrate to the GEF Core Indicator framework by the time of the MTR, and the MTR Team has provided a draft suggestion (for the project to consider) for which indicators would be relevant for the project, as well as a suggestion for the indicator targets (Annex 12). The data for this has been taken from the project documentation. Currently it is suggested that the project should report on two indicators namely **GEF core indicator 4)** Area of landscapes under improved practices (excluding protected areas) (Hectares) and **GEF core indicator 11)** Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment. The GEF core indicator 11 is already in

the project's results framework and core indicator 4 is listed in the CEO Request document in section E project's target contribution to the global environment benefits.

147. Finally, it should be mentioned that two documents which should be part of the project's monitoring and reporting setup have not been prepared at the time of the MTR. These are the Gender Mainstreaming Strategy and the project's Communication Strategy. It is of the MTR Teams opinion that these documents should be prepared as a priority. Particularly the communication strategy which would be a vital tool for ensuring that the project becomes a key-stone project with high visibility both within and outside government.

3.3.5 Stakeholder Engagement and Partnerships

148. The project has a very strong focus on stakeholder engagement and the creation of ownership, by the individual stakeholders, is a central part of DNP strategy. This is most clearly seen in the great care DNP has placed in establishing the Thailand WEN committee to ensure that the right entities were included into the committee. The decision for the Thailand WEN committee membership went through two main rounds of considerations in addition to the involvement of the Project Board. Getting the committee membership right was one of the main reasons, as reported and discussed during the MTR interviews, for why the duration for its establishment was so lengthy.

149. Springing from the creation of the Thailand WEN committee, changes to the Project Board was also made, to create a better linkage between the project and the Thailand WEN and is thus, another example of DNPs interest in involving the right stakeholders in the project processes. Adding to this is DNPs wish to create Provincial WENs and provincial task forces to spearhead the on-the-ground interventions. The cross-collaboration of stakeholders in the ad hoc pangolin task force is yet another example.

150. One area, though, where stakeholder collaboration is still pending is the engagement and involvement of the local communities in the project's two demonstration sites. As noted in section 3.1.2 the project should at the time of the MTR have established a minimum of two community agreements and local stakeholders should have been participating in wildlife protection efforts outlined in local action plans.

151. Again, looking at the positive, the project has established the DRSB and the TAC which are two important structures as they not only include different government parties but also representatives from the NGO/CSO and the donor community. These two coordination bodies can play an important role in bringing parties together and preferably engage in joint engagements hereby pooling resources in efforts, which could be bigger than the sums. The MTR team believes that it would be beneficial if these bodies were to be an integrated part of the project's exit strategy to ensure long-term sustainability.

152. Further, the project has four main implementors DNP IUCN TRACE and TRAFFIC, which all have clear and clearly separated areas of responsibilities. However, this separation of activities also, in the view of the MTR Team, seems to lead to independent implementation of project activities etc. and as such has resulted in that there in essence are four different sub-projects, which the PMU are to manage. It was voiced during the MTR interviews that it could/would be beneficial if in addition to the Project Board meetings, which are more "big strokes" in nature, to have quarterly meetings between the four respective parties to ensure closer coordination and cooperation where possible. These meetings should be prior to the scheduled quarterly reporting (which contains work plans for the following quarter) so that the implementors could meet and discuss the next move according to the project roadmap and decided milestones. As a minimum, it was suggested that the UNDPs quarterly reports were shared, so as to inform the various parties of the status in the overall implementation. In this connection, it should be mentioned that currently internal formal and informal meetings within the different engaged entities in DNP are held once or twice a month.

3.3.6 Reporting

153. As noted above the project has a well-developed reporting system which includes the PIR and quarterly reports, as well as Project Board meetings and their reports. In addition, the internal UNDP reporting includes risk management and other monitoring and evaluation aspects.

154. However, while having an adequate reporting system in place, it does appear to the MTR Team, that the results of the project's reporting do not manifest themselves in adaptive management by the project as such. As noted there have been five main issues which have slowed down the project implementation. 1) the internal restructuring within DNP, 2) the onboarding of the Responsible Parties, 3) the establishment of the Thailand WEN committee, 4) the creation of a dedicated project bank account and 5) the impacts of the COVID-19 pandemic. However, the delays in project implementation, which these have caused have only to a limited extent been discussed and acted upon in an adaptive manner until now. And while, in many incidences it might have been difficult to make corrective actions, there should have been more substantial discussions among project partners on how best to move the project forward, particularly taking into consideration that the project has a fixed timeframe and that it is an ambitious project with substantial end of project deliverables. That said some of the implementing partners have tried to readjust and, for instance in connection with the COVID-19, have engaged in the use of virtual options to facilitate the execution of workshops and seminars etc. For additional insights into the project's responses to the COVID-19 pandemic, please see Annex 14

155. Regardless, the MTR provides a unique opportunity for the project to take stock and agree on how it can bring forth the bearing elements of the project to fruition.

3.3.7 Communication

156. The PMU has been involved in a subset of international and national engagements and events where they have presented the project and provided project input. These engagements have included GWP events. The project has also supported various UNDP communication efforts including the publication *Women fighting wildlife crime Celebrating women around the world who are leading the charge to protect local wildlife*³¹ featuring the WIFOS director Kanita Ouitavon.

157. In addition, under the project main "communication" component (Component 3) different campaigns have been rolled out including the Mercy is Power campaign launched during the MTR. The activities also include IWT project exhibitions, and a WAPRA 2019 posters campaign launched in December 2020. The project has also prepared some publications such as the *Situation Analysis, Illegal Wildlife Trade and Consumer Demand Reduction Efforts in Thailand* and participated in a collaboration with the UWA on the publication *Social and Behavior Change Communication (SBCC) Demand Reduction Guidebook*. Furthermore, TRAFFIC is in the process of finalizing the *Wild Meat Consumption in Thailand: A research study to explore opportunities to change wild meat consumption behavior*.

158. And while, the project is in a good position to deliver on the end of project target of 10 documentations, the MTR Team feels that the project could, and should, aim much higher to ensure that the project will be seen as a key-stone project and establish a long-lasting legacy.

159. Regarding the issue of uplifting the project to a key-stone project which has high national as well as international attention, the lack of a communication strategy is concerning. As noted, the MTR Team feel it is important that this project is successful in promoting itself, as well as in ensuring that IWT enforcement becomes more centralized with in DNP and the Government of Thailand in general. If the project's efforts, and the structures it has put in place are to be long-term sustainable it requires political backing and financial resources – either from department budgets or from outside funding sources or cost recovery mechanisms. However, support for this will most likely not materialize if little attention has been drawn to the project (i.e. if it remains under the radar). Because of this, targeted efforts should be undertaken to bring this project into the spotlight making it visible to key decision makers.

3.4 Sustainability

160. Sustainability is generally considered to be the likelihood of continued benefits after the GEF funding ends. Under the GEF criteria each sustainability dimension is critical, meaning that the overall ranking cannot be higher than the lowest one among the four assessed risk dimensions.

³¹ <https://undp-biodiversity.exposure.co/women-fighting-wildlife-crime>

3.4.1 Financial Risk to Sustainability

Financial Risk:

Likelihood that benefits will continue to be delivered after project closure: **Moderately Unlikely**

161. The project is in the process of setting up a robust system for a sustainable and long-term engagement related to IWT enforcement in Thailand. The establishment of the Thailand WEN Committee and the Thailand WEN sub-groups, the pending approval of the Provincial WENs and the strengthening of the WIFOS laboratory, as well as the expected active engagements in official joint enforcement task forces all points in this direction.

162. To obtain long-term sustainability, which is not at the mercy of ad hoc project funding, long-term financing, as mentioned earlier, needs to be ensured. As such funding will, in all likelihood, have to come from the budget, which is indeed a possibility. However, looking at the midterm reporting for outcome indicator 1.3 *increase in government funding towards wildlife law enforcement* and the reported increase of little over 1% (compared to the expected 10% at midterm) reduces the hope for government long-term support. Whether the comparatively low budgetary spending for 2020/2021 is a reflection of lack of commitment or whether it is due to the fact that government spending (across the board) has been cut with 10% to channel funds towards Thailand's COVID-19 mitigation and recovery, is not clear to the MTR team. Indications towards the latter seems to be the case, as DNP spending for 2019 and 2020 has been implied to be 11,029 and 11,345 million Baht respectively. While still not meeting the 10% midterm target it does make a substantial difference to the reported figure of 10,915 million Baht.

163. While the potential for long-term financial sustainability can be seen to be in the cards the lack of established structures and the lack of their inclusion into the government budgets at the present time leads to a level of uncertainty regarding whether such funding will be provided, particularly in light of the limited time left under the project and the time needed to effectuate the inclusion of new structures into the government budgets. Because of this the likelihood that benefits will continue to be delivered after the project closure is deemed **Moderately Unlikely**.

3.4.2 Socioeconomic Risk to Sustainability

Socioeconomic Risk:

Likelihood that benefits will continue to be delivered after project closure: **Moderately Unlikely**

164. The *Situation Analysis, Illegal Wildlife Trade and Consumer Demand Reduction Efforts in Thailand* documentation prepared by TRAFFIC under the project highlights two important aspects 1 although there has been a prolonged and active campaigning related to halting IWT in Thailand many initiatives are awareness raising efforts rather than targeting behavior change ones. and 2) the focus has been on ivory and tiger products (primarily in Bangkok) and thus many other species are still to be tackled. Further, only 3% of 1300 respondents in a wild meat consumption survey have **ever** eaten pangolin, thus indicating that the amount of the general public in Thailand who trade and/or consume wildlife products is comparatively small. Although large in absolute numbers the percentage of Thais using ivory and tiger products is approximately 2-3%. And while Thailand still is a transit country, the trafficking numbers appear to be stable (with a current decline due to border restrictions etc. in the wake of COVID-19).

165. Coupled with the revised WAPRA, which imposes tougher sanctions and penalties and the establishment of the project facilitated structures, which are to increase and effectuate joint IWT law enforcement, the pressure on perpetrators will in the coming years most likely be increased and the causal relationship between seizures, arrests and convictions will also increase as a result. Thus, continued demand reduction campaigns, public campaigning and publicizing of seizures and convictions can contribute to reducing the number of people committing acts of wrongdoing based on lack of knowledge.

166. In this regard, the potential for the Provincial WENs, with its community involvement is promising, and if successful would provide a template for other border provinces in Thailand, placing an increased pressure on the organized crime which are involved in most of the transit IWT.

167. Having the current trend in mind where use of wildlife products is becoming less and less socially acceptable coupled with the increased Government focus and the active engagement of national and international partners such as UWA, WWF, TRAFFIC and the Wildlife Conservation Society (WCS), there is reason to believe that the socioeconomic impacts from the project will continue. Although, the likelihood that benefits will continue to be delivered after the project closure is deemed **Moderately Unlikely** that the project instigated initiatives will have a marked impact on this.

168. In connection with this, though, it is important that a SBCC strategy is developed, and DNP capacity built for SBCC engagements. As noted above, the SBCC strategy should not be developed for the project, as such, but rather as a tool to direct DNP in its future efforts. This could/would include how it cooperates with partners on developing and delivering target messaging for key/targeted audiences in the future.

3.4.3 Institutional Framework and Governance Risk to Sustainability

Institutional Framework and Governance Risk:

Likelihood that benefits will continue to be delivered after project closure: **Moderately Likely**

169. As mentioned above, the project is in the process of setting up a robust system for a sustainable and long-term engagement related to IWT enforcement in Thailand. In this regard, the MTR Team believes that, provided the project increases its efforts and expedites its implementation of the key elements of the project, it will by the end of the project have a solid, and functioning, foundation in place which would ensure a consolidated and consistent engagement in IWT enforcement long-term.

170. However, as noted, this will ultimately be dependent upon that sufficient financing to the established structures is ensured. Preferably through the Government budgeting, but it could also be obtained through other means including funding through new projects from third parties.

171. With regard to the funding issue (and the sustainability of the established structures) the importance of Output 1.5 concerning economic valuation of IWT losses, and development of recommendations for cost-recovery and sustainable financing mechanisms for IWT enforcement cannot be emphasized enough and should be a project priority going forward.

172. In spite of that the financial risk was rated Moderately Unlikely, the MTR Team feel that when looking at the Institutional Framework and Governance the likelihood that benefits will continue to be delivered after the project closure is **Moderately Likely**. This mainly because many of the proposed structures currently are in the process of being established.

3.4.4 Environmental Risk to Sustainability

Environmental Risk:

Likelihood that benefits will continue to be delivered after project closure: **Moderately Likely**

173. The link between the previous risks and the Environmental risk is for this project inherited and the link with the socioeconomic risk especially. A main point in the project's Theory of Change is that with a decreased demand the pressure on globally important species would also decrease, hereby benefitting, for instance, the project target species Elephant, Rhino, Tiger and Pangolin, as well as other non-Thai CITES species.

174. With the demand in Thailand in decline, transit-trade leveling out (not taking the "dip" during the COVID-19 pandemic into account) and increased government IWT enforcement efforts, facilitated by the project, being increased it would be reasonable to expect a further decline in IWT would spring from this, hereby providing further reprieve to the project target species. This reprieve would not only result in that fewer numbers of animals of globally important species would be killed hereby increasing the species population size and genetic potential. As key stone species these animals would also play an important part in shaping the

habitats in which they live, providing for additional benefits to the environment and the biodiversity within. Because of this, the likelihood that benefits will continue to be delivered after project closure is deemed **Moderately Likely**.

4 Conclusion and Recommendations

4.1 Conclusion

175. The project has had a prolonged start up period followed by a slow project initiation which in effect has created substantial delays in the implementation of project activities and achievements in key project deliverables. The project was signed, following a cabinet approval, in November 2018, ten months after the CEO endorsement. And while the PMU was populated in the first quarter of 2019, project implementation did not begin in earnest due to and internal restructuring within DNP. Implementation during 2019 was also affected by the process of “on-boarding” the Responsible Parties, where the Responsible Parties agreements with UNDP were signed in July/August 2019. Further, the lack of a DNP dedicated bank account caused some delay although that was to some extent circumvented through UNDP’s provision of project support.

176. Following a year of “setting up”, the movement in the project activities has been apparent and has progressed at a steady pace. However, activities under several key outputs were stalled by the prolonged process of establishing the Thailand WEN committee. While it should be appreciated that the DNP, due to the importance of the Thailand WEN, wanted to get the composition of the Thailand WEN committee just right, it did delay the development of the Thailand WEN strategy, the protocol for information exchange, setting up joint enforcement initiatives at provincial level including the establishment of community agreements with local communities.

177. The work with the WIFOS laboratory, which is a vital part of the project, was complicated by the internal restructuring within DNP, where WIFOS for instance moved from the auspices of the CITES office to the Wildlife Conservation office, causing an internal staff change within WIFOS itself. The turbulence in 2019 also resulted in that it was difficult to engage in the originally planned activities and that the assigned international support was retracted in a cost-saving measure. Unfortunately, it subsequently has become impossible to re-deploy said support due to the COVID-19 pandemic and the Thai Government’s imposed travel and visa restrictions. In an adaptive management approach, work, which could be undertaken outside Thailand, has been pursued, such as work on protocols and assays. The critical work on capacitating WIFOS and ensuring that it, and its staff, meets international acceptable standards are still pending.

178. For the project main communication work different campaigns have been initiated and initial survey work undertaken. However, there seems to be a disconnect between the project stated intent and the contractual arrangements (and understanding) with the Responsible Party. This is most clearly expressed in that the project is to measure perception and attitude change in different target groups within Thailand over the course of the project (i.e. measuring how the project through its communication work and other project achievements, have caused changes in attitude surveys). As a minimum, surveys at project start and end of project should be engaged in. However, the Responsible Party agreement signed with UNDP only has a duration of 36 months, which leaves the final survey outside the purview of the Responsible Party. Complicating the matter is that the initial survey has not been engaged in so far. Thus, there is a need for the project to have a critical look at what the project wants to obtain from project’s third component, while keeping within the bounds acceptable to GEF/UNDP.

179. Although the project has had a slow start up, as well as been affected by the COVID-19 pandemic caused by government safeguards and restrictions such as lockdowns, working from home, restrictions on travel and restrictions in people gatherings etc., it has been able to bring itself into a positive position. Many of the key structures the project is to establish appear to be in the later stages of the needed approval processes, and provided such approvals are given in the near future the project will have time to operationalize them – at least to a certain extent. However, one thing is the establishment another is to ensure that they are anchored financially within an associated budget. Doing the latter will take time and there is an open question as to whether there is sufficient time under the project to ensure that this will happen. Because of this the project

should as a priority ensure that not only are the needed structures established (i.e. Thailand WEN sub-groups, Thailand WEN task forces, Provincial WENs, Community agreements), but also that financing is linked to the long-term sustainability of these, as well as WIFOS and the established coordination modalities DRSG and TAC. For all of these, long-term strategies, which extend beyond the project period, should be developed (and approved) before the end of the project, providing for a very strong exit strategy for the project, cementing the legacy of the GEF intervention and creating a lasting engagement in IWT enforcement in Thailand for the years to come.

180. Thus, the project has the potential to become a key-stone project with high visibility directing IWT enforcement in Thailand, but it requires a strong leadership and enhanced coordination, as well as expedited and consolidated efforts towards the implementation of the project remaining activities. This includes a strong and active engagement in building the capacities of the various IWT law enforcement agencies, as these entities are the ones which will bring changes to fruition on-the-ground, creating the desired change which will provide for the sought-after global environmental benefits.

181. An important part of realizing the project's potential of becoming a key-stone project, will be to build the project's communication strategy, which will have as aim to highlight and underline the importance of IWT enforcement both within the DNP and the Thai Government, but also within Thai public at large. Equally important will be to use the relevant international platforms such as Exposure and Panorama and international events such as the UN Biodiversity Conference (COP 15) in Kunming, China, to position Thailand as lead and front runner in the IWT enforcement in Southeast Asia.

4.2 Recommendations

182. **Revise the project's monitoring framework.**

- **Results framework.** The project results framework, as is, lacks project baseline data for a subset of project indicators. Also, part of the indicators do not fulfill the SMART criteria in their current form, and they could be made more SMART compliant. The revision of the results framework is important to ensure a valid end of project evaluation. (*Within three months of MTR*)
- **Risk table including the SESP.** The project should review and reassess its risk table, including the SESP, and re-evaluate the risk levels in accordance. For one, risks related to the COVID-19 pandemic need to feature stronger within said risk monitoring set-up. (*Within three months of MTR*)
- **GEF Core Indicators.** As the project is to migrate into the GEF Core Indicator system, it needs to evaluate which indicators are relevant for the project and ensure that these are included into the UNDP and GEF reporting systems. (*Within three months of MTR*)

In this regard, a project roadmap including milestones should be established and communicated with each and every implementor.

183. **Establish stronger ownership and leadership.** As the project, due to reasons discussed in this MTR report, is to be considered delayed in a subset of its activities and deliverables, there is a need to expedite and consolidate the project implementation. To ensure this, strong coordination and a stronger focus by senior management is needed. This, particularly to ensure the coordination between different departments within DNP but also in the coordination with the project's Responsible Parties. Also, for the project to be ultimately successful it needs to establish itself as a key-stone project with high visibility not least within government. This requires strong ownership and leadership within DNP, so as to champion the IWT enforcement (and the project) more broadly.

184. **Prepare an adaptive management plan to ensure that project targets and deliverables are met.** The project should review and identify how it (for its outstanding engagements) will ensure that they can be completed within the project timeframe. The review should take into account the scenario of a prolonged COVID-19 pandemic and should therefore explore how best to use available virtual solutions/alternatives. The project (including all responsible agencies) should set up a common roadmap as management guideline for

project monitoring and collective decisions in each and every quarters to ensure successful implementations. *(Within three months of MTR)*

185. **Align and determine “task managers” for the project outputs for the project duration.** As for instance the Responsible Parties agreement with UNDP are for 36 months, there is a question as to whether all ongoing and future planned activities are having assigned “task managers”. Thus, in order to “bring the project home” it will be important for the project to have a clear vision for who will be in charge of what, for the remaining part of the project. This could include no-cost extensions of the current Responsible Parties agreement, and it could include DNP taking over certain parts (or all) of the outstanding activities. *(Within three months of MTR)*

186. **Engage in realistic budget discussions.** To ensure the long-term sustainability of the project established structures long-term financing needs to be secured and active discussions and agreements for this need to be reached. As part of this alternative financing models and budget reallocations should be reviewed. Part of these discussions could/should include the findings of project’s TSA work as well as other work the project is still to initiate.

187. **Prepare documentation supporting decision makers.** To facilitate the discussions and subsequent agreement on the financing of the long-term operations of the project established structures, the project should as a priority build upon the economic assessment of the losses attributable to IWT affecting the national economy and discuss realistic suggestion for how IWT enforcement can be sustainably financed through government channels and cost-recovery. The project should also prepare various policy briefs and thematic papers in support of the discussion making processes.

188. **Prepare project exit strategy and sustainability plans for established project structures and initiatives.** As part of this the project should prepare “Operational Requirements” documents for the project established structures (i.e. Thailand WEN including its sub-groups, task forces, and the Provincial WENs etc. as well as the established coordination modalities DRSG and TAC). These “Operational Requirements” documents should contain the main information including staffing requirements, annual running costs etc. needed for running and maintaining the individual project structures long-term. These and other documents should be put forth for the relevant planning and decision makers within the Thai Government.

189. **Expedite the development and implementation of the project’s capacity building efforts.** The capacity building of IWT law enforcement staff and units is a vital central element of the project and increased efforts in providing well developed trainings (at central and provincial levels) are of key importance (something which is well described in the ProDoc). In this regard, the project should consider options for how training could become more accessible and systematic for instance in making training materials and videos etc. available online (potential via a secure system). The project should also tap into already established trainings (and materials) including those within the GWP “ecosystem”, as well as those within the overall UNDP system.

190. **Ensure accreditation of WIFOS.** While an ISO 17025 accreditation, due to its prolonged accreditation process and cost, might not be a realistic avenue for the project, it should as a minimum pursue the SWFS auditing/assessments which is to be renewed every second year. Further, an “Operational Requirements” document should be developed outlining the operational setup of WIFOS and the associated cost etc. for running said operations of the laboratory long-term. Moreover, for long-term sustainability, DNP should ensure that the team of scientists working at WIFOS have a secure career path.

191. **Enhance IWT enforcement in the project’s border provinces.** Successfully piloting a provincial system including a Provincial WEN and an effective community engagement is an important linchpin for the project as having a “roll-out” template would be an important step towards a scaling up of the project’s efforts in other border provinces in Thailand. As Thailand is an important transit country for IWT halting or decreasing said transit would be of value and would place an increased pressure on the organized crime which is involved in most of the transit IWT. While the project focuses on the needed provincial efforts for an effective engagement at the border crossings and the surrounding areas, including active involvement of local communities, it should also look into how the project’s local activities could support (or benefit from) the ongoing SDG localization efforts. The project should thus, together with UNDP look at, whether and/or how the two project provinces could become targets for expanded interventions now or in the future.

192. **Develop a fit for purpose communication strategy.** Linked with other recommendations the project needs to develop a communication strategy, which can help DNP in bringing the message of the importance of IWT enforcement to light. As noted, this strategy is different from the work under the project's Component 3, as this strategy should provide guidance on how to "sell" the need for increased efforts to support the long-term IWT work in Thailand. The strategy should also outline how the project will make the best use of the available platforms such as Exposure and Panorama, as well as how to promote the project and Thailand's IWT enforcement work internationally for instance through the UN Biodiversity Conference (COP 15) in Kunming, China, as well as relevant forums within ASEAN. As such the project has a unique opportunity to assist Thailand to establish itself as a leader in IWT enforcement within Southeast Asia. Part of this will be related to "getting the word out" internationally. "Getting the word out" internationally would also positively influence the national agenda and decision-making processes as DNP work would be highly publicized. (*Within three months of MTR*).

193. **Review Responsible Party Agreements between IUCN/TRACE/TRAFFIC and UNDP.** With the respective Responsible Party Agreements signed between and the three international NGOs IUCN, TRACE and TRAFFIC all expiring at the mid of 2022, it would be relevant to have a critical look at whether the occurred delays in implementation can be successfully managed within the provided timeframe. It is also recommended that the Responsible Party Agreements and their intend are held up against the intend of the overall project to identify how the key aspects of the project could be successfully managed via the Responsible Party Agreements. Finally, and as noted, there is a clear gap between the end date of the Responsible Party Agreements and the end date of the project which is in November 2023. While in principle this might not constitute an issue for a range of activities and deliverables it might impact how the project will be managing needed "end of project surveys" which will provide data relevant for the project's indicators.

5 Annexes

ANNEX 1: List of Documentation obtained at the time of the Inception Report for the Mid-term Review of the project

01	Project Document Framework for the Global Wildlife Program
02	PIMS 5619 Thailand IWT Initiation Plan
03	PIMS 5619 Thailand IWT Project Document
04	PIMS 5619 Thailand IWT GEF CEO Request
05	PIMS 5619 Thailand IWT Inception report
06	UNDP Country program Thailand 2017-2021
07	PIMS 5619 Thailand IWT Social Environment Screening Procedures
08	Global Wildlife Program Tracking Tool
09	PIMS 5619 Thailand IWT Project Site Map
10	PIMS 5619 Thailand IWT Project Board Meeting Minutes (2019-2021)
11	PIMS 5619 Thailand IWT Project Monitoring Report (Nongkhai 1-3 Dec 2020)
12	Quarterly Reports (2019-2021)
13	PIMS 5619 Thailand IWT 2020 PIR and 2021 draft PIR
14	PIMS 5619 Thailand Co-financing Letters
15	Project Document: Strengthening environmental sustainability in the context of COVID-19 pandemic
16	PIMS 5619 Thailand IWT Responsible Parties Agreements (IUCN, TRACE and TRAFFIC)
17	Partner Capacity Assessment Tool (TRACE and TRAFFIC)
18	UNODC In Depth Technical Assessment TRACE
19	HACT Micro Assessments (IUCN, TRACE and TRAFFIC)
20	Final Spot Check Reports for DNP, IUCN, TRACE and TRAFFIC
21	Project FACE and CDRs
22	List of Thailand Wen membership
23	Lists of Project Board Committee (Original 2018 and Revision 2020)
24	Beyond COVID19 Response Towards 2030 UNDP Thailand
25	UNDP Thailand COVID-19 Brochure
26	United Nations Response to COVID-19 UN Country Team Thailand
27	USAID Wildlife Asia Fact Sheet May 2020
28	USAID Wildlife Asia Counter wildlife trafficking digest: Southeast Asia and China, 2020 Issue IV, May 2021
29	Social and behavior change communication (SBCC) demand reductions Guidebook
30	ICCWC Thailand Final Report
31	PIMS 5619 Thailand Project Brief
32	Thailand IWT <i>Targeted Scenario Analysis (TSA)</i> Inception Report
33	Thailand IWT <i>Targeted Scenario Analysis (TSA) on illegal wildlife trade in Thailand</i> draft report
34	Development of an electronic directory of laboratories that conform to a defined minimum standard for conducting wildlife forensic testing
35	SWFS Standards and Guidelines Version 3
36	SWFS Newsletter (February 2020)
37	Situation analysis A focus on Ivory, Rhino horn, Tiger and Pangolins situation analysis illegal wildlife trade and consumption demand reduction efforts in Thailand (TRAFFIC)
38	Training report Online market monitoring (TRAFFIC)
39	Wild meat <i>Consumption in Thailand</i> draft report (TRAFFIC - ZSL GlobeScan)
40	Offline and In the Wild-Coalition 2020 Progress Report (TRAFFIC)
41	Thailand Formative Research on Ivory and Tiger (UWA)

Annex 2: Agreed list of stakeholders to be consulted during the MTR and planned interview schedules.**Department of National Parks, Wildlife and Plant Conservation (DNP)**

- Mr. Thanya Netithammakun, Director General
- Dr. Runghapha Pattanaviboon, Deputy Director General,
- Director of Wildlife Conservation Office
- Director of CITES
- Director of Wildlife Check point bureau
- Dr. Kanita Ouitavorn, Director of Wildlife Forensic Center
- Mr. Manop Lauprasert (IWT Senior Advisor)
- Dr. Ronasit Maneesia (IWT Project Co-manager)
- Head of Wildlife Check point, Nongkai Province (DNP)
- Head of Wildlife Check point Songkha province (DNP)

Responsible Parties

- Stephen Watson, TRAFFIC | Senior Specialist, Behaviour Change
- Gayle Burgess, TRAFFIC | Behavioural Change Programme Leader
- Dararat Weerapong, TRAFFIC | Senior Project Manager
- Dr. Ross Ross McEwing, Director TRACE Wildlife Forensics Network
- Mr. Scott Perkin, Head, Natural Resources Group; IUCN Asia Regional Office
- Ms. Siriporn Sriaram, Acting Head of Office, IUCN Thailand
- Mr. Pratheep Mekatitam, IWT Project Officer, IUCN Thailand Programme

IWT Partners

- Dr. Anak Pattanaviboon WCS, Director Thailand Country Program
- Mr. Peter Collier, Chief of Party: USAID Wildlife Asia Programme
- Mr. Jedsada Taweekarn, IWT Programme, WWF Thailand

Undertaken interview sessions.

Date	Time and persons to be interviewed	Time and persons to be interviewed
July 09 2021	09:30-10:30 – Meeting with UNDP Team Mr. Gabriel Jaramillo , Regional Technical Specialist for Ecosystem and Biodiversity, UNDP-GEF gabriel.jaramillo@undp.org Mr. Saengroj Srisawaskraisorn Programme Specialist/Team Leader, IGSD Unit, UNDP Thailand saengroj.srisawaskraisorn@undp.org Venue: Zoom online meeting	10:30-12:00 Interview with IWT Project Manager and Project Assistant Mr. Rattaphon Pitakthepsombat , IWT Project Manager rattaphon.pitakthepsombat@undp.org Ms. Rattiya Songkhramwongsakul , IWT Project Assistant rattiya.songkhramwongsakul@undp.org Venue: Zoom online meeting
July 13 2021	09:30-12:00 Interview with CEO of DNP – Focus overview of project implementation and administration 09:30-10:00 Dr. Runghapha Pattanaviboon , Deputy Director-General runghapha2004@gmail.com <i>(This meeting involves translation)</i> 10:30-11:00 Mr. Sompong Thongseekem , Director Wildlife Conservation Office 04pongth@gmail.com <i>(This meeting involves translation)</i>	13:00-14:30 Interview with IWT Project Co-Manager Dr Ronasit Maneesai – Focus on project output 1.1 Thailand Wildlife Enforcement Network (Thailand WEN) ronytectona@yahoo.com 15:00-16:00 Interview with Former IWT Senior Advisor Mr. Manop Lauprasert malauprasert@yahoo.com

	<p>11:30-12:00 Mr. Prasert Sornsathapornkul, Director Division of Wild Fauna Flora Protection prasert2507@yahoo.com (This meeting involves translation)</p> <p>Venue: Zoom online meeting</p>	Venue: Zoom online meeting
July 14 2021	<p>09:00-10:00 Interview with IWT data base unit</p> <p>Mr. Pollawee Buchakiet, Forest Technical Officer Head of IWT data base unit. Focus on project 1.2 – IWT Wildlife Crime database management best practices. polawee@hotmail.com (This meeting involves translation)</p> <p>10:30-12:00 Interview with Wildlife Forensic Science Center</p> <p>Dr. Kanita Ouithavon, Director Wildlife Forensic Science Center – Focus on activity 2.1.2, 2.3.2 and 2.3.3 on Wildlife Forensic implementation activities. kanita.ouitavon@gmail.com</p> <p>Venue: Zoom online meeting</p>	<p>13:30-14:30 Interview with Wild Hawk task force and CWT Promotion and Development Unit</p> <p>Mr. Thiradej Palasuwan Head of Wild Hawk task force and CWT Promotion and Development Unit – Focus on project output 2.1 Capacity building “Wildlife Crime investigation technique for law enforcement. tectona2552@gmail.com (This meeting involves translation)</p> <p>15:00-16:00 Interview with Project Demo-site team: Focus on project output 1.3 – Pilot an integrated approach on Wildlife Crime at demo-site level. (This meeting involves translation)</p> <p>Mr. Nuwat Leelapatta, Director Wildlife Inspection Subsection nuwat1963@gmail.com Mr. Pathum Phongsakornfuangfu, Head of Sadoa Wildlife Check point bew_web26@hotmail.com Mr. Parsit Puttabucha, Head of Nongkai Wildlife Check point kung_27nk@hotmail.com</p> <p>Venue: Zoom online meeting</p>
July 15 2021	<p>10:00-12:00 Interview with WCS Thailand</p> <p>Dr. Anak Pattanaviboon WCS Director Thailand Country Program- Focus on IWT electronic case data base information sharing management, and project partnership/collaboration on law enforcement training activities. anakp@wcs.org</p> <p>Venue: Zoom online meeting</p>	<p>15:00-16:30 Interview with TRACE</p> <p>Dr. Ross McEwing Director TRACE Wildlife Forensic Network – Focus on output 1.4, 2.2 and 2.3 supporting WIFOS DNA technique to DNP project activities. ross.mcewing@tracenetwork.org</p> <p>Venue: Zoom online meeting</p>
July 16 2021	<p>10:00-12:00 Interview with IUCN</p> <p>Project implementation team on the project activities 4.1.5 and 4.1.6 Knowledge management through technical advisory consortium (TAC) platform and forum for engaging government INGOs and other partners.</p> <p>Scott Perkin, Head Natural Resources Group, IUCN Asia Regional Office Scott.PERKIN@iucn.org Siriporn Sriaram, Acting Head of Office, IUCN Thailand Siriporn.Sriaram@iucn.org Pratheep Makatitam, IWT project officer, IUCN Thailand Program Pratheep.Makatitam@iucn.org</p> <p>Venue: Zoom online meeting</p>	<p>14:00-16:00 Interview with TRAFFIC</p> <p>Project implementation team on the project output 1.2 IWT Market survey and Outcome 3 IWT Demand Reduction activities</p> <p>Mr. Stephen Watson, TRAFFIC Senior Specialist Behaviour Change stephen.watson@traffic.org Gayle Burgess, TRAFFIC Behavioural Change Programme Leader gayle.burgess@traffic.org Dararat Weerapong, TRAFFIC Senior Project Manager dararat.weerapong@traffic.org</p> <p>Venue: Zoom online meeting</p>
July 19 2021	<p>10:00-10:30 Interview with USAID Wildlife Asia</p> <p>Mr. Peter Collier Chief of Party USAID Wildlife Asia Programme – Focus on project collaboration and partnership with USAID Wildlife Asia Programme pcollier@usaidwildlifeasia.org</p>	<p>14:00-14:30 Interview with WWF Thailand</p> <p>Mr. Jedsada Taweekan IWT Program WWE Thailand – Focus on project collaboration and partnership jedsada.taweekan@wwfgreatermekong.org</p>

	Venue: Zoom online meeting	Venue: Zoom online meeting
July 20		15:00-17:30 Follow-up interview with Mr. Rattaphon Pitaktheptsombat , IWT Project Manager rattaphon.pitaktheptsombat@undp.org Venue: Zoom online meeting
July 21	11:00-12:00 Interview with UNDP finance. Ranjita Mohanty ranjita.mohanty@undp.org Areerat Chabada areerat.chabada@undp.org Rattiya Songkhramwongsakul rattiya.songkhramwongsakul@undp.org Venue: Zoom online meeting	
July 26		21:30-22:15 Interview with Lisa Farroway (former RTA of the GEF-6 IWT Thailand project) Lisa Farroway lfarroway@worldbank.org Venue: SKYPE online meeting
August 02 2020	09:30-12:00 MTR Team presents initial findings to UNDP Country Office management team Renaud Meyer UNDP Resident Representative renaud.meyer@undp.org Lovita Ramguttee UNDP Deputy Resident Representative lovita.ramguttee@undp.org Ranjita Mohanty ranjita.mohanty@undp.org Areerat Chabada areerat.chabada@undp.org Gabriel Jaramillo UNDP Regional Technical Advisor gabriel.jaramillo@undp.org Rattaphon Pitaktheptsombat IWT Project Manager rattaphon.pitaktheptsombat@undp.org Rattiya Songkhramwongsakul IWT Project Assistant rattiya.songkhramwongsakul@undp.org Somaya Bunchorntavakul somaya.bunchorntavakul@undp.org Venue: Zoom online meeting	
		14:00-16:00 MTR Team presents initial findings to Office Project Management Unit and DNP Mr. Rattaphon Pitaktheptsombat , IWT Project Manager rattaphon.pitaktheptsombat@undp.org Ms. Rattiya Songkhramwongsakul , IWT Project Assistant rattiya.songkhramwongsakul@undp.org Dr. Rungnapar Pattanavibool , Deputy Director-General rungnapar2004@gmail.com Mr. Sompong Thongseekem , Director Wildlife Conservation Office 04pongt@gmail.com Mr. Prasert Sornsathapornkul , Director Division of Wild Fauna Flora Protection prasert2507@yahoo.com Dr Ronasit Maneesai – PMU Co-manager ronytectona@yahoo.com Mr. Manop Lauprasert (for4mer Senior Advisor) mLauprasert@yahoo.com Mr. Pollawee Buchakiet , Forest Technical Officer Head of IWT data base unit. polawee@hotmail.com Dr. Kanita Ouitavon (WIFOS) kanita.ouitavon@gmail.com Mr. Thiradej Palasuwan Head of Wild Hawk task force and CWT Promotion and Development Unit tectona2552@gmail.com

	<p>Mr. Pathum Phongsakornfuangfu, Head of Sadoa Wildlife Check point bew_web26@hotmail.com Mr. Parsit Puttabucha, Head of Nongkai Wildlife Check point kung_27nk@hotmail.com</p> <p>Venue: Zoom online meeting</p>
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Annex 3: Midterm Review Evaluative Matrix

Evaluation theme	Questions	Sources	Methodology
Project Strategy			
Project Design:	To what extent is the project suited to local and national development priorities and policies?	National development strategies, sector plans, medium term development plan, project document	Desk review, interviews
Project Design:	To what extent is the project in line with GEF operational programs?	GEF focal area strategies, project design, PIR reports	Desk review, interviews
Project Design:	To what extent are the objectives and design of the project supporting environment and development priorities?	UNPDF, UNDP CPD, multilateral environmental agreements, etc.	Desk review, interviews
Project Design:	Does the project design remain relevant in generating global environmental benefits?	GEF strategies, national and subnational development plans, PIF, project document, CEO endorsement request, reviews, PIRs	Desk review, interviews
Results Framework:	Does the results framework fulfil SMART criteria and sufficiently captures the added value of the project?	Strategic results framework, tracking tools, inception report, PIRs	Desk review, interviews
Results Frameworks:	What changes could be made (if any) to the design of the project in order to improve the achievement of the project's expected results?	SMART analysis of results framework, current national and local development strategies	Desk review, interviews
Mainstreaming	How are broader development objectives are represented in the project design?	Project document, social and environmental screening procedure, gender action plan, work plans for community activities, training records, monitoring reports of community activities, Project Board meeting minutes, stakeholder feedback during MTR review	Desk review, interviews
Progress towards results			
Progress towards Outcomes Analysis:	Has the project been effective in achieving the expected outcomes and objective?	PIRs, self-assessment reports by PMU, annual reports, monitoring reports, output level deliverables, midterm tracking tool, stakeholder feedback during MTR mission	Desk review, interviews
Progress towards results:	To what extent has the project increased institutional capacity towards integrated and joint engagements for combatting illegal wildlife trade?	Progress reports, national and local development strategies, budget allocations, etc.	Desk review, interviews.

Evaluation theme	Questions	Sources	Methodology
Progress towards results:	How has the project been able to influence stakeholder's attitude and purchasing behavior towards illegal wildlife products?	Progress reports, national and local development strategies, increased level of awareness	Desk review, interviews
Risk management:	What were the risks involved and to what extent were they managed?	Project document, risk log, progress reports	Desk review, interviews
Lessons learned:	What lessons have been learned from the project regarding achievement of outcomes?	Progress reports, lessons learned reports, back-to-office reports	Desk review, interviews
Remaining Barriers to Achieving the Project Objective:	How are the project output addressing key barriers?	PIRs, annual reports, project steering committee meeting minutes, stakeholder feedback during MTR review	Desk review, interviews
Project implementation and adaptive management			
Management Arrangements, GEF Partner Agency:	How were lessons learned on other projects incorporated into project implementation?	PIRs, project steering committee meeting minutes, audit reports, feedback obtained during MTR review	Desk review, interviews
Management Arrangements, Executing	How effective has adaptive management been, e.g., in response to	PIRs, project steering committee meetings, feedback obtained during MTR review	Desk reviews, interviews
Agency/Implementing Partner:	recommendations raised by Project Board?		
Work Planning:	Are milestones within annual work plans consistent with indicators in strategic results framework.	Project document, multi-year work plan, annual work plans, PIRs, financial expenditure reports, feedback obtained during MTR review	Desk review, interviews
Finance and Co-finance:	How efficient has financial delivery been?	Financial expenditure reports, combined delivery reports, audit reports, project steering committee meeting minutes, PIRs, midterm co-financing report, feedback obtained during MTR review	Desk review, interviews
Cost-effectiveness:	How cost-effective have the project interventions been?	Analysis of progress towards results, financial delivery	Desk review, interviews
Project-level Monitoring and Evaluation Systems:	How timely has implementation of adaptive management measures been?	PIRs, midterm tracking tools, monitoring reports, annual progress reports, self-assessment reports by PMU, project steering committee meeting minutes, feedback obtained during MTR review	Desk review, interviews
Stakeholder Engagement:	How inclusive and proactive has stakeholder involvement been?	Stakeholder involvement plan in the project document, meeting minutes, records of exchange visits,	Desk review, interviews

Evaluation theme	Questions	Sources	Methodology
		stakeholder feedback obtained during MTR review	
Partnership Arrangements:	How effective have partnership arrangements been?	Partnership agreements, contracts, progress reports, co-financing realized	Desk review, interviews
Local Capacity Utilized:	Has the project efficiently utilized local capacity in implementation?	Contracts, financial expenditure records, progress reports	Desk review, interviews
Reporting:	Adaptive management measures implemented in response to recommendations recorded in PIRs.	PIRs, annual progress reports, midterm tracking tools, output level project deliverables, feedback obtained during MTR review	Desk review, interviews
Communication:	Project information is effectively managed and disseminated.	Internet and social media, press releases, media reports, statistics on awareness campaigns, evidence of changes in behavior, feedback obtained during MTR review	Desk review, interviews
Sustainability			
Risk Management:	How timely has delivery of project outputs been?	Project document, risk logs, PIRs, Project Board meeting minutes, feedback during MTR mission	Desk review, interviews
Lessons Learned:	What lessons can be drawn regarding sustainability of project results, and what changes could be made (if any) to the design of the project in order to improve sustainability of project results?	Progress reports, monitoring and evaluation reports, feedback from stakeholders, current national and local development strategies and sector plans	Desk review, interviews
Financial Risks to Sustainability:	<p>How has the project addressed financial and economic sustainability?</p> <p>Are recurrent costs sustainable after project closure?</p> <p>What evidence is available that demonstrates budget allocations have been or will be made to sustain project results?</p>	Budget allocations, progress reports, government publications	Desk review, interviews
Socioeconomic Risks to Sustainability:	<p>What incentives are in place or under development to sustain socioeconomic benefits?</p> <p>What evidence is available that demonstrates capacities and resilience of</p>	Project outputs realized, progress reports	Desk review, interviews

Evaluation theme	Questions	Sources	Methodology
	local communities have been strengthened?		
Institutional Framework and Governance Risks to Sustainability:	How have management plans and other approaches promoted by the project	Tracking tool, training records, evidence of policy reform, governance platform records	Desk review, interviews
Progress towards impact			
Environmental stress reduction	What evidence is available that demonstrates progress towards environmental stress reduction?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews
Environmental status change	What evidence is available that demonstrates progress towards environmental status change?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews
Community well-being	What evidence is available that demonstrates progress towards improving community well-being?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews
Policies	What evidence is available that demonstrates progress towards changes in policies?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews
Governance mechanisms	What evidence is available that demonstrates progress towards changes in governance mechanisms?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews
Capacities	What evidence is available that demonstrates progress towards changes in capacities?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews
Unintended consequences	What unintended consequences have occurred?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews

Annex 4: Developed questionnaire survey for the Project Board

<https://www.surveymonkey.com/r/2C7CD2C>

English	Thai
Project Board Survey	แบบสอบถามคณะกรรมการบริหารโครงการ
In your opinion how effective is the project's strategy to achieve intended results? 0=Not at all, 5=Very much so	ท่านคิดว่ากลยุทธ์การดำเนินงานของโครงการนี้มีประสิทธิภาพเพียงใดในการบรรลุผลลัพธ์ที่กำหนดไว้ 0 = ไม่, 5 = มากที่สุด
In your opinion to what extent is the project responding to the national priorities and context? 0=Not at all, 5=Very much so.	โครงการนี้สอดคล้องกับบริบทและนโยบายสำคัญของประเทศมากน้อยเพียงใด 0 = ไม่, 5 = มากที่สุด
In your opinion are the roles and responsibilities of UNDP, Implementing Partner (DNP) and the responsible Parties (IUCN, TRAFFIC and TRACE) clear and functioning well? 0=Not at all, 5=Very much so.	ท่านคิดว่าการกำหนดบทบาทหน้าที่และความรับผิดชอบของภาคส่วนต่างๆที่เกี่ยวข้อง (อาทิ UNDP, TRAFFIC และ TRACE) นั้นมีความชัดเจนมากน้อยเพียงใด 0 = ไม่, 5 = มากที่สุด
In your opinion does the project management team implement the project in accordance with the Project Board's guidance and decisions? 0=Not at all, 5=Very much so.	ท่านคิดว่าทีมผู้จัดการโครงการได้ปฏิบัติตามแนวทางและผลการตัดสินใจของคณะกรรมการบริหารโครงการอย่างเหมาะสมหรือไม่ เพียงใด 0 = ไม่, 5 = มากที่สุด
Does the Project Board play a central role in directing project implementation and management? 0=Not at all, 5=Very much so.	ท่านคิดว่าคณะกรรมการบริหารโครงการมีบทบาทในการกำกับหรือชี้นำการจัดการและการปฏิบัติงานตามแผนโครงการได้มากน้อยเพียงใด 0 = ไม่, 5 = มากที่สุด
In your opinion has the project experienced any delays since project initiation? 0=Not at all, 5=Very much so.	ท่านพบว่าการปฏิบัติงานตามโครงการนี้มีความล่าช้าเกิดขึ้นมากน้อยเพียงใด 0 = ไม่, 5 = มากที่สุด
Is the project's financial management data reported sufficiently to the Project Board for the Board to make decisions on? 0=Not at all, 5=Very much so.	การรายงานข้อมูลด้านการบริหารงบประมาณของโครงการมีความเหมาะสมและเพียงพอต่อการตัดสินใจของท่านมากน้อยเพียงใด 0 = ไม่, 5 = มากที่สุด
Do you feel that the project's reporting to the Project Board is sufficient for the Board to review the project and make decisions? 0=Not at all, 5=Very much so.	การนำเสนอรายงานของโครงการมีความเหมาะสมและเพียงพอต่อการทบทวนและการตัดสินใจของท่านมากน้อยเพียงใด 0 = ไม่, 5 = มากที่สุด
To what extent do you feel that the results expected at project mid-term (now) have been achieved under project outcomes? 0=Not at all, 5=Very much so.	ท่านคิดว่าการดำเนินงานสามารถบรรลุผลตามที่คาดหวังให้เกิดขึ้นในช่วงครึ่งอายุของโครงการ ได้มากน้อยเพียงใด 0 = ไม่, 5 = มากที่สุด
In addition to supervising the project, does the existence of the Project Board help facilitate cross-sector collaboration in connection with Thailand WEN? 0=Not at all, 5=Very much so.	คณะกรรมการบริหารโครงการมีส่วนเสริมสร้างความร่วมมือของ Thailand WEN ได้มากน้อยเพียงใด 0 = ไม่, 5 = มากที่สุด

Annex 5: Developed questionnaire survey for the Thailand WEN Committee

<https://www.surveymonkey.com/r/QQ23STF>

Thailand WEN survey	
Is illegal wildlife trade an issue in Thailand? 0=Not at all, 5=Very much so.	ท่านคิดว่าการค้าสัตว์ป่าที่ผิดกฎหมายเป็นประเด็นที่มีความสำคัญสำหรับประเทศไทยมากน้อยเพียงใด 0 = ไม่, 5 = มากที่สุด
Is Thailand WEN an important structure for combatting illegal wildlife trade? 0=Not at all, 5=Very much so.	ท่านคิดว่า Thailand WEN เป็นโครงสร้างที่มีความสำคัญในการต่อต้านการค้าสัตว์ป่าที่ผิดกฎหมายมากน้อยเพียงใด 0 = ไม่, 5 = มากที่สุด
Will Thailand WEN play a critical role in coordinating different agencies in joint actions towards combatting illegal wildlife trade? 0=Not at all, 5=Very much so.	ท่านคิดว่า Thailand WEN จะสามารถแสดงบทบาทในการประสานความร่วมมือระหว่างภาคส่วนต่างๆเพื่อต่อต้านการค้าสัตว์ป่าที่ผิดกฎหมายได้มากน้อยเพียงใด 0 = ไม่, 5 = มากที่สุด
Can Thailand WEN help increase the government's engagement in combatting illegal wildlife trade in Thailand? 0=Not at all, 5=Very much so.	ท่านคิดว่า Thailand WEN จะสามารถสนับสนุนให้ภาครัฐมีส่วนร่วมในการต่อต้านการค้าสัตว์ป่าที่ผิดกฎหมายได้มากน้อยเพียงใด 0 = ไม่, 5 = มากที่สุด
In the past, has your organization/ department/ division, etc. been working jointly with other organizations/ departments/ divisions, etc. on combatting illegal wildlife trade in Thailand? 0=Not at all, 5=Very much so.	ที่ผ่านมาองค์กรของท่านมีส่วนร่วมกับภาคส่วนต่างๆมากน้อยเพียงใดในการต่อต้านการค้าสัตว์ป่าที่ผิดกฎหมาย 0 = ไม่, 5 = มากที่สุด
Thailand WEN is a national structure for cooperation and coordination in illegal wildlife trade law enforcement. Do you believe that it would be important to have similar coordinated efforts in Thailand's border provinces? 0=Not at all, 5=Very much so.	ที่ผ่านมาองค์กรของท่านมีส่วนร่วมกับภาคส่วนต่างๆมากน้อยเพียงใดในการต่อต้านการค้าสัตว์ป่าที่ผิดกฎหมาย 0 = ไม่, 5 = มากที่สุด
How important do you believe the capacity building on law enforcement methodologies, principles, and tools is needed in your organization/ department/ division, etc.? 0=Not at all, 5=Very much so.	ท่านคิดว่า การเสริมสร้างสมรรถนะในการบังคับใช้กฎหมายรวมทั้งหลักการและเครื่องมือต่างๆนั้นมีความจำเป็นต่อหน่วยงานของท่านมากน้อยเพียงใด 0 = ไม่, 5 = มากที่สุด
How important for joint actions towards combatting illegal wildlife trade do you believe sharing of information is? 0=Not at all, 5=Very much so.	ในความร่วมมือระหว่างภาคส่วนต่างๆเพื่อต่อต้านการค้าสัตว์ป่าที่ผิดกฎหมายนั้น ท่านคิดว่า การแลกเปลี่ยนข้อมูลมีความสำคัญมากน้อยเพียงใด 0 = ไม่, 5 = มากที่สุด
Do you believe that sharing of information is best done via a common information collection and information sharing system (which has agreed with rules for what information can be shared etc.)? 0=Not at all, 5=Very much so.	ท่านเห็นด้วยมากน้อยเพียงใดว่า การแลกเปลี่ยนข้อมูลสามารถกระทำได้อย่างมีประสิทธิภาพเมื่อผ่านช่องทางที่ได้ตกลงกัน พร้อมทั้งมีข้อกำหนดร่วมกันเกี่ยวกับระดับของข้อมูลที่จะแลกเปลี่ยน 0 = ไม่, 5 = มากที่สุด

Annex 6: Websites and Facebook pages in Thai on Illegal Wildlife Trade

Official FB of the IWT Office <ul style="list-style-type: none"> On-going communications among individuals and concerned parties 	https://www.facebook.com/IWTGEF6.TH/
DNP Portal contain huge amount of information including <ul style="list-style-type: none"> Ivory management system in Thailand Online courses for the officials at check points Electronic Info exchange on import/export/transit according to CITES Database on wildlife in Thailand etc.. Links to other related agencies Feedback, complain, and inform on corruptions 	http://portal.dnp.go.th/
DNP-Portal on Combatting WT	http://portal.dnp.go.th/Content/citesdnp?contentId=1721
DNP Intranet <ul style="list-style-type: none"> Procedure for permission granting on import/export/transit of wildlife and products according to CITES Related laws and regulations Reporting and complain system etc.. 	https://www.dnp.go.th/main_intranet.asp
DNP on FB <ul style="list-style-type: none"> activities and interactions between responsible agencies and individuals related to wildlife all over the country 	https://www.facebook.com/DNP1362/
DNP on Twitter <ul style="list-style-type: none"> activities and interactions between responsible agencies and individuals related to wildlife all over the country various rooms for interest groups e.g. bird watcher, wildlife photography 	https://twitter.com/pr_prdnp?lang=en
DNP website as an integral part of the e-government system	https://www.egov.go.th/th/government-agency/38/
Sample of NEWS via major publisher <ul style="list-style-type: none"> The Permanent Secretary of MONRE led the first meeting of Thailand WEN and to officially established the committee members according to GEF-6 Project (21 Dec. 2020) 	https://www.thairath.co.th/news/local/1998605
<ul style="list-style-type: none"> News on launching of the IWT Project – a DNP and UNDP cooperation to combat WT (06/12/2018) 	https://greennews.agency/?p=18256
Sample of NEWS from other related agencies <ul style="list-style-type: none"> WILDAID 	https://www.tcijthai.com/news/2021/3/scoop/11477
<ul style="list-style-type: none"> WWF 	https://www.wwf.or.th/our_work_th/wildlife_th/copy_of_the_illegal_wildlife_trade_project_16092019_0932/
<ul style="list-style-type: none"> TRAFFIC 	https://www.traffic.org/site/assets/files/8846/dnp-traffic_press_release_thai.pdf
USAID Wildlife Asia	https://www.usaidwildlifeasia.org/
Wildlife Conservation Society Thailand	https://thailand.wcs.org/

Annex 7: Brief outline of key events within UNDP and DNP which has affected project implementation.

with the aims to address why nobody could tell the background story of this project?

Time	GEF	UNDP	DNP	PMU
Time period prior to the project approval		UNDP has supported many activities of DNP including on the GEF-5 project. UNDP has the lead for the formulation process of the GEF-6 IWT Thailand project	DNP has worked with UNDP on many activities including the GEF-5 project. DNP was the national lead for the formulation process of the GEF-6 IWT Thailand project	Dr. Ronasit Maneesai (the current DNP co-Manager) is among the founder of Thailand-WEN and took part on development of the GEF-6 IWT Thailand project concept and the project document. Prior to project approval he was assigned to take position at provincial level. Many of the senior staff involved in the GEF-6 IWT Thailand development process are now retired.
2018	GEF Endorsed the GEF-6 IWT Thailand in January 2018		Council (Thai Government) approval of the GEF-6 IWT Thailand project document was provided (timing not established)	
			Government decision (14 Aug 2018) assigns DNP to work with UNDP on Combatting IWT	
			18 October: DNP established <i>IWT</i> PMU under CITES Office	- The CITES Office Director assumes the roles as Project Director A Project Co-manager ³² was recruited from the Division of National Park
			The Project Board was established in December 2018	The recruitment process for the PMU staff was initiated
2019		UNDP assign Mr. Manop to become project advisor		The recruitment process for the PMU staff was completed by April 2019. All staff are under UNDP contracts including UNDP assign Mr. Manop (Senior Advisor)
				The Director of CITES Office retired in September 2019 The PMU Co-manager also retired in September 2019
		UNDP engages in the process of developing Responsible Parties agreement with IUCN/TRACE/TRAFFIC including undertaking		

³² The recruitment process according to the suitable rank of hierarchy (holding C8 for at least 4 years) and could communicate in English. By that time, the rank of Dr. Ronasit is not high enough to take the leading position of this project.

Time	GEF	UNDP	DNP	PMU
		PCAT and micro-HATC. Agreements signed in July/August 2019		
			Internal Restructure of DNP Dr. Rungnapar Pattanavibool becomes Deputy Director-General in October 2019 and is placed in charge of the IWT Project as well as the concerned offices (CITES and Wildlife Conservation)	Mr. Prasert Sornsathanpornkul become Director of CITES Office in October 2019. A Division Interim PMU Co-manager was recruited from the Division of National Park in October/December
		Mr. Manop informs UNDP informs UNDP about the slow startup and internal restructuring issues within DNP UNDP brings the issue up with DNP.		
2020			<u><i>Another Step of Development</i></u> <i>In February 2020 the Office on Illegal Wildlife Trade was established as a transitional unit towards an official integral part of DNP structure in long-term.</i> The main responsibilities: 1. Promote Thailand WEN 2. Support CITES 3. Manage GEF 6 project (IWT) 4. Responsible for urgent issues e.g., pandemic of COVID 19 The director of Wildlife Conservation Office (Sompong Thongseekem) (who has the hierarchy of C9) become an acting director of the new office as well as an Acting Director of the IWT project. Dr. Ronasith Maneesai become the Manager of the Office as well as Co-manager of IWT Project and Head of Thailand WEN section.	In February a new PMU (the third) Co-manager C was assigned to lead the project under the new Office. The new Co-manager was Dr. Ronasit Maneesai There, where the project gain momentum: - Restarted management system of the project from limited remaining resources and information - The project bank account established - The Project Board and The Steering Committee established - Thailand-WEN and Taskforces established At this point, the project seems to get ready for the move. Then, COVID 19 plays crucial roles onto implementation of project activities
2021		Lisa Farroway the GEF-6 IWT Thailand RTA left UNDP regional office in February 2021 and		

Time	GEF	UNDP	DNP	PMU
		Gabriel Jaramillo, took over the project		
		Mr. Saengroj Srisawaskraisorn, Team Leader, IGSD Unit, and Ms. Napaporn Yuberk left UNDP in June 2021		

Note:

- Thanya Netithammakul is the Director General of DNP (from very beginning of the project until present, and will most likely remain so for some more years)
- Dr. Ronasit Maneesai (Project Co-manager) is the **CORE** to success of this project. Fortunately, he has good connection with the top management of DNP (DG, DDG, Director of Key Divisions). He also has extended network with multi-stakeholders in Thailand and ASEAN.

Annex 8. Contribution of Project Components to GEF Global Wildlife Program Outcomes

Child Project Components	Relevant GWP Components ³³	Relevant GWP Outcome	Relevant GWP GEF Indicators and Targets	Project Contribution to GWP Outcomes
1. Improved Cooperation, Coordination and Information Exchange	Component 2. Reduce Wildlife Trafficking	Outcome 4: Enhanced institutional capacity to fight trans-national organized wildlife crime by supporting initiatives that target enforcement along the entire illegal supply chain of threatened wildlife and products	4.2: Increase in number of dedicated wildlife law enforcement coordination mechanisms 4.3: Increase in number of multi-disciplinary and/or multi-jurisdictional intelligence-led enforcement operations 4.4: Increase in the proportion of seizures that result in arrests, prosecutions, and convictions	By strengthening inter-agency cooperation, coordination and information exchange for IWT law enforcement, the project will support the rapidly improving national legal and regulatory framework with much stronger and more effective intelligence based enforcement and forensic analysis. This will build on the Thailand WEN mechanism for inter-agency cooperation and coordination, including support to neighbouring countries on transboundary IWT enforcement and forensic science. Regular monitoring of physical/online market availability of CITES-listed species in Thailand will be conducted. It will also support the development of national wildlife crime information and intelligence exchanges network, case management database for DNP and integration / upgrading of online CITES species registration and e-permitting procedures. This will act as an increased deterrent to criminals involved in the IWT and contribute significantly to global efforts (GWP Outcome 4).
2. Enhanced Enforcement and Prosecution Capacity	Component 2. Reduce Wildlife Trafficking	Outcome 4: Enhanced institutional capacity to fight trans-national organized wildlife crime by supporting initiatives that target enforcement along the entire illegal supply chain of threatened wildlife and products	4.4: Increase in the proportion of seizures that result in arrests, prosecutions, and convictions	Through substantial inputs to training in order to address key skills gaps for IWT enforcement officers and prosecution service and building the capacity of the DNP WIFOS laboratory to conduct DNA forensics analysis and provide evidence for cases related to elephants, tigers, rhinoceros, pangolins and other CITES-listed species, this component will result in significantly enhanced institutional capacity to fight trans-national organized wildlife crime across the entire illegal supply chain of threatened wildlife and products (GWP Outcome 4).
3. Reduced Demand for Illegal Wildlife Products and Targeted Awareness Actions to Support Law Enforcement	Component 3. Reduce Wildlife Trafficking	Outcome 5: Reduction of demand from key consumer countries	5.1: Measurable positive change in knowledge, attitudes, and practice (KAP) towards consumption of targeted illegal wildlife products (compared to baseline) 5.2: Increased number of awareness campaigns for target groups to educate them on the negative impacts of illegal wildlife trade for global environment, security, and development	This component will directly seek to reduce demand for key species products within the Thai market, specifically for illegally sourced ivory, and tiger products. As such it will contribute directly towards GWP Outcome 5. Overall, the project will work with ongoing SBCC initiatives to avoid duplication/ build on opportunities for further social mobilisation, around the issue deliver positive changes in KAP towards consumption of targeted illegal wildlife products. This will include a strong focus on changing the social norms associated with the use of illegal wildlife products. It will also seek to reinforce enforcement efforts by building awareness of existing and upcoming

³³ Note: Project contributions to Component 1 of GWP come from the 'sister' UNDP/GEF 5 project on *Strengthening Capacity and Incentive for Wildlife Conservation in the Western Forest Complex*, with DNP, therefore this project does not have a focus on this GWP Component.

			5.3: Reduction in the number of markets/shops/on-line retailers selling illegal wildlife products (disaggregated) compared to baseline	legislation and enforcement actions taken against IWT, to reduce illegal trafficking of wildlife through Thailand as a transit country.
4. Knowledge Management, M&E and Gender Mainstreaming	<u>Component 4.</u> Knowledge, Policy Dialogue and Coordination	<u>Outcome 6:</u> Improved coordination among program stakeholders and other partners, including donors	6.2: Program monitoring system successfully developed and deployed 6.3: Use of a knowledge exchange platform to support program stakeholders	This component closely links with and underpins the other three, by supporting the sharing of knowledge, experiences and lessons learned through project implementation with project stakeholders, the wider public in Thailand, and also globally through the GEF Global Wildlife Program.

Annex 9: Progress Towards Results Matrix

Objective: To reduce the trafficking of wildlife (focusing on elephant ivory, rhinoceros horn, tiger and pangolins) in Thailand through enhanced enforcement capacity and collaboration and targeted behaviour change campaigns						
Indicator	Baseline	Planned Midterm target	Status at midterm	PMU Self-assessment	MTR assessment	MTR rating comment
Date	2018	2021	2021			
0.1: Number of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystem services, chemicals and waste at national and/or sub-national level, disaggregated by partnership type (IRRF Output 1.3, indicator 1.3.1) (GWP TT – 0.1 c)	<p>3</p> <p>a) Thailand WEN functioning, but lacks operational task forces, engagement of all key national stakeholders, and sustainable financing; Forest Protection Operation Centre formed April 2017;</p> <p>b) inter-agency collaboration on IWT at subnational level is ad hoc and not strategic;</p> <p>c) lack of civil society engagement at local level</p>	<p>3</p> <p>a) Thailand WEN's organizational structure includes mandates for operational task forces;</p> <p>b) Joint Operational Partnerships (DNP, NED Police, Customs, Immigration, Quarantine, other agencies as needed) for demonstration areas in Nongkhai Province and Sadao District;</p> <p>c) at least 2 community agreements on wildlife protection established</p>	<p>1</p> <p>a) Thailand WEN's organizational structure established.</p> <p>b) 0 Joint Operational provincial Partnerships</p> <p>c) 0 community agreements</p>	<p>Perceived midterm status:</p> <p>a) Thailand WEN's organizational structure including 3 sub-working groups established and one task forces has informally been established.</p> <p>PMU assessment:</p> <p>a) Midterm result on Thailand WEN's organizational structure includes mandates for operational task force <u>was achieved (On track)</u></p> <p>Proposed future management action:</p> <p>a) DNP need to conduct the Thailand WEN strategic planning workshop as soon as possible (by Q4 2021)</p> <p>Perceived midterm status:</p> <p>b) Joint Operational Partnerships (DNP, NED Police, Customs, Immigration, Quarantine, other agencies as needed) for demonstration areas in Nongkhai Province and Sadao District has not been undertaken as of yet</p> <p>PMU assessment:</p> <p>b) Midterm target on Joint Operational Partnerships for demonstration areas in Nongkhai Province and Sadao District <u>was not achieved (Off track)</u></p> <p>Proposed future management action:</p> <p>b) DNP need to accelerate the process of establishing joint task force with both provincial governors through the Natural Resources and</p>	<p>not on target</p>	<p>For Objective Indicator 0.1 which is divided into three separate sub-targets the project is not on target. Related to the sub-target a) the Thailand WEN has been established as has three identified sub-groups. Said sub-groups obtained MNER approval on 18 August 2021. In addition, only one task force (on Pangolin) is currently operational, ad-hoc, as the sub-groups have just been officially. Hence, the project is yet to meet the midterm target for sub-target a). For the sub-targets b) and c) the current limited engagement in the provincial demonstration sites has not resulted in any joint operational partnerships nor in any established community agreements, and the midterm targets of established joint operational partnerships (in each of the two provinces) and at least 2 community agreements have therefore not been met.</p>

		involving NEV-Net ³⁴		<p>Environment provincial office which has been prepared all documented since Q1 2021.</p> <p>Perceived midterm status: c) No community agreements on wildlife protection involving NEV-Net established so far.</p> <p>PMU assessment: c) Midterm target on 2 communities' agreements on wildlife protection established involving NEV-Net <u>was not achieved</u> (Off track)</p> <p>Proposed future management action: c) DNP need to accelerate implementing project activities which already planned with both communities by Q4 2021</p>		
<p>0.2: Number of direct project beneficiaries:</p> <p>- Number of government agency staff including enforcement officers who improved their knowledge and skills on IWT due to the project (m/f)</p> <p>- Number of local community members participating in wildlife protection efforts</p>	0	400 (40% female)	94 (15 female-16%)	<p>Perceived midterm status: There were 175(47 female) government officers have been improved knowledge and skills on IWT through a series of innovative analytical information intelligence database and analytical software (IBM i2) training workshops so far</p> <p>PMU assessment: Midterm target on the number of government agency staff who improved their knowledge and skills on IWT due to the project improved <u>has been in progress but not achieved in target</u></p> <p>Proposed future management action: DNP need to accelerate implementing project activities which has already planned with both communities by Q4 2021</p>	not on target	<p>Regarding Objective Indicator 0.2, which consist of two sub-indicators the first indicator related to the capacity building of government staff is not on target as 94 people, of which 47 were female, has received training out of a planned midterm target of 400 people trained, of which 160 would be women. The sub-indicator related to the number of community members participating in wildlife protection efforts, the project, as noted above, is still to establish local community agreements, thus the project is not on target for this indicator. In connection with this indicator, it is important to note that number of people trained is meant to infer the number of capacitated individuals and not the trainings' accumulative numbers. For instance, for the i2 IBM trainings each training had 45 participants, but these 45 participants partook in both trainings and thus the number of</p>
	0	50 (50% female)	0	<p>Perceived midterm status: No capacity building activity have been undertaken with local community member as of yet.</p> <p>PMU assessment:</p>	not on target	

³⁴ The Natural Resources and Environmental Protection Volunteer Network under MNRE's regulation on Village Natural Resources and Environmental Protection Volunteers (NEV) B.E.2558 (2015). The network has been established in all districts throughout Thailand.

				<p>Midterm target on the number of community members participating in wildlife protection efforts <u>was not achieved</u> (Off track)</p> <p>Proposed future management action: DNP need to accelerate implementing project activities which has already planned with both communities by Q4 2021</p>		different people capacitated is 45 and not 90.
<p>0.3: Strengthened institutional capacity to combat IWT as indicated by the ICCWC Indicator Framework (note – baselines to be determined in year 1) - National indicator targets for monitoring drawn from ICCWC Indicator Framework baseline assessment</p>	<p>i) ICCWC Indicator Framework – Baseline scores TBD - No national IWT indicators</p>	<p>i) No Midterm ICCWC Indicator Framework Assessment - National indicators defined and targets set in Year 2 for subsequent monitoring</p>	<p>2 National indicators for monitoring identified.</p>	<p>Perceived midterm status: Two National indicators have defined and set for subsequent monitoring 1. Wildlife crime is thoroughly investigated using an intelligence-led approach 2. Specialized investigation techniques are used to combat wildlife crimes as required</p> <p>PMU assessment: Midterm target on National indicators defined and targets set in Year 2 for subsequent monitoring <u>was achieved</u> (On track)</p> <p>Proposed future management action: DNP need to present the result of ICCWC indicator framework and set of selected ICCWC indicator to the TH-WEN sub-committee to seek agreement and endorsement for the joint operation. (by Q42021)</p>	marginally on target	<p>Objective Indicator 0.3 can be seen as being marginally on target. The ICCWC Indicator Framework assessment workshop was held in September 2019 and indicators were identified and scored. In addition, DNP identified two ICCWC Indicators which the project is to monitor and evaluate as part of its project indicator set. However, it should be noted that while the indicators have been identified the actual targets (baseline, midterm and end of project) have not been agreed to at the time of the MTR. It is thus of the MTR team's opinion that the project takes steps to 1) identify the mentioned targets 2) obtain technical clearance from UNDP on the validity of the indicators (and their targets) and 3) obtain Project Board approval for including the indicators in the project results framework.</p>
Outcome 1: Strengthened wildlife crime institutional framework through increased coordination, cooperation and information exchange behavior change campaigns						
Indicator	Baseline	Planned Midterm target	Status at midterm	PMU Self-assessment	MTR assessment	MTR rating comment
Date	2018	2021	2021			
<p>1.1: Annual number of joint IWT enforcement operations informed by intelligence and information exchange</p>	<p>Annual number of joint IWT enforcement operations in 2016-17: 16 (4 ivory, 2 rhino horn, 10</p>	<p>Baseline +10%</p>	<p>1</p>	<p>Perceived midterm status: Only 1 joint IWT enforcement between DNP ,NED on Pangolin operation case has been undertaken</p> <p>PMU assessment: Midterm target on the annual number of joint IWT enforcement operations <u>was not achieved</u>.</p> <p>Proposed future management action:</p>	not on target	<p>For Outcome 1 Indicator 1.1, the indicator is to capture the increase in joint IWT enforcement operations in general and not only those stemming from the Thailand WEN established task forces, which is what has been reported on for the MTR. However, it should be noted that the baseline data was collected as part of an earlier ICCWC process, and it has been expected that</p>

				<i>DNP need to set up the joint IWT enforcement operation through TH-WEN committee structure as sub-committee as soon as possible (by Q4 2021)</i>		future reporting (i.e. midterm and end of project) would be collected through the Thailand WEN sub-groups and task forces members. However, as the sub-groups were only officially established on 18 August 2021 and there is only one ad hoc task force at present, the PMU has not been in a position to officially collect the relevant midterm data. However, while the PMU have not been able to officially collect the as the relevant task forces have not been established, it could have collected this information informally through the various DNP entities and combined with the actual reporting of 1 annual joint IWT enforcement operations a rating of not on target has therefore been given.
1.2: Thailand WEN's coordination effectiveness improved as indicated/measured by: a) Agreed strategy and action plan for Thailand WEN;	a) No strategy and action plan for Thailand WEN;	a) Agreed strategy and action plan;	a) 0	Perceived midterm status: a) No Agreed strategy and action plan PMU assessment: a) Midterm target on the strategy and action plan for Thailand WEN <u>was not achieved.</u> Proposed future management action: a) DNP need to conduct the Thailand WEN strategic planning workshop as soon as possible (by Q4 2021)	not on target	Outcome indicator 1.2 consists of three sub-indicators. Sub-indicator a) relates to the development of the Thailand WEN strategy and action plan and as it has not been developed at the time of the MTR the project is thus not on target . For sub-indicator b) the project is on target in connection with the preparation of a formal mechanism for exchanging information and intelligence, as the project at midterm have, as planned, prepared a draft for said mechanism, which currently awaits review by the Thailand WEN Committee. With regard to sub-indicator c) which relates to the development of a reporting mechanism for the strategy and action plan it is directly linked with the development of said strategy. Hence, the project is not on track for this sub-indicator as the midterm directions provided in the results framework states that the mechanism should provide "at least partial feedback" at the time of MTR.
b) Agreed formal mechanism for exchanging information and intelligence in TWEN; c) Reporting mechanism against strategy / action plans to evaluate performance	b) No formal mechanism for exchanging information and intelligence;	b) Draft formal mechanism for exchanging information and intelligence;	b) 0	Perceived midterm status: b) No draft formal mechanism for exchanging information and intelligence have been established so far PMU assessment: b) Midterm target on agreed formal mechanism for exchanging information and intelligence in TWEN <u>was not achieved.</u> Proposed future management action: b) The formal mechanism for exchanging information and intelligence need to address	on target	

				during the strategic planning and agreement on this need to complete by Q1 2022		
	c) No reporting mechanism linked to a strategy and action plan for TWEN	c) Reporting mechanism for strategy and action plan provides at least partial feedback	c) 0	<p>Perceived midterm status: c) Reporting mechanism for strategy and action plan has not been established as of yet.</p> <p>PMU assessment: c) Midterm target on Reporting mechanism against Thailand strategy / action plans to evaluate performance <u>was not achieved.</u></p> <p>Proposed future management action: c)) Reporting mechanism for strategy and action plan need to address during the strategic planning and agreement on this need to completed by Q1 2022</p>	not on target	
1.3: Increase in government funding towards wildlife law enforcement	DNP total budget for 2016 was 10,725.7421 million Baht; 2017 was 10,823.8870 million Baht.	Baseline +10%	1.01 % increase (i.e. 10,915.45 million Bath)	<p>Perceived midterm status: DNP total budget for 2021 was 10,915.45 million Bath</p> <p>PMU assessment: Midterm target on increasing in government funding toward wildlife law enforcement <u>has been in progress but not achieved target only 1.76% of annual funding has increased from the baseline</u></p> <p>Proposed future management action: TSA result on the policy brief on increasing funding scenario to increase efficiency of better IWT operation need to present to DNP and seek endorsement from decision making by Q4 2021</p>	not on target	With regard to outcome indicator 1.3 the results framework provides two baseline figures (i.e. 2016 and 2017). For the MTR, the MTR team has used the 2017 data in its review. Regardless, whether the 2016 or the 2017 data is used the midterm target has not been met (not on target), as the annual government funding towards wildlife law enforcement through DNP during the budget year 2020/2021 ³⁵ was 10,915 million Bath constituting and increase of 1.01% (up from 10,824 million Baht in 2017), which is below the anticipated increase of 10% by project midterm. In this connection, it should be noted that DNP spending for 2019 and 2020 has been implied to be 11,029 and 11,345 million Baht respectively, which constitutes 1.9 and 4.8% over the baseline. Although still not meeting the 10% midterm target it does make a substantial difference to the reported figure of 10,915 million Baht. The MTR Team have not been

³⁵ The budget year in Thailand runs from September to August.

						able to ascertain whether the comparatively low budgetary spending for 2020/2021 is due to the fact that government spending (across the board) has been cut with 10% to channel funds towards Thailand's COVID-19 mitigation and recovery, or there are other reasons for the relatively "lower" spending.
Outcome 2: Effective Detection and Deterrence of Illegal Wildlife Trafficking as a result of Enhanced Capacity in Enforcement and the Criminal Justice System						
Indicator	Baseline	Planned Midterm target	Status at midterm	PMU Self-assessment	MTR assessment	MTR rating comment
Date	2018	2021	2021			
2.1: Increase in number of successful cases (seizure-arrest-prosecution-conviction) involving wildlife criminals dealing in ivory, rhino horn, pangolins and tiger, and their parts and derivatives. (GWP TT) i) annual number of seizures ii) annual number of arrests iii) ratio of seizures: arrests iv) annual number of prosecutions	<i>Official national statistics on seizures, arrests and prosecutions for Baseline in 2016*:</i> i): 6 (8.15kg ivory, 427 head/3052 kg pangolins) *Baseline to be updated with 2017 data during inception phase	<i>Official national statistics on seizures, arrests and prosecutions³⁶</i> – i) >10% increase in seizures over baseline	i) 9	Perceived midterm status: i) 9 (412.35kg ivory, 427head/6417kg pangolins, 14-unit Rhino horn and 2 Tiger Illegal captive breeding) PMU assessment: i) 50% increase in seizures over baseline: <i>(Achieved)</i> Proposed future management action: See below	on target	For Outcome 2 indicator 2.1 it consists of five sub-indicators of which three are interrelated. However as reported above there are some conceptual problems with this indicator, which makes it difficult to work with, as well as evaluate. For sub-indicator i) the project is on target at the time of the MTR and has actually exceeded the end of project target of an increase >25% (and increase >1.6 seizures). The sub-indicator ii) is also on target and exceeds the end of project target of an increase >25% (and increase >0.25 arrests). As noted previously the midterm and end of project targets does not meet the SMART criteria and the project should consider revising the indicator/sub-indicators. Sub-indicator iii) has reached the planned midterm target of 3:1 ration between seizures and arrests and is thus on target and sub-indicator vi) has with its 1 noted prosecution exceeded the planned midterm target of an increase of 10%.
	ii) 1	ii) >10% increase in no. arrests	ii) 3	Perceived midterm status: ii) 3 (2 pangolin scale, 1 pangolin, 2 tiger illegal captive breeding) PMU assessment:	on target	

³⁶ Note – the expected trend would be initial increase in seizures/arrests and prosecutions as enforcement is strengthened, followed by an eventual decrease as increased awareness and deterrence take effect. The timeline for this process is unclear, but the latter stages are likely to occur after the end of the project

v) ratio of arrests: prosecutions				<i>ii) 200% increase in no. arrested over baseline: (Achieved)</i> Proposed future management action: See below		However, as noted above a 10% increase of 0 is 0 making the sub-indicator non-SMART compliant. Nonetheless the indicator could be seen as being on target . Finally, sub-indicator v) is on target , but as noted for the current project the arrests and the prosecution are related to different cases/seizures.
	iii) 6:1	iii) 3:1	iii) 3:1	Perceived midterm status: 9:1 PMU assessment: <i>iii) The ratio of seizures: arrests have decreased to 9:1 (Not achieved)</i> Proposed future management action: See below	on target	
	iv) 0	iv) >10% increase in no. prosecutions	iv) 1	Perceived midterm status: <i>iv) 1 (Rhino horn) DNP provide information to AMLO and proceed successfully to the office attorney general with complete</i> PMU assessment: <i>iv) 100% increase in no. prosecutions: (Achieved)</i> Proposed future management action: See below	on target	
	v) 0	v) 3:1	v) 3:1	Perceived midterm status: v) 2:1 PMU assessment: <i>v) The ratio of arrests: prosecutions has increased to 2:1 (Achieved)</i> Proposed future management action: <i>Under TH-WEN committee the sharing information on the Wildlife crime intelligence , seizure arrests need to reach an official agreement on using the common platform (i2) and start sharing on those information : lead by DNP by Q2 2022</i>	on target	
2.2: Increase in DNP's institutional capacity to respond to IWT as indicated by the UNDP Capacity	UNDP CD Scorecard Baseline Score for DNP: 58.33 %	Baseline + 10%	UNDP CDSC not undertaken at Midterm.	Perceived midterm status: No measurement in DNP's institutional capacity to respond to IWT using UNDP CD Scorecard as of yet PMU assessment:	not on target	Outcome indicator 2.2 is not on target as a midterm capacity building assessment has not been perform at the time of the MTR. As the project, at the time of the MTR, had engaged in limited capacity building activities and,

Development Scorecard				<p>Delay in conducting UNDP CD Scorecard due to the Covid-19 pandemic situation (Not achieved)</p> <p>Proposed future management action: PMU need to facilitate DNP focal point persons to conduct the second UNDP CD Scorecard by Q4 2021</p>		because of that, it has been perceived that little change in the capacity building scores would have occurred. Hence, in a cost-saving effort the midterm capacity building assessment were not undertaken.
<p>2.3: DNP wildlife forensic science laboratory accredited under ISO17025 Quality Management System for components of its wildlife DNA forensic testing to align with International Standards and ensure legally admissible evidence for prosecutions in Thailand.</p>	Baseline – DNP wildlife forensic science laboratory is not internationally accredited	DNP wildlife forensic science laboratory and staff capacity increased in line with the Standards and guidelines prepared by the Society of Wildlife Forensic Sciences	0	<p>Perceived midterm status: Standard and guideline to increase DNP wildlife forensic science laboratory and staff capacity has not undertaken as of yet.</p> <p>PMU assessment: Midterm target on the DNP wildlife forensic science laboratory and staff capacity increased in line with the Standards and guidelines prepared by the Society of Wildlife Forensic Sciences was not achieved (Off track)</p> <p>Proposed future management action: TRACE and DNP need to have an official agreement / strategic plan on DNP wildlife forensic science laboratory accredited under ISO17025 Quality Management System for components of its wildlife DNA forensic testing to align with International Standards and ensure by Q4 2021</p> <p>-PMU need to arrange the formal discussion among DNP and TRACE to find the possible solution, action plan to implement activities which pending so far by Q4 2021</p>	not on target	<p>Outcome indicator 2.3 is not on target. While the SWFS standards has been prepared and the SOP is under preparation efforts towards capacitating staff and raising the WIFOS laboratory capabilities enabling it to pass an accreditation is still pending. While the laboratory and staff capacity are not currently in line with the Standards and guidelines prepared by the SWFS, these could reportedly be in place within three to six months after trainings and equipment is in place. The current delay is in part related to the COVID-19 restrictions and in part due to lack of needed agreement with DNP.</p>
Outcome 3: Social norms and consumer behaviour in key target audiences move towards increased unacceptability of trafficking and purchasing illegal wildlife products						
Indicator	Baseline	Planned Midterm target	Status at midterm	PMU Self-assessment	MTR assessment	MTR rating comment
Date	2018	2021	2021			
<p>3.1: Increased awareness of key target groups concerning Thai laws and penalties</p>	Baseline: to be established in Year 1, including confirmation	Mid Term Target: to be established in Year 1, including	Mid-term targets and end of project targets not established,	<p>Perceived midterm status: Mid-term targets and end of project targets not established, and target groups not defined</p> <p>PMU assessment:</p>	not on target	For all of the three Outcome indicators (i.e. 3.1, 3.2 and 3.3) it is not possible to evaluate to what extent the project has met its midterm targets, because the project baselines, midterm targets

<i>imposed for IWT including the proposed WARPA reforms, as indicated by systematic assessments using a standardized methodology</i>	<i>of target groups, key questions and assessment methodology</i>	<i>confirmation of target groups, key questions and assessment methodology</i>	<i>and target groups not defined.</i>	<p><i>The project is in the process of establishing these targets among other using the UWA documentation and methodology</i></p> <p><i>However, the project also developed a set of digital posters on “The key message on Illegal Wildlife Trade” concerning levels of penalty under the new Wildlife Animal Reservation and Protection Act 2020. A set of key visuals was first released in Q3/2020. They were shared/presented in various platforms and events. Additional versions were developed in Chinese and English to reach non-Thai speaking visitors to Thailand. in partnership Even without any purchased media, the WARPA digital posters were disseminated through communication channels of DNP, UNDP and partner organisations. By end of 2020, there were 1,779 reactions (like, sad, love, angry), 55 comments, and 240 shares on social media. In all meetings and media interviews,</i></p> <p><i>In conclusion ; Midterm target on awareness target group concerning Thai laws and penalties imposed for IWT <u>has been in progress</u></i></p> <p>Proposed future management action: <i>The baseline for 3.1 3.2 and 3.3 need to get official approve from Project board and RTA by Q3 2021.</i></p>		and end of project targets have not been established as they should have been (as per the ProDoc) during the first year of the project. And even though suggestions to use data from work done by, among other, UWA in 2018 as the baseline for the three indicators ³⁷ , midterm assessments using UWA methodologies and target groups have, at the time of the MTR, not been performed. Because of this the MTR team feels that with regards to the Outcome indicators the project is not on target on indicator 3.1, 3.2 or 3.3.
3.2: <i>Change in social norms concerning the acceptability of trafficking, buying,</i>	<i>Baseline: to be established in Year 1, including confirmation</i>	<i>Mid Term Target: to be established in Year 1, including</i>	<i>Mid-term targets and end of project targets not established,</i>	<p>Perceived midterm status: <i>Mid-term targets and end of project targets not established, and target groups not defined.</i></p> <p>PMU assessment:</p>	not on target	

³⁷ Baseline for Indicator 3.1: a) eight out of 10 (80%) Thais are not aware that trade of ivory from domesticated elephants are legal; b) eight percent (8%) think that ivory from Africa is legal; c) three out of 10 (30%) Thais believe that it is legal to trade in tiger parts if the tiger is domesticated; and d) nine percent (9%) believe it is legal if the tiger parts come from other countries – Derived from UWA in 2018. Baseline for Indicator 3.2: 32% of Thai urban population consume wildmeat during the past 12 month – derived from GlobeScan research commissioned by TRAFFIC and ZSL in 2021. Baseline for Indicator 3.3: a) 2% of general Thai population purchases Ivory products; and b) 1% of general Thai population purchase tiger products - Derived from UWA in 2018.

possessing and using illegal wildlife products and derivatives as indicated by systematic assessments using a standardized methodology	of target groups, key questions, desired social and behavioural change and assessment methodology	confirmation of target groups, key messages and desired social and behavioural change	and target groups not defined.	<p>The project is in the process of establishing these targets among other using the (GlobeScan research commissioned by TRAFFIC and ZSL, 2021) documentation and methodology</p> <p>However, the project (TRAFFIC and ZSL) have jointly developed a call for proposal to conduct a formative research on wildmeat consumption in Thailand was developed and released to research agencies. Through a systematic selection process, GlobeScan was selected. A research (qualitative and quantitative phases) started in Q1/2021 and to be finalised late Q2-beginning of Q3/2021. Research findings will inform the development of DR campaign to tackle wildmeat consumption in Thailand in late Q3 to Q4/2021.</p> <p>In conclusion : Midterm target on the one campaign targeting demand reduction for wildmeat consumption developed <u>has been in progress</u></p> <p>Proposed future management action: The baseline for 3.1 3.2 and 3.3 need to get official approve from Project board and RTA by Q3 2021.</p>		
3.3 Change in purchasing behaviour of key target groups regarding illegal wildlife products and derivatives as indicated by systematic assessments using a standardized methodology	Baseline: to be established in Year 1, including confirmation of target groups, key questions, desired social and behavioural change and assessment methodology	Mid Term Target: to be established in Year 1, including confirmation of target groups, key messages and desired social and behavioural change	Mid-term targets and end of project targets not established, and target groups not defined.	<p>Perceived midterm status: Mid-term targets and end of project targets not established, and target groups not defined</p> <p>PMU assessment: The project is in the process of establishing these targets among other using the UWA documentation and methodology</p> <p>However the project (TRAFFIC) call for proposal to develop a campaign to reduce demand for ivory and tiger products targeting spiritual reasons (amulets) was developed and sent to creative agencies. Through a fair selection</p>	not on target	

				<p>process involving DRS member, Masket Communications was selected to conduct this campaign. The campaign concept, strategy and materials were developed in Q1-Q2/2021. It's planned to be launched in July 2021. Campaign materials include key visuals, three short videos and pledging website. The campaign will involve social media influencers and celebrities as messengers.</p> <p>In conclusion: Midterm target on develop one campaign targeting tiger and ivory consumption for spiritual belief developed <u>has been in progress</u></p> <p>Proposed future management action: The baseline for 3.1 3.2 and 3.3 need to get official approve from Project board and RTA by Q3 2021.</p>		
Outcome 4: Implementation, upscaling and replication of project approaches at national and international levels are supported by effective knowledge management and gender mainstreaming						
Indicator	Baseline	Planned Midterm target	Status at midterm	PMU Self-assessment	MTR assessment	MTR rating comment
Date	2018	2021	2021			
4.1: number of project lessons documented and disseminated to other national and international projects.	0	At least 5 project lessons documented and disseminated to other national and international projects	<p>4</p> <p>a) PMU-DNP disseminated the full ICCWC national indicator framework report to IWT network agencies and Thailand WEN committee member on Q1 2020</p>	<p>Perceived midterm status:</p> <p>a) PMU-DNP disseminated the full ICCWC national indicator framework report to IWT network agencies and Thailand WEN committee member on Q1 2020</p> <p>b) PMU-DNP contribute the case study / story of the Women fighting wildlife crime story to UNDP Ecosystem and Biodiversity Using Science and forensics to facilitate change in Combating IWT in Thailand led by Dr.Kanita Ouitavorn : Director of DNP-Wildlife Forensic Science Center</p> <p>c) Together with DNP and relevant IWT partners, Project distributed and communicated IWT project exhibition and key visual WAPRA 2019 posters information through a 2020 World Wildlife Conservation day public event on 26 December 2020 at the DNP</p>	marginally on target	For Outcome indicator 4.1 the project is marginally on target as it has produced (or close to finalizing) 4 project lessons documented out of an anticipated 5. However, the prepared documents do not reach the planned 5 and the documents prepared are not lessons learned documents per se. That said, the prepared documents provide for important information valuable to share. The four documents are 1) Social and behavior change communication (SBCC) demand reduction guidebook (collaboration with UWA); 2) A focus on Ivory, Rhino horn, Tiger and Pangolins situation analysis illegal wildlife trade and consumption demand reduction efforts in Thailand; 3) Wild Meat

				<p>PMU assessment: <i>Midterm target on project lesson documented and disseminated to other national and international projects <u>has been in progress but not achieved the target</u></i></p> <p>Proposed future management action: <i>PMU need to develop the project communication action plan through different online platform: website , lines , other social medias by Q4 2021</i></p>		<p><i>Consumption in Thailand; 4) Targeted Scenario Analysis (TSA) on illegal wildlife trade in Thailand. The project has, in addition, reported two additional items under this indicator namely 1) PMU-DNP contribute the case study / story of the Women fighting wildlife crime story to UNDP Ecosystem and Biodiversity Using Science and forensics to facilitate change in Combating IWT in Thailand led by Dr.Kanita Ouitavorn : Director of DNP-Wildlife Forensic Science Center, and 2) Together with DNP and relevant IWT partners, the project distributed and communicated IWT project exhibition and key visual WAPRA 2019 posters information through a 2020 World Wildlife Conservation day public event on 26 December 2020 at the DNP.</i></p>
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Annex 10: Revised Social and Environmental Screening Template (for consideration)

The Project's Social and Environment Screening was reviewed as part of the MTR, and the MTR Team has provided its reflections (for the projects consideration) in the current annex. The reflection has been highlighted in yellow for ease of reference. The provided reflections should not be seen as instructions for change but merely comments made by external observers which could be considered by the project's management team as appropriate and as relevant for the project circumstances.

Project Information

Project Information	
1. Project Title	Combating Illegal Wildlife Trade, focusing on Ivory, Rhino Horn, Tiger and Pangolins in Thailand
2. Project Number	5619
3. Location (Global/Region/Country)	Thailand

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability**QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?**

Briefly describe in the space below how the Project mainstreams the human-rights based approach

The project will contribute towards the safeguarding of wildlife resources that may be used sustainably by rural communities in parts of Asia and Africa, through efforts in Thailand towards the reduction of illegal trafficking of wildlife species and their products, reducing demand and raising awareness of the negative impacts of such illegal trade. The Asian market for wildlife products that are derived from endangered species is fueling the poaching crisis in Africa especially, with the numbers of rhinos, elephants and pangolins being poached soaring in the last few years. In Asia itself, the number of tigers and pangolins are dwindling as a result of the illegal wildlife trade (as well as a plethora of other species including birds, turtles, lizards and marine life). This unlawful trade and poaching of wildlife is depriving local communities of their right to use local wildlife resources for their own benefit and potential income. Once these species have been extirpated, such communities have no opportunity to enter into legal trade or to develop tourism products based on wildlife viewing experiences. The project aims to enhance the effectiveness of law enforcement agencies and their staff, which has the potential to enhance overall governance, including recognition of human rights and sound application of the law. For instance, it is widely recognized that organized criminal gangs responsible for illegal wildlife trade are also involved in other forms of transnational crime, such as drugs, arms and human trafficking that impact social security – and it is a fact that the enforcement agencies involved in responding to wildlife crime (for example along the Mekong River on the Lao border) are heavily engaged in combatting all such types of crime and will benefit from the project intervention.

Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment

Gender equality and social inclusion have been integrated into project planning and implementation to ensure equitable participation of both women and men and people from different economic and social backgrounds in project planning and decision making. As a result, no group should be disadvantaged by the project activities and both men and women should derive equitable benefits. In order to achieve gender mainstreaming, the PPG (project preparation phase) has undertaken a baseline assessment to identify the measures needed to ensure the equal participation of men and women so as to take into account the different perspectives, priorities and socio-economic realities that women and men face (**Annex M**). The equal participation of women has been included in project design for planning and decision making among the key stakeholders, including the national, provincial and local government agencies and local communities. Project design pertaining to institutional strengthening and capacity building has also ensured that target trainees will include both sexes and institutional development will mainstream gender in the institutional system and decision-making mechanisms. At the local level, consultation sessions have been held to obtain views and inputs of a wide range of local stakeholders to develop the project activities and to develop a robust stakeholder involvement plan including gender considerations. Relevant indicators including appropriate gender disaggregated targets and baselines have also been included as part of the project results framework and monitoring plan.

Gender equality will be ensured during the implementation of the project by including an equitable number of women in all capacity building and training elements of the project. This will include (i) training for enforcement officers; (ii) supplementary learning opportunities for judges and prosecutors; and (iii) capacity building for forensic laboratory officers. The project includes limited demonstration activities at field sites in NE and S Thailand, where the engagement of environmental volunteer networks will proactively engage female volunteers for suitable roles. The design of social and behavioural change campaigns will take account of gender differences in target groups.

Briefly describe in the space below how the Project mainstreams environmental sustainability

The project focuses on combatting illegal wildlife trafficking in Thailand (as a source, transit and destination country) and the reduction of consumer demand for endangered wildlife species in Thailand. In particular, the project will aim to strengthen enforcement against illegal wildlife trafficking for which Thailand remains a hub in SE / E Asia. The project focuses on elephants, rhinoceros, tigers and pangolins as flagship species that are being heavily impacted by the illegal wildlife trade involving Thailand, while also aiming to support improved enforcement for other affected wildlife. It will therefore contribute directly towards reducing this major driver of poaching and population depletion for key globally threatened species, reducing related extinction risks. Thus, in line with the project's biodiversity conservation objectives, its environmental impacts are expected to be overwhelmingly positive, through ensuring appropriate action to address illegal wildlife trade through the Thai regulatory and institutional framework, and addressing capacity constraints at all scales in Thailand. Overall, the project will assist Thailand to meet its commitments under the CBD and CITES.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>			QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
Risk Description	Impact and Probability (1-5)	Significance (Low, Moderate, High)	Comments	Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.
<p>Risk 1: Potential security risk to volunteers that assist wildlife law enforcement agencies through roles such as informants (SESP P1-1, P1-8)</p>	<p>I = 3 P = 2</p> <p>I=3 P=3</p>	<p>Moderate</p>	<p>The project aims to support increased engagement between wildlife law enforcement agencies and volunteer networks in local communities, which carries some risk to the individuals involved given that wildlife trade activities may be carried out by criminal groups, and the south Thailand demonstration area lies within a region with an ongoing insurgency situation.</p> <p>In addition, the increased engagement of law enforcement and the use of volunteers in legal work could increase the incidences where the people in law enforcement (or the volunteers) exceed their jurisdiction and hereby directly or indirectly violates the rights of people involved. This aspect is covered under Risk 2</p>	<p>The project will make use of professional law enforcement experts (eg from UNODC) for training the relevant law enforcement agency staff involved in working with community volunteer networks. The trainers will fully explain the risks involved, and counter-measures that may be taken to reduce such risks. Law enforcement agency staff will train volunteer participants from the community before any kind of active service. Participation of community members will be completely voluntary and with full awareness of the risks involved. The project will require project staff to undergo the UN DSS training on security in the field, and will adopt appropriate government operating procedures that exist already for work in south Thailand.</p>

<p>Risk 2: Human rights may be impacted if Thai law enforcement agencies do not apply the law correctly (SESP P1-1, P1-8, P3-5.2)</p> <p>The loss of livelihood through false arrest? Would not include P3-5.2 here</p>	<p>I = 3 P = 2</p> <p>I=4 P=2</p>	Moderate	<p>While the Thai law enforcement agencies are generally well trained and professional, there is some risk of improper application of the law, especially new legislation, unless mitigation measures are put in place.</p>	<p>The project capacity-building component (Component 2) will be specifically designed to enhance the capacity and understanding of Thai law enforcement agencies to ensure that the law is applied correctly and that human rights are respected during its application.</p>
<p>Risk 3: Disruption of illegal wildlife trade trafficking chains may impact local vendors of traditional medicine and bushmeat products at Pengjan Market, Nongkhai Province. Some vendors are female. (SESP P3-1.3, P3-5.2)</p> <p>P3-3.9 Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)? has been answered yes and it is noted that the issue (question 3.9) under standard 3 Community Health, Safety and Working Conditions is address in Risk 3 (as well as risk 4) – however this question is not related to the risk as such.</p> <p>The issue at hand is that handling wildlife can cause health issues through spread of decease etc. As such this could be grouped with COVID-19 (and the assumption that the virus stem from a wildlife market)</p> <p>However, the operating word is Security personnel which means that it is this personnel which could cause the spread of decease etc.</p> <p>This could also include P1-3 Could the Project potentially restrict availability, quality of and access to resources or basic services, inparticular to marginalized</p>	<p>I = 3 P = 2</p>	Moderate	<p>Increased enforcement of cross-border IWT at Pengjan may deter suppliers that provide both legal and some illegal products, impacting marketvendors, and taking some products based on illegal trafficking out of the market</p>	<p>It is likely that such commercial impacts will be transient and the vendors concerned will shift their product range to include other legal produce. Field visits during project preparation also clearly indicated that the local authorities agencies take a sensitive and rather flexible approach to enforcement so as not to cause undue hardship to local vendors (both men and women)</p> <p>There are no management measures related to this risk For instance the issue could be included in the plans and engagements which are to be implemented in the two demonstration areas. In addition, communication work and information campaigns on illegal wildlife trade (and species to avoid (pictures etc) could be use in the local area to alert local traders to avoid such species up front (i.e. not purchase them for trade in the first place.)</p>

<p>individuals or groups? (along the lines with the issue of bush meet (local resource))</p> <p>It could also include P2-2 Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits? As female vendors are, as mentioned, vendors</p> <p>Also, as this risk has been noted to involve women it would/could also evoke P2-1 Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?</p> <p>However, these inclusions would not change the proposed risk or its management.</p>				
<p>Risk 3 and 4 are interrelated.</p> <p>Risk 4: The significant upcoming changes to the WARPA legislation will introduce controls on the possession and trade in numerous non-native CITES-listed species whose enforcement may impact the livelihoods of market vendors and exotic pet retailers (SESP P3-1.3, P3-5.2)</p> <p>P3-3.9 Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)? has been answered yes and it is noted that the issue (question 3.9) under standard 3 Community Health, Safety and Working Conditions is address in Risk 3 (as well as risk 4) – however this question is not</p>	<p>I = 3 P = 3</p>	<p>Moderate</p>	<p>The exotic pet market has been thriving in Thailand for years, and in fact is considered a nexus of IWT by INGOs and UNODC amongst others. The new legislation will place significant controls on this trade including registration of specimens and adherence to CITES permits and certificate processes. Commercial trade in some species may become prohibited. The project will support awareness-raising, registration process and enforcement.</p>	<p>The project will support awareness raising of new laws and the registration process including online registration to make registration easier. Discussions with DNP indicate the Thai government will have a 90 day registration process supported by a major awareness raising effort on the new requirements, similar to that conducted for ivory registration recently. In addition, the project will provide capacity building to DNP and other key agencies involved in enforcing WARPA legislation. This should help to ensure that enforcement is conducted in a professional and fair manner, reducing potential for error and misconduct. Traders involved in the keeping or possession of species that become restricted or subject to CITES controls under the law will need to register or surrender their specimens. They are likely to shift their trade towards legally permissible species and/or species that do not fall under CITES controls although the transition period may pose financial challenges.</p>

<p>related to the risk as such.</p> <p>The issue at hand is that handling wildlife can cause health issues through spread of disease etc. As such this could be grouped with COVID-19 (and the assumption that the virus stem from a wildlife market)</p> <p>However, the operating word is Security personnel which means that it is this personnel which could cause the spread of disease etc.</p> <p>P3-5.2 regards economic displacement and while displacement most likely would not occur there is the possibility for loss of income due to the legal changes which in essence limits the products which are legal to sell</p> <p>P3-1.3 is more related to that if the project does not halt illegal trade it will not halt the decline in biodiversity (selected species) and with that adverse impacts to habitats might occur.</p> <p>This point is linked to the Global Environment concerns mentioned under P3-1.10 Would the Project generate potential adverse transboundary or global environmental concerns? as well as P3-1.4 Would Project activities pose risks to endangered species?</p>				
<p>Risk 5. Project activities may pose a risk to globally threatened species (SESP P3-1.4)</p>	<p>I=3 P=3</p>	<p>Moderate</p>	<p>The project activities will support current IWT enforcement actions, which include the seizure of live animals in illegal trade, some of which are globally threatened (eg pangolin species). The welfare of these animals is at risk while they are kept by</p>	<p>The project will support DNP in its efforts towards providing the necessary trained veterinary supervision and facilities for the care of confiscated wildlife, and to push for regulatory and procedural reforms that shorten the period that such confiscated animals have to be held as evidence for prosecutions (eg by allowing the use of registered official photographs as evidence).</p>




			various authorities prior to their final release or entry into permanent care (eg in a zoo or sanctuary)	
Risk 6: The project's demand reduction and enforcement focus may potentially impinge on cultural traditions associated with the legal domestic ivory trade for Thai elephant ivory (SESP P3-4.1)	I = 1 P = 2	Low	<p>Objects carved from domesticated Thai elephant ivory include items of artistic, cultural and religious significance. These are sold legally in Thailand through a regulated domestic market.</p> <p>There is a possibility that the project's work to reduce illegal trade in ivory could also impact legal ivory trade if social and political pressures shift to influence this.</p> <p>The project has been carefully designed to ensure that national and cultural sensitivities for legal domestic ivory trade for Thai domesticated elephant ivory are respected. Demand reduction efforts will clearly focus on the poaching of African elephants and the laundering of ivory through the Thai domestic market. Law enforcement efforts, ivory sampling for forensic DNA testing, and demand reduction will all focus on eliminating African from the Thai domestic ivory market and ensuring that the Thai ivory market is effectively regulated in line with CITES Resolution 10.10.</p>	
Risk 7. The project may potentially	I = 2 P = 3	Moderate	The majority of agency staff currently engaged in combatting the illegal wildlife trade are male, and prevailing attitudes in Thailand are that the nature of	The project's gender mainstreaming plan (Annex M) systematically specifies measures required across each project output to ensure that the interests of women are fully taken into account during project implementation. In addition, the project results framework includes targets for

<p>reproduce discriminations against women based on gender (SESP P2-2)</p> <p>This risk also includes P1-2 Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? As women are (or could be seen as a marginalized group) – particularly if they are discriminated against.</p> <p>This could also include P1-3 Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups? As women are (or could be seen as a marginalized group) – particularly if they are discriminated against.</p>			<p>such work is more suited to men. Consequently, the project will be faced with challenges in finding sufficient female agency staff to engage in capacity development and in conducting operational activities.</p>	<p>project beneficiaries that specify at least 40% female agency staff, and 50% female community volunteers.</p> <p>The project will also during project implementation develop a gender mainstreaming strategy which is to be implemented during the project implementation. This plan will take into account gender equality and the mainstreaming of women into all aspects of the project activities.</p>
<p>Inclusion of a new risk.</p> <p>Although related to Risk 1 there is an overall risk that in case the efforts for increased collaboration via the Thailand WEN, the increased capacities and functions of an ISO certified WIFOS as well as an increase in joint enforcement operations undertaken by project capacitated law enforcement officers and local volunteers from the RTP NEV does will not contribute sufficiently to a reduction of the illegal wildlife trade.</p> <p>P3-1.3 Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)</p> <p>P3-1.4 Would Project activities pose risks to</p>			<p>In case the actions under the project are not successful it will not result in decrease in the illegal wildlife trade which then in turn would not decrease the demand for species involved in said trade. Thus, threatened species will be hunted/killed, captured and traded. This will lead to a further decline of endangered species (a global concern) and with a reduction in apex species the quality of the habitats in which they occur would decline as would the ecosystem services they provide.</p>	

<p>endangered species?</p> <p>And P3-1.10 Would the Project generate potential adverse transboundary or global environmental concerns?</p> <p>Proposed Risk: <i>The actions involving the Thailand WEN, the ISO certified WIFOS and joint enforcement operations by project capacitated law enforcement officers and local volunteers from the RTP NEV does not contribute to the reduction of the illegal wildlife trade.</i></p>				
<p>Inclusion of new risk not yet covered by the selection of P3-3.9 Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?</p> <p>The issue at hand is that handling wildlife can cause health issues through spread of disease etc. (by security personnel). As such this could be grouped with COVID-19 (and the assumption that the virus stem from a wildlife market).</p> <p>Proposed risk: <i>Health and safety standards observed of security personnel does not adequately take into account Zoonotic and non-zoonotic viral diseases leading to an increased risk of spread of such diseases to the wider population.</i></p>				

	Select one (see SESP for guidance)		Comments
	<i>Low Risk</i>	<input type="checkbox"/>	
	<i>Moderate Risk</i>	<input checked="" type="checkbox"/>	Seven risks have been identified, of which their overall impact and probability have been assessed as moderate. It is considered that the project activities with potential adverse social risks are limited in scale, can be identified with a reasonable degree of certainty, and can be addressed through application of standard best practice, mitigation measures and stakeholder engagement during project implementation.
	<i>High Risk</i>	<input type="checkbox"/>	
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?		
	Check all that apply		Comments
	<i>Principle 1: Human Rights</i>	<input checked="" type="checkbox"/>	See Risks 1 & 2 above.
	<i>Principle 2: Gender Equality and Women's Empowerment</i>	<input checked="" type="checkbox"/>	See Risk 7 above
	<i>1. Biodiversity Conservation and Natural Resource Management</i>	<input checked="" type="checkbox"/>	See Risk 5 above
	<i>2. Climate Change Mitigation and Adaptation</i>	<input type="checkbox"/>	
	<i>3. Community Health, Safety and Working Conditions</i>	<input checked="" type="checkbox"/>	See Risks 3 and 4
	<i>4. Cultural Heritage</i>	<input checked="" type="checkbox"/>	See Risk 6 above
	<i>5. Displacement and Resettlement</i>	<input checked="" type="checkbox"/>	See Risks 3 and 4 above
	<i>6. Indigenous Peoples</i>	<input type="checkbox"/>	
	<i>7. Pollution Prevention and Resource Efficiency</i>	<input type="checkbox"/>	

Final Sign Off

Signature	Date	Description
QA Assessor 	19.10.17	UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have “checked” to ensure that the SESP is adequately conducted.
QA Approver 	19.10.17	UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC.
PAC Chair 	19.10.17	UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist of Potential Social and Environmental Risks	
Principle 1: Human Rights	Answer Yes/No
1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	Yes
2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ^{38 1}	No (YES Women is deemed a disadvantaged group)
3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No (YES as per the economic displacement below)
4. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6. Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	Yes
Principle 2: Gender Equality and Women's Empowerment	
1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No (YES)
2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	Yes
3. Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
3. Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below	

³⁸ Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	
1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	No
1.2 Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	No
1.3 Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	Yes (In case project is not successful)
1.4 Would Project activities pose risks to endangered species?	Yes (both directly and in case project is not successful)
1.5 Would the Project pose a risk of introducing invasive alien species?	No
1.6 Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7 Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8 Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9 Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10 Would the Project generate potential adverse transboundary or global environmental concerns?	No (YES In case project is not successful)
1.11 Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	No
Standard 2: Climate Change Mitigation and Adaptation	
2.1 Will the proposed Project result in significant ³⁹ greenhouse gas emissions or may exacerbate climate change?	No

³⁹ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on

2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	Yes
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	Yes
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	Yes
5.3	Is there a risk that the Project would lead to forced evictions? ⁴⁰	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No

GHG emissions.]

⁴⁰ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

Standard 6: Indigenous Peoples	
6.1 Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2 Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3 Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	No
6.4 Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5 Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6 Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7 Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8 Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9 Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency	
7.1 Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2 Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3 Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
7.4 Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5 Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

Annex 11 Revised Risk Table (for consideration)

The Project's Risk Table was reviewed as part of the MTR, and the MTR Team has provided its reflections (for the projects consideration) in the current annex. The reflection has been highlighted in yellow for ease of reference. The provided reflections should not be seen as instructions for change but merely comments made by external observers which could be considered by the project's management team as appropriate and as relevant for the project circumstances.

Project risks				
Description	Type	Impact and Probability	Mitigation Measures	Owner
Brief description of the risk	Category of risk	Potential effect on the project if this risk were to occur: Probability P: 1 (low) to 5 (high); Impact I: 1 (low) to 5 (high)	What actions have been/will be taken to counter this risk	Who is appointed to keep an eye on this risk
1. Suboptimal collaboration between IWT enforcement agencies: coordination between various agencies may be constrained due to sectionalism, bureaucracy, the demands of coordination, and/or unclear mandates, impacting the effectiveness of IWT responses.	Operational	P= 3; I= 3 MODERATE	<p>This project has been developed in full collaboration with the Thai government and its agencies. There have already been considerable discussions and joint efforts exist between key government law enforcement agencies (eg through Thailand WEN). The momentum created by the project will further strengthen and institutionalise the coordination and joint action mechanisms. Joint work will be demonstrated at both national and local levels and necessary systemic and institutional capacities will be installed to ensure sustainability. Thailand WEN has demonstrated that inter-agency coordination on IWT can be successful although this is not at operational level. This will be supported and strengthened through the project.</p> <p>There should be an outline of what the project would do to avoid this risk (i.e. manage it) For instance follow/monitor the actions/implementation of the Thailand WEN and other collaboration mechanisms and where these project established features are not effectively addressing the outlined risk the project would take steps to rectify it – including dialogue with government or individual institutions</p>	Project Manager
2. DNP not fully able to coordinate and solicit all efforts	<i>Institutional, Political</i>	P= 3; I= 3 MODERATE	A National Project Board with representatives from relevant ministries will be established to support, supervise and monitor the overall implementation of the project. The project will also facilitate the establishment and maintenance of coordination mechanisms among the different responsible authorities with regular reporting and consultation systems.	<i>Project Manager</i>

			<p>Same as above but here the risk is related to DNP so the management actions should be towards how to enable DNP to fully coordinate and solicit all efforts.</p> <p>It should be noted that this risk includes not only how DNP can manage its relationship and engagement (as the lead) with external agencies and entities including International NGOs. It also includes how DNP are able to coordinate the divisions and departments within its own structure in an effective and efficient manner. The latter has been an issue under the project in the startup phase 1-1½ years of the project.</p> <p>Potentially this risk could be divided into two (external and internal)</p>	
3. Declining national policy commitment to reduce illegal wildlife trade as a crime	<i>Political</i>	P= 2; I= 3 MODERATE	<p>Policy advocacy and awareness raising among policy decision makers will be built in as an iterative and integral part of the project activities, as well as to maintain the synergized collaboration among international development partners in keeping up the momentum on response to IWT in Thailand.</p> <p>The input could be reformulated to stress that these are the projects management engagement related to the risk</p>	<i>Project Manager</i>
4. Lack of financial sustainability to maintain the networks and collaborations	<i>Financial</i>	P= 3; I= 3 MODERATE	<p>The project will ensure that the Bureau of Budget and the Ministry of Finance will be engaged as Project Board members to create understanding and the necessity in allocating enough budgetary resources to support the cause. Strategies to engage with the private sector will also be explored to mobilize resources to support enforcement and reduction of IWT.</p> <p>The input could be reformulated to stress that these are the projects management engagement related to the risk</p>	<i>Project Manager</i>
5. Mal-governance and Corruption: this is a major factor in wildlife trade generally, and accordingly one that is not underestimated here. Even when laws and mandates are clear, the mandated response is not always forthcoming. The causes for this vary and may be related to low	<i>Political, Operational & Strategic</i>	P= 3; I= 3 MODERATE	<p>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 improved monitoring that highlight when appropriate action is not being taken. Many of the described project components are designed to specifically address corruption and other forms of mal-practice and mal-governance. For example, strengthening inter-agency collaboration and law enforcement capacity will enhance oversight and limit opportunities for malpractice. Key agencies responsible for anti-corruption measures, namely the Anti-Corruption Commission and Anti Money Laundering Office, will participate in the project Technical Advisory Consortium and will be key project partners in strengthening the multi-door approach to IWT prosecutions in Components 1 and 2. The presence of an</p>	<i>Project Manager</i>

motivation, poor resource allocation, but also to the insidious effects of corruption that thrives when certain institutions or individuals are not fully transparent, accountable and regulated.			internationally funded high-profile project will further support the government's efforts to fight corruption. The input could be reformulated to stress that these are the projects management engagement related to the risk	
New risk: Zoonotic and non-zoonotic viral diseases impacts project implementation (including health aspects).				
New Risk: Consumer behavior does not change and demand for IWT products remain high				
New Risk: The cost and impact of IWT is not sufficiently demonstrated to warrant a policy change on financing IWT enforcement and prosecution. This risk is related to the above risk 3				
Risks from Social and Environmental Screening Procedure (Annex F) For comments please see above				
Risk 1: Potential security risk to volunteers that assist wildlife law enforcement	Human Rights	I = 3; P = 2 MODERATE	The project will make use of professional law enforcement experts (eg from UNODC) for training the relevant law enforcement agency staff involved in working with community volunteer networks. The trainers will fully explain	Project Manager

agencies through roles such as informants (SESP P1-1, P1-8)			the risks involved, and counter-measures that may be taken to reduce such risks. Law enforcement agency staff will train volunteer participants from the community before any kind of active service. Participation of community members will be completely voluntary and with full awareness of the risks involved. The project will require project staff to undergo the UN DSS training on security in the field, and will adopt appropriate government operating procedures that exist already for work in south Thailand (as a recognized insurgency area).	
Risk 2: Human rights may be impacted if Thai law enforcement agencies do not apply the law correctly (SESP P1-1, P1-8, P3-5.2)	<i>Human Rights</i>	I = 3; P = 2 MODERATE	The project capacity-building component (Component 2) will be specifically designed to enhance the capacity and understanding of Thai law enforcement agencies to ensure that the law is applied correctly and that human rights are respected during its application.	<i>Project Manager</i>
Risk 3: Disruption of illegal wildlife trade trafficking chains may impact local vendors of traditional medicine and bushmeat products at Pengjan Market, Nongkhai Province. Some vendors are female. (SESP P3-1.3, P3-5.2)	<i>Natural Resource Management</i>	I = 3; P = 2 MODERATE	It is likely that such commercial impacts will be transient and the vendors concerned will shift their product range to include other legal produce. Field visits during project preparation also clearly indicated that the local authorities agencies take a sensitive and rather flexible approach to enforcement so as not to cause undue hardship to local vendors (both men and women)	<i>Project Manager</i>
Risk 4: The significant upcoming changes to the WARPA legislation will introduce controls on the possession and trade in numerous non-native CITES-listed species whose enforcement may impact the livelihoods of market vendors and exotic pet retailers (SESP P3-1.3, P3-5.2)	<i>Natural Resource Management</i>	I = 3; P = 3 MODERATE	The project will support awareness raising of new laws and the registration process including online registration to make registration easier. Discussions with DNP indicate the Thai government will have a 90 day registration process supported by a major awareness raising effort on the new requirements, similar to that conducted for ivory registration recently. In addition, the project will provide capacity building to DNP and other key agencies involved in enforcing WARPA legislation. This should help to ensure that enforcement is conducted in a professional and fair manner, reducing potential for error and misconduct. Traders involved in the keeping or possession of species that become restricted or subject to CITES controls under the law will need to register or surrender their specimens. They are likely to shift their trade towards legally permissible species and/or species that do not fall under CITES controls although the transition period may pose financial challenges.	<i>Project Manager</i>
Risk 5. Project activities may pose a risk to globally	<i>Biodiversity</i>	I = 3; P = 3 MODERATE	The project will support DNP in its efforts towards providing the necessary trained veterinary supervision and facilities for the care of confiscated wildlife, and to push for regulatory	<i>Project Manager</i>

threatened species, through the seizure of live animals in illegal trade, some of which are globally threatened (eg pangolin species). The welfare of these animals is at risk while they are kept by various authorities prior to their final release or entry into permanent care (eg in a zoo or sanctuary) (SESP P3-1.4)			and procedural reforms that shorten the period that such confiscated animals have to be held as evidence for prosecutions (eg by allowing the use of registered official photographs as evidence).	
Risk 6: The project's demand reduction may potentially impinge on cultural traditions associated with Thai elephant ivory (SESP P3-4.1)	<i>Cultural Heritage</i>	I = 1; P = 2 LOW	Recent studies indicate a drastic reduction in sale of ivory in Thailand. The project has been carefully designed to ensure that national and cultural sensitivities for Thai domesticated elephant ivory are respected. Demand reduction efforts will clearly focus on the poaching of African elephants and the laundering of ivory through the regulated domestic market for Thai domesticated elephant ivory. Culturally-sensitive campaigns will be developed. Law enforcement efforts, ivory sampling for forensic DNA testing, and demand reduction will all focus on eliminating African ivory from the Thai domestic ivory market and ensuring that the Thai ivory market is effectively regulated in line with CITES Resolution Conf. 10.10 (CoP17).	<i>Project Manager</i>
Risk 7. The project may potentially reproduce discriminations against women based on gender, as the majority of frontline agency staff currently engaged in combatting the illegal wildlife trade are male (SESP P2-2)	<i>Gender Equality and Women's Empowerment</i>	I = 2; P = 3 MODERATE	The project's gender mainstreaming plan (Annex M) systematically specifies measures required across each project output to ensure that the interests of women are fully taken into account during project implementation. In addition, the project results framework includes targets for project beneficiaries that specify at least 40% female agency staff, and 50% female community volunteers.	<i>Project Manager</i>

Annex 12: Draft suggestion for GEF Core indicators

Project Core Indicators		Expected end of project as anticipated at CEO Endorsement	Actual achievement at Mid-term
1	Terrestrial protected areas created or under improved management for conservation and sustainable use (Hectares)		
2	Marine protected areas created or under improved management for conservation and sustainable use (Hectares)		
3	Area of land restored (Hectares)		
4	Area of landscapes under improved practices (excluding protected areas) (Hectares)	123,300 ha	
5	Area of marine habitat under improved practices (excluding protected areas) (Hectares)		
	Total are under improved management (Hectare)	123,300 ha	
6	Greenhouse Gas Emissions Mitigated (metric tons of CO ₂ e)		
7	Number of shared water ecosystems (fresh or marine) under new or improved cooperative management		
8	Globally over-exploited marine fisheries moved to more sustainable levels (metric tons)		
9	Reduction , disposal/destruction, phase out, elimination and avoidance of chemicals of global concern and their waste in the environment and in processes, materials and products (metric tons of toxic chemicals reduced)		
10	Reduction, avoidance of emissions of POPs to air from point and non-point sources (grams of toxic equivalent gTEQ)		
11	Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment	900 (370 Female/530 Male)	

Core Indicator 1	Terrestrial protected areas created or under improved management for conservation and sustainable use				(Hectares)	
					Hectares (1.1+1.2)	
					Expected	Achieved
			PIF stage	Endorsement	MTR	TE
Indicator 1.1	Terrestrial protected areas newly created					
Name of Protected Area	WDPA ID	IUCN category			Hectares	
					Expected	Achieved
			PIF stage	Endorsement	MTR	TE
		(select)				
		(select)				
		Sum				
Indicator 1.2	Terrestrial protected areas under improved management effectiveness					
Name of Protected Area	WDPA ID	IUCN category	Hectares		METT Score	
					Baseline	Achieved
					Endorsement	MTR
		(select)				TE
		(select)				
		Sum				
Core Indicator 2	Marine protected areas created or under improved management for conservation and sustainable use				(Hectares)	
					Hectares (2.1+2.2)	

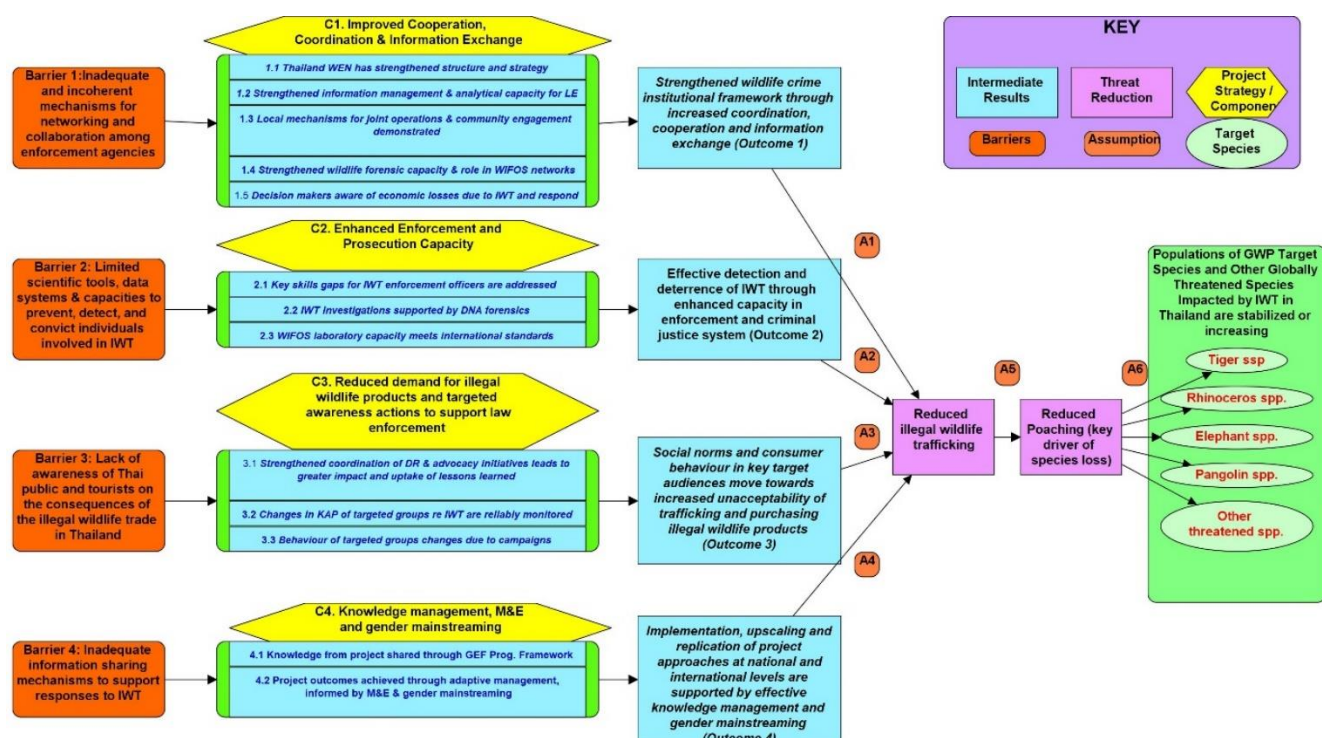
		Expected		Achieved	
		PIF stage	Endorsement	MTR	TE
Indicator 2.1	Marine protected areas newly created				
Name of Protected Area	WDPA ID	IUCN category	Hectares		
			Expected		Achieved
			PIF stage	Endorsement	MTR TE
		(select)			
		(select)			
		Sum			
Indicator 2.2	Marine protected areas under improved management effectiveness				
Name of Protected Area	WDPA ID	IUCN category	Hectares	METT Score	
				Baseline	
				Achieved	
				PIF stage	Endorsement MTR TE
		(select)			
		(select)			
		Sum			
Core Indicator 3	Area of land restored (Hectares)				
		Hectares (3.1+3.2+3.3+3.4)			
		Expected		Achieved	
		PIF stage	Endorsement	MTR	TE
Indicator 3.1	Area of degraded agricultural land restored				
			Hectares		
			Expected		Achieved
			PIF stage	Endorsement	MTR TE
Indicator 3.2	Area of forest and forest land restored				
			Hectares		
			Expected		Achieved
			PIF stage	Endorsement	MTR TE
Indicator 3.3	Area of natural grass and shrublands restored				
			Hectares		
			Expected		Achieved
			PIF stage	Endorsement	MTR TE
Indicator 3.4	Area of wetlands (including estuaries, mangroves) restored				
			Hectares		
			Expected		Achieved
			PIF stage	Endorsement	MTR TE
Core Indicator 4	Area of landscapes under improved practices (hectares; excluding protected areas) (Hectares)				
		Hectares (4.1+4.2+4.3+4.4)			
		Expected		Expected	
		PIF stage	Endorsement	MTR	TE
		N/A	123,300 ha		
Indicator 4.1	Area of landscapes under improved management to benefit biodiversity				
			Hectares		
			Expected		Achieved
			PIF stage	Endorsement	MTR TE
			N/A	123,300 ha	
Indicator 4.2	Area of landscapes that meet national or international third-party certification that incorporates biodiversity considerations				

Third party certification(s):			Hectares			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 4.3	Area of landscapes under sustainable land management in production systems					
			Hectares			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 4.4	Area of High Conservation Value Forest (HCVF) loss avoided					
Include documentation that justifies HCVF			Hectares			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Core Indicator 5	Area of marine habitat under improved practices to benefit biodiversity					(Hectares)
Indicator 5.1	Number of fisheries that meet national or international third-party certification that incorporates biodiversity considerations					
Third party certification(s):			Number			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 5.2	Number of large marine ecosystems (LMEs) with reduced pollution and hypoxial					
			Number			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 5.3	Amount of Marine Litter Avoided					
			Metric Tons			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Core Indicator 6	Greenhouse gas emission mitigated					(Metric tons of CO ₂ e)
			Expected metric tons of CO ₂ e (6.1+6.2)			
			PIF stage	Endorsement	MTR	TE
		Expected CO ₂ e (direct)				
		Expected CO ₂ e (indirect)				
Indicator 6.1	Carbon sequestered or emissions avoided in the AFOLU sector					
			Expected metric tons of CO ₂ e			
			PIF stage	Endorsement	MTR	TE
		Expected CO ₂ e (direct)				
		Expected CO ₂ e (indirect)				
		Anticipated start year of accounting				
		Duration of accounting				
Indicator 6.2	Emissions avoided Outside AFOLU					
			Expected metric tons of CO ₂ e			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
		Expected CO ₂ e (direct)				
		Expected CO ₂ e (indirect)				
		Anticipated start year of accounting				
		Duration of accounting				
Indicator 6.3	Energy saved					
			MJ			

			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 6.4	Increase in installed renewable energy capacity per technology					
		Technology	Capacity (MW)			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
		(select)				
		(select)				
Core Indicator 7	Number of shared water ecosystems (fresh or marine) under new or improved cooperative management					(Number)
Indicator 7.1	Level of Transboundary Diagnostic Analysis and Strategic Action Program (TDA/SAP) formulation and implementation					
		Shared water ecosystem	Rating (scale 1-4)			
			PIF stage	Endorsement	MTR	TE
Indicator 7.2	Level of Regional Legal Agreements and Regional Management Institutions to support its implementation					
		Shared water ecosystem	Rating (scale 1-4)			
			PIF stage	Endorsement	MTR	TE
Indicator 7.3	Level of National/Local reforms and active participation of Inter-Ministerial Committees					
		Shared water ecosystem	Rating (scale 1-4)			
			PIF stage	Endorsement	MTR	TE
Indicator 7.4	Level of engagement in IWLEARN through participation and delivery of key products					
		Shared water ecosystem	Rating (scale 1-4)			
			Rating		Rating	
			PIF stage	Endorsement	MTR	TE
Core Indicator 8	Globally over-exploited fisheries Moved to more sustainable levels					(Metric Tons)
Fishery Details			Metric Tons			
			PIF stage	Endorsement	MTR	TE
Core Indicator 9	Reduction, disposal/destruction, phase out, elimination and avoidance of chemicals of global concern and their waste in the environment and in processes, materials and products					(Metric Tons)
			Metric Tons (9.1+9.2+9.3)			
			Expected		Achieved	
			PIF stage	PIF stage	MTR	TE
Indicator 9.1	Solid and liquid Persistent Organic Pollutants (POPs) removed or disposed (POPs type)					
POPs type			Metric Tons			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
(select)	(select)	(select)				
(select)	(select)	(select)				
(select)	(select)	(select)				
Indicator 9.2	Quantity of mercury reduced					
			Metric Tons			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE

Indicator 9.3	Hydrochlorofluorocarbons (HCFC) Reduced/Phased out					
			Metric Tons			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 9.4	Number of countries with legislation and policy implemented to control chemicals and waste					
			Number of Countries			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 9.5	Number of low-chemical/non-chemical systems implemented particularly in food production, manufacturing and cities					
		Technology	Number			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 9.6	Quantity of POPs/Mercury containing materials and products directly avoided					
			Metric Tons			
			Expected		Achieved	
			PIF stage	Endorsement	PIF stage	Endorsement
Core Indicator 10	Reduction, avoidance of emissions of POPs to air from point and non-point sources					(grams of toxic equivalent gTEQ)
Indicator 10.1	Number of countries with legislation and policy implemented to control emissions of POPs to air					
			Number of Countries			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Indicator 10.2	Number of emission control technologies/practices implemented					
			Number			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
Core Indicator 11	Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment					(Number)
			Number			
			Expected		Achieved	
			PIF stage	Endorsement	MTR	TE
		Female	N/A	370		
		Male	N/A	530		
		Total	N/A	900		

Annex 13: IWT project's Theory of Change (including assumptions)



Assumptions for Theory of Change Diagram

Code in Fig. 2	Assumption	Notes and References
A1	<i>There exists willingness to cooperate between the relevant law enforcement agencies</i>	There are examples of existing collaboration, including Thailand WEN, which this project will strengthen. UNODC (2017) states that inter-agency cooperation in Thailand is effective, with clear policies, and procedures outlining their respective roles and responsibilities – but can still be improved. See also PPG Baseline Assessment 2017 (Annex O).
A2	<i>More effective enforcement including more prosecutions and stronger penalties for convicted suspects will result in deterrence and consequently reduce the incidence of IWT</i>	The National Ivory Action Plan and Ivory Trade Act BE 2558 (2015) and strengthened regulation and enforcement of the domestic market have resulted in a dramatic reduction in the sale of ivory in Thailand, with TRAFFIC reporting a 96% reduction in ivory on sale in the domestic market compared with 2012 (Krishnasamy et al. 2016; UNODC 2017; PPG Baseline Assessment 2017 (Annex O)).
A3	<i>Increased social pressure and awareness of the existence of law and law enforcement will result in reduced consumer demand for certain illegally trafficked wildlife products and consequently reduce sales by illegal traders and their profits</i>	In reality, this is very hard to demonstrate, because the illegal trade is highly dynamic and flexible, exploiting markets in different countries for a variety of wildlife products. A campaign impact evaluation in Thailand conducted for the iTHINK Campaign (targeting buyers of IWT products) in 2015 used a Knowledge Attitudes and Practices (KAP) Score Framework to measure impact against a 2013 baseline, reporting a very significant increase in KAP Index for buyers of illegal wildlife products (from 32 up to 59) and a lesser increase for non-buyers of wildlife products (from 71 to 78). This shows that the campaign messages were having a positive impact (Rapid Asia Co Ltd 2016). See PPG Baseline Assessment 2017 (Annex P). See also TRAFFIC 2016; and Burgess 2016.
A4	<i>Sharing of knowledge gained through the project via the GWP will increase capacity for counter wildlife trafficking interventions elsewhere and reduced IWT</i>	This is hard to demonstrate, however, the illegal wildlife trade and related poaching have resulted in collaboration between governments, INGOs, inter-governmental agencies and other partners on a scale not seen before in conservation. For example, the ROUTES Partnership includes a Core Team of 8 organizations, and a further 18 organizations as Partners http://routespartnership.org/ . The transfer of technology and information is now occurring more rapidly than ever before, and with enhanced

		coordination and targeting through the GWP this is likely to have a positive effect, even though direct attribution or quantification will be hard to prove.
A5	<i>Demand from the unsustainable legal and illegal wildlife trade is a key driver for poaching activities</i>	<p>It is clear from a large body of literature that demand for wildlife products, especially for high value products such as ivory, rhino horn, tiger and pangolin parts, has resulted in a massive increase in poaching activities in source countries. The reasons for such consumer demand in Thailand (eg for ivory) are analyzed in Annex P. The IWT links between source and consumer countries are clear from seizures of IWT (see Annex O for seizures in Thailand), and the high value of these products is a driver for poaching activities – for instance Bennett 2015 states that : <i>management systems [for legal sustainable ivory trade] along the whole trade chain must be robust to counter the significant incentives to undermine controls, given the high current prices of ivory and the high demand for such products in the expanding markets in East Asia. Indeed, current levels of demand for ivory are greatly driving up the price and thereby providing major incentives to hunt elephants well above sustainable levels.</i></p> <p>See: Beastall et al. 2016; Bennett 2015; Challender et al. 2016; Krishnasamy & Stoner 2016; UNODC 2017; TRAFFIC 2016; Burgess 2016.</p>
A6	<i>Poaching is in reality a major negative factor impacting populations of globally threatened species that are being trafficked in Thailand</i>	<p>See IUCN Red List for conservation status information on endangered species including impacts of poaching and illegal trade – especially Asian and African elephants, rhinoceros spp, pangolin spp, tiger subspp, many endangered SE Asian turtle species, helmeted hornbill, etc.</p> <p>See UNODC 2017 and PPG Baseline Assessment 2017 (Annex O) for information on seizures of key species in wildlife trade in Thailand, and Annex T for a summary of the impact of IWT on the conservation status of key species</p>

Annex 14: COVID-19 Pandemic Impact survey.

To gauge the impact of the impacts of the COVID-19 Pandemic *Combating Illegal Wildlife Trade, focusing on Ivory, Rhino Horn, Tiger and Pangolins in Thailand* project the MTR team requested the main implementing partners and responsible parties to provide information on perceived impacts of the COVID-19 Pandemic on the IWT Project. Four main questions were asked.

- In your/your organization's view how has the COVID-19 Pandemic affected the project implementation in a positive way?
- In your/your organization's view how has the COVID-19 Pandemic affected the project implementation in a negative way?
- How has your organization counteracted any negative implications of the COVID-19 Pandemic on the project implementation?
- Going forward what adaptive management approaches and project readjustments do you/your organization anticipate engaging in to overcome any shortcomings that have occurred during the first years of project implementation due to the COVID-19 Pandemic?

The received responses are presented in the table 1, 2, 3 and 4 below, where the provided feedback is listed under each question.

Table 1: In your/your organization's view how has the COVID-19 Pandemic affected the project implementation in a positive way?

UNDP:

While perhaps not positive the IWT project has specific project activities that can assist in Thailand's COVID-19 efforts.

For instance, under Activity 1.4.1. *Support evaluation of joint law enforcement operations on wildlife crime in coordination with ICCWC and share lessons learned* the project could use the joint law enforcement operation to clean up and conduct deep investigation of the potential species with relate to sources of COVID-19 at the key wildlife risk market and zoo in Thailand.

Under Activity 1.3.3 *Conduct awareness raising programmes for local communities on the prevalence and negative impacts of wildlife crime* the project could use the result of the UNDP TRAC research on the relation between wildlife species and COVID-19 as one of the potential negative impacts to human well-being.

In addition, as Component 3 focusses on awareness and issues related to markets and demand for illegal wildlife products, these efforts could potentially be expanded to support broader awareness-raising about consumption of wildlife and potential for health risks if markets are poorly regulated/illegal.

DNP:

Information is pending

TRAFFIC:

No positive impacts identified.

TRACE:

N/A

IUCN:

Information is pending

Table 2: In your/your organization's view how has the COVID-19 Pandemic affected the project implementation in a negative way?

UNDP:

The COVID-19 Pandemic has several negative implications for the project. For one the implementing partner's focus on the project has been somewhat reduced due to COVID-19 response efforts, at least in the initial parts of the pandemic. Travel restrictions both within the country and internationally have been put in place, and COVID-19 has impacted stakeholder engagement (including trainings and meetings). For instance, the Project Board meetings which were to be held bi-annually have only been held once a year and the Strategic Planning meetings for the Thailand Wildlife Law Enforcement Networking (Thailand -WEN) has been pending due to the crisis.

As mentioned, travel restrictions have been/are in place and these prohibited holding local government inception meeting and the establishment of local inter-agency task forces at 2 Demo-sites in Northeast and South of Thailand. These were held with some delay.

Inbound international travel restrictions, flight availability, and quarantine requirements enforced by Thailand has made key staff of TRACE, a global wildlife forensic expert institute, unable to come to Thailand since 2020 to conduct technical training and undertake on-ground activities causing major delays in its implementation. And the international team leader of the IIED who has the role to conduct and facilitate the TSA study on the national economic impact from IWT) was also not able to enter Thailand due to the travel restriction and the similar barriers as described above
DNP: Information is pending
TRAFFIC: 1. Movement controls resulting from the pandemic have restricted in-person meetings, such as face-to-face meetings with project partners (DNP, UNDP, research agency, creative agency, consultants etc.), the DRSG, and colleagues from overseas (UK, Malaysia). This has impacted, for example, the development of campaigns with third-party agencies and led to protracted timelines and inevitable delays. Induction programs and training for staff have also been impacted. 2. The first round of physical market surveys were hampered by the movement restrictions. It is not yet known how the second round, scheduled for Sept-Nov 2021, will be impacted. 3. It caused a delay in the work plan approved by the project board resulting in a delay to start the activity.
TRACE: The covid pandemic has had a profound and significant negative impact on project implementation. All activities identified by this responsible party were to be undertaken in-country by an international wildlife DNA forensic expert that could provide direct mentoring to the WIFOS laboratory. The initial issues in relation to DNP providing support for the placing of an international expert within DNP have been significantly compounded by the covid pandemic due to: the availability of international experts, barriers to physical entry to Thailand, barriers to the provision of appropriate visas and potential quarantine costs.
IUCN: Information is pending

Table 3: How has your organization counteracted any negative implications of the COVID-19 Pandemic on the project implementation?
UNDP: The project has been somewhat slow to come to terms with the COVID-19 pandemic, but in this regard, it has been reacting in line with the common response of the Thai Government. However, the project has engaged in different management adaptation approaches for instance by having an increased usage of the virtual options available. In addition, project partners have been constructive in seeking alternative solutions. In the case of TRACE, the project manager decided to hire a local consultant to help coordinate and conduct the WIFOS work under the regular close online consultation and coaching by the TRACE project manager instead. In the case of IIED, which is undertaken a Targeted Scenario Analysis (TSA) on illegal wildlife trade impact in Thailand, the international team leader decided to increase the role of the local coordinator to cover tasks on the collecting information and facilitates local stakeholders' consultation meetings at the national and local level with regularly consultation, with coaching from the team leader and the IWT project manager. The launch of TSA workshop was also conducted by using virtual for the IIED- team leader to lead the introduction and present the methodology of this study
DNP: Information is pending
TRAFFIC: 1. All staff have the necessary resources to WFH. Meetings have been held using Zoom/Teams. Induction programmes and training have been conducted online, but sessions are mostly shorter and less detailed. 2. The first round of physical market surveys were more challenging to arrange and implement, but adaptive management enabled all agreed locations to be visited. We have started to plan for the second round knowing that changes to our plans may be required at short notice. There has been an overall decline in sales of wildlife products in physical channels and an increase in online sales. Our online market assessment has not been impacted. 3. For 2019, the Project Board could meet and approve the annual work plan and Demand Reduction Steering Group set-up in May. Later in June, DNP issued letters of appointment to DRSG members. Hence, we could organize the first DRSG meeting in August and quarterly since then.
TRACE: The ability to counteract negative implications has been limited due to the necessity of embedding international experts. As a 'stop-gap' we employed a recently graduated Thai national with limited laboratory experience but good English / Thai understanding and an interest in the field. Whilst this recruitment has positively helped in the running of the WIFOS laboratory, in practice this has done little to advance the project in the absence of more technical onsite support. Virtual meetings have also had limited utility as both the technical and language barriers are not well suited to discussion of a technical scientific nature. Pausing the project activities has been the most appropriate action for the last quarters.

IUCN:

Information is pending

Table 4: Going forward what adaptive management approaches and project readjustments do you/your organization anticipate engaging in to overcome any shortcomings that have occurred during the first years of project implementation due to the COVID-19 Pandemic?

UNDP:

Since the project has been delayed for a year before this pandemic due to several reasons during the project preparation phase, and with the extended impact from COVID, it is becoming challenging for the project implementation to go as smooth as planned. However, the PMU has realized these challenges and is doing its best to overcome the barriers in order to ensure successful implementation for the rest of the project's time. Additionally, if need and possible, the UNDP CO would appreciate given more flexibility and resources (e.g. DPC) to support the IP in procuring services, equipment, and implement targeted activities.

In addition, the various virtual platforms need to mobilize and agreed to use among the local government and implementing partners. M&E way to measure the indicator may need to be revised based on the different platforms changed.

DNP:

Information is pending

TRAFFIC:

1. The adaptive management measures outlined above will continue for as long as necessary.
2. We shall request a 3-month no-cost extension until 30 March 2022 for our participation in the project to ensure all activities will be completed as planned.

TRACE:

Realistically there are three options for progression: 1. Abandon the project, or all activities relating to this responsible parties – as delivery is too challenging based on DNP support and later covid pandemic issues; 2. Refocus the activities (and budget) to support more intensive delivery over the remaining years of the project; 3. Significantly reduce the activities of the responsible parties.

As we try to identify the best way forward, we are again seeing an increase in covid transmission in Thailand and increased local and national lockdowns. Mitigative actions need to be dynamic as the covid pandemic is continually 'changing the goalposts' thus requiring flexible approaches to delivery.

IUCN:

Information is pending

Annex 15: Confirmed Sources of Co-financing for the project by name and type

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount (\$)
GEF Agency	UNDP	In-kind	Investment mobilized	49,953
Recipient Country Government	DNP	In-kind	Recurrent expenditures	3,064,540
Recipient Country Government	DNP	In-kind	Investment mobilized	1,479,460
Recipient Country Government	NED / RTP	In-kind	Recurrent expenditures	2,337,460
Recipient Country Government	NED / RTP	In-kind	Investment mobilized	728,000
Civil Society Organization	TRAFFIC	Grant	Investment mobilized	67,223
Civil Society Organization	IUCN	In-kind	Investment mobilized	35,930
Civil Society Organization	TRACE	In-kind	Investment mobilized	16,850
Civil Society Organization	USAID Wildlife Asia	In-kind	Investment mobilized	3,055,788
(select)		(select)	(select)	
(select)		(select)	(select)	
(select)		(select)	(select)	
(select)		(select)	(select)	
(select)		(select)	(select)	
(select)		(select)	(select)	
Total Co-financing				10,835,204

NOTE: Documentation supporting the, in the table, listed data has been provided to the UNDP Country Office in Thailand

Annex 16: Assignment TOR**Midterm Review Terms of Reference****Combating Illegal Wildlife Trade, focusing on Ivory, Rhino Horn, Tiger and Pangolins in Thailand Project
(Project ID no. 00093576)****BASIC CONTRACT INFORMATION****Location:** Thailand**Application Deadline:** 15 May 2021**Type of Contract:** Individual Contract**Post Level:** International Midterm Evaluation (MTR) Consultant (Individual Consultant)**Languages Required:** English**Starting Date:** 24 May 2021**Duration of Initial Contract:** 23 working days**Expected Duration of Assignment:** 24 May –24 August 2021**BACKGROUND**

A. Project Title Combating Illegal Wildlife Trade, focusing on Ivory, Rhino Horn, Tiger and Pangolins in Thailand

B. Project Description

UNDP Thailand Country Office is looking for an international consultant who will work together with a national consultant in conducting the Midterm Review (thereafter referred to as the “Evaluation Team”).

This is the Terms of Reference for the UNDP-GEF Midterm Review (MTR) of the full-sized project titled “Combating Illegal Wildlife Trade, focusing on Ivory, Rhino Horn, Tiger and Pangolins in Thailand” (PIMS# 5619) implemented through the Department of National Parks, Wildlife and Plant Conservation, which is to be undertaken in 2021. The project started on the 19th November 2018 and is in its third year of implementation. This ToR sets out the expectations for this MTR. The MTR process must follow the guidance outlined in the document *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* (https://co.undpgefpims.org/workspace?current_directory_id=45).

The Project Objective is to reduce the trafficking of wildlife (focusing on elephant ivory, rhinoceros horn, tiger and pangolins) in Thailand through enhanced enforcement capacity and collaboration and targeted behavior change campaigns. To achieve this objective, the project will utilize four strategies or Project Components as follows: Component 1: Improved Cooperation, Coordination and Information Exchange. This will strengthen the collaboration mechanism and provide a platform for exchange of information among the responsible agencies for illegal wildlife trade (IWT) law enforcement. Component 2: Enhanced Enforcement and Prosecution Capacity. This will increase the coherence and capacity of law enforcement agencies to address and deter illegal trafficking of wildlife (focusing on elephant ivory, rhinoceros horn, tigers and pangolins) through strengthening the cross-sectoral enforcement and prosecution framework. Component 3: Reduced demand for illegal wildlife products and targeted awareness actions to support law enforcement. The project will work with partners to learn from existing efforts and achieve cumulative impact through a Steering Group and the Community of Practice on Demand Reduction. The activities will follow a well-defined systematic process for developing, implementing and evaluating SBCC initiatives. This component also aims to increase awareness of prevailing laws and upcoming WARPA reforms and publicize convictions to strengthen deterrence of wildlife trafficking. Component 4: Knowledge Management, Monitoring and Evaluation and Gender Mainstreaming. This component closely links with and underpins the other three, by supporting the sharing of knowledge, experiences and lessons learned through project implementation with project stakeholders, the wider public in Thailand, and globally through the GEF-financed, World Bank-led Global Wildlife Program, of which this project is a part. The total budget is USD 4,018,440 with a planned co-financing as below:-

Parallel co-financing (all other co-financing that is not cash co-financing administered by UNDP)
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UNDP	USD 50,000
Government - DNP	USD 14,539,379
Government – NED/RTP	USD 10,000,000
IUCN	USD 90,000
TRAFFIC	USD 100,000
TRACE	USD 30,000
USAID Wildlife Asia	USD 3,000,000
Total co-financing	USD 27,809,379

Grand total Project Financing is USD 31,827,819

Since 2020, the prolonged strict COVID-19 crisis response has significantly impacted the project implementation. Activities at the project locations have been postponed and implementing partner was in difficulty to proceed a procurement, training, workshop, networking of activities.

C. MTR Purpose

The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document. It will identify early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project's strategy and its risks to sustainability.

The progress will be assessed in consideration of the following: :

- Project strategy: project design and results framework/logframe;
- Progress towards results (outcomes);
- Project implementation and adaptive management: management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation (M&E) systems, stakeholder engagement, social and environmental standards, reporting, and communication and knowledge management; and
- Sustainability: financial, socio-economic, environmental, institutional framework and governance risks to sustainability.

The MTR report will provide conclusions and recommendations deriving from the findings and rate project's results according to the template provided.

NOTE: Detail any COVID-19 project interventions that should be included in the scope of the evaluation.

The MTR will look into how Covid-19 has affected the implementation of the project, both negatively and positively; how the project has adapted to the changed circumstances; and what interventions were undertaken in response to the circumstances.

DUTIES AND RESPONSIBILITIES

D. MTR Approach & Methodology

The MTR report must provide evidence-based information that is credible, reliable, and useful.

The MTR team will review all relevant sources of information including documents prepared during the preparation phase (i.e., PIF, UNDP Initiation Plan, UNDP Social and Environmental Screening Procedure (SESP)), the Project Document, project reports including Annual Project Review/PIRs, project budget revisions, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review. The MTR team will review the baseline GEF focal area Core Indicators/Tracking Tools submitted to the GEF at CEO endorsement, and the midterm GEF focal area Core Indicators/Tracking Tools that must be completed before the MTR field mission begins.

The MTR team is expected to follow a collaborative and participatory approach⁴¹ ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), the Nature, Climate and Energy (NCE) Regional Technical Advisor, direct beneficiaries, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR.⁴² Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to Department of National Parks, Wildlife and Plant Conservation (DNP), Ministry of Natural Resources and Environment (MoNRE); executing agencies, senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTR team is expected to conduct field missions to Nong Khai Province, Song Kha Province. (depending on travel restriction on COVID-19).

Interviews will be held with the following organizations and individuals at a minimum:

List of Stakeholders

Department of National Parks, Wildlife and Plant Conservation (DNP)

- Mr. Thanya Netithammakun, Director General
- Dr. Runghapha Pattanaviboon, Deputy Director General,
- Director of Wildlife Conservation Office
- Director of CITES
- Director of Wildlife Check point bureau
- Dr. Kanita Ouitavorn, Director of Wildlife Forensic Center
- Mr. Manop Lauprasert (IWT Senior Advisor)
- Dr. Ronasit Maneesia (IWT Project Co-manager)
- Head of Wildlife Check point, Nongkai Province (DNP)
- Head of Wildlife Check point Songkha province (DNP)

Responsible Parties

- Stephen Watson, TRAFFIC | Senior Specialist, Behaviour Change
- Gayle Burgess, TRAFFIC | Behavioural Change Programme Leader
- Dararat Weerapong, TRAFFIC | Senior Project Manager
- Dr. Ross Ross McEwing, Director TRACE Wildlife Forensics Network
- Mr. Scott Perkin:, Head, Natural Resources Group; IUCN Asia Regional Office
- Ms. Siriporn Sriaram, Acting Head of Office, IUCN Thailand
- Mr. Pratheep Mekatitam, IWT Project Officer, IUCN Thailand Programme

IWT Partners

- Dr. Anak Pattanaviboon WCS, Director Thailand Country Program
- Mr. Peter Collier, Chief of Party: USAID Wildlife Asia Programme

⁴¹ For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see **UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results**, 05 Nov 2013.

⁴² For more stakeholder engagement in the M&E process, see the **UNDP Handbook on Planning, Monitoring and Evaluating for Development Results**, Chapter 3, pg. 93.

- Mr. Jedsada Taweekan, IWT Programme, WWF Thailand

The specific design and methodology for the MTR should emerge from consultations between the MTR team and the above-mentioned parties regarding what is appropriate and feasible for meeting the MTR purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. The MTR team must, however, use gender-responsive methodologies and tools and ensure that gender equality and women's empowerment, as well as other cross-cutting issues and SDGs are incorporated into the MTR report.

The final methodological approach including interview schedule, field visits and data to be used in the MTR should be clearly outlined in the Inception Report and be fully discussed and agreed between UNDP, stakeholders and the MTR team.

The final MTR report must describe the full MTR approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review.

In case that the International MTR consultant cannot enter to Thailand due to the COVID-19 VISA protocol, the MTR team should develop a methodology that reflects the adaptive management. This includes remote interview methods and extended desk reviews, data analysis, surveys and evaluation questionnaires. This must be detailed in the MTR Inception Report and agreed with by the Commissioning Unit.

As of 11 March 2020, the World Health Organization (WHO) declared COVID-19 a global pandemic as the new coronavirus rapidly spread to all regions of the world. Travel to the country has been restricted since 03/2020 and travel in the country is also restricted. If it is not possible to travel to or within the country for the MTR mission then the MTR team should develop a methodology that takes this into account the conduct of the MTR virtually and remotely, including the use of remote interview methods and extended desk reviews, data analysis, surveys and evaluation questionnaires. This should be detailed in the MTR Inception Report and agreed with the Commissioning Unit.

If all or part of the MTR is to be carried out virtually then consideration should be taken for stakeholder availability, ability or willingness to be interviewed remotely. In addition, their accessibility to the internet/computer may be an issue as many government and national counterparts may be working from home. These limitations must be reflected in the final MTR report.

If a data collection/field mission is not possible then remote interviews may be undertaken through telephone or online (skype, zoom etc.). International consultants can work remotely with national evaluator support in the field if it is safe for them to operate and travel. No stakeholders, consultants or UNDP staff should be put in harm's way and safety is the key priority.

A short validation mission may be considered if it is confirmed to be safe for staff, consultants, stakeholders and if such a mission is possible within the MTR schedule. Equally, qualified and independent national consultants can be hired to undertake the MTR and interviews in country as long as it is safe to do so.

E. Detailed Scope of the MTR

The MTR team will assess the following four categories of project progress. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for extended descriptions.

NOTE: Include below COVID-19 specific questions, as needed, and/or recognise the impact of COVID-19 and limitations on the project in the guiding evaluation questions.

1. Project Strategy

Project Design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.
 - Were relevant gender issues (e.g. the impact of the project on gender equality in the programme country, involvement of women's groups, engaging women in project activities) raised in the Project Document?
- If there are major areas of concern, recommend areas for

Results Framework/Logframe:

- Undertake a critical analysis of the project's logframe indicators and targets, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?
- Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
- Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits.

2. Progress Towards Results

- Review the logframe indicators against progress made towards the end-of-project targets; populate the Progress Towards Results Matrix, as described in the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*; colour code progress in a "traffic light system" based on the level of progress achieved; assign a rating on progress for the project objective and each outcome; make recommendations from the areas marked as "not on target to be achieved" (red).

Table. Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)

Project Strategy	Indicator ⁴³	Baseline Level ⁴⁴	Level in 1 st PIR (self-reported)	Midterm Target ⁴⁵	End-of-project Target	Midterm Level & Assessment ⁴⁶	Achievement Rating ⁴⁷	Justification for Rating
Objective:	Indicator (if applicable):							
Outcome 1:	Indicator 1:							
	Indicator 2:							
Outcome 2:	Indicator 3:							
	Indicator 4:							

⁴³ Populate with data from the Logframe and scorecards

⁴⁴ Populate with data from the Project Document

⁴⁵ If available

⁴⁶ Colour code this column only

⁴⁷ Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

	Etc.							
Etc.								

Indicator Assessment Key

Green= Achieved

Yellow= On target to be achieved

Red= Not on target to be achieved

In addition to the progress towards outcomes analysis:

- Compare and analyse the GEF Tracking Tool/Core Indicators at the Baseline with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

3. Project Implementation and Adaptive ManagementManagement Arrangements

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.
- Do the Executing Agency/Implementing Partner and/or UNDP and other partners have the capacity to deliver benefits to or involve women? If yes, how?
- What is the gender balance of project staff? What steps have been taken to ensure gender balance in project staff?
- What is the gender balance of the Project Board? What steps have been taken to ensure gender balance in the Project Board?

Work Planning

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
- Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since project start.

Finance and co-finance

- Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
- Informed by the co-financing monitoring table to be filled out by the Commissioning Unit and project team, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

Sources of Co-financing	Name of Co-financer	Type of Co-financing	Co-financing amount confirmed at CEO Endorsement (US\$)	Actual Amount Contributed at stage of Midterm Review (US\$)	Actual % of Expected Amount

		TOTAL			

- Include the separate GEF Co-Financing template (filled out by the Commissioning Unit and project team) which categorizes co-financing amounts by source as ‘investment mobilized’ or ‘recurrent expenditures’. (This template will be annexed as a separate file.)

Project-level monitoring and evaluation systems

- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?
- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?
- Review the extent to which relevant gender issues were incorporated in monitoring systems. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.

Stakeholder Engagement

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?
- How does the project engage women and girls? Is the project likely to have the same positive and/or negative effects on women and men, girls and boys? Identify, if possible, legal, cultural, or religious constraints on women’s participation in the project. What can the project do to enhance its gender benefits?

Social and Environmental Standards (Safeguards)

- Validate the risks identified in the project’s most current SESP, and those risks’ ratings; are any revisions needed?
- Summarize and assess the revisions made since CEO Endorsement/Approval (if any) to:
 - The project’s overall safeguards risk categorization.
 - The identified types of risks⁴⁸ (in the SESP).
 - The individual risk ratings (in the SESP).
- Describe and assess progress made in the implementation of the project’s social and environmental management measures as outlined in the SESP submitted at CEO Endorsement/Approval (and prepared during implementation, if any), including any revisions to those measures. Such management measures might include Environmental and Social Management Plans (ESMPs) or other management plans, though can also include aspects of a project’s design; refer to Question 6 in the SESP template for a summary of the identified management measures.

A given project should be assessed against the version of UNDP’s safeguards policy that was in effect at the time of the project’s approval.

⁴⁸ Risks are to be labeled with both the UNDP SES Principles and Standards, and the GEF’s “types of risks and potential impacts”: Climate Change and Disaster; Disadvantaged or Vulnerable Individuals or Groups; Disability Inclusion; Adverse Gender-Related impact, including Gender-based Violence and Sexual Exploitation; Biodiversity Conservation and the Sustainable Management of Living Natural Resources; Restrictions on Land Use and Involuntary Resettlement; Indigenous Peoples; Cultural Heritage; Resource Efficiency and Pollution Prevention; Labor and Working Conditions; Community Health, Safety and Security.

Reporting

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- Assess how well the Project Team and partners undertake and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

Communications & Knowledge Management

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?
- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.
- List knowledge activities/products developed (based on knowledge management approach approved at CEO Endorsement/Approval).

4. Sustainability

- Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Register are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.
- In addition, assess the following risks to sustainability:

Financial risks to sustainability:

- What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

Socio-economic risks to sustainability:

- Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long-term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?

Institutional Framework and Governance risks to sustainability:

- Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.

Environmental risks to sustainability:

- Are there any environmental risks that may jeopardize sustenance of project outcomes?

Conclusions & Recommendations

The MTR consultant/team will include a section in the MTR report for evidence-based **conclusions**, in light of the findings.

Additionally, the MTR consultant/team is expected to make **recommendations** to the Project Team. Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary. The MTR consultant/team should make no more than 15 recommendations total.

Ratings

The MTR team will include its ratings of the project's results and brief descriptions of the associated achievements in *MTR Ratings & Achievement Summary Table* in the Executive Summary of the MTR report. See the TOR Annexes for the Rating Table and ratings scales.

F. Expected Outputs and Deliverables

Due to unexpected the 3rd wave of Covid-19 outbreak in Thailand, the TE mission can be done a virtual meeting/interview with the stakeholders. It is subjected to be adjusted in consultation with the M&E focal point of the UNDP Thailand Country Office after the contract signing.

The MTR team shall prepare and submit:

- MTR Inception Report: MTR team clarifies objectives and methods of the Midterm Review no later than 2 weeks before the MTR mission. To be sent to the Commissioning Unit and project management. Completion date: **6 July 2021**
- Presentation: MTR team presents initial findings to project management and the Commissioning Unit at the end of the MTR mission. Completion date: **23 July 2021**
- Draft MTR Report: MTR team submits the draft full report with annexes within 3 weeks of the MTR mission. Completion date: **8 August 2021**
- Final Report*: MTR team submits the revised report with annexed and completed Audit Trail detailing how all received comments have (and have not) been addressed in the final MTR report. To be sent to the Commissioning Unit within 1 week of receiving UNDP comments on draft. Completion date: **27 August 2021**

*The final MTR report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

G. Institutional Arrangements

NOTE: Detail the role of the Commissioning Unit and Project Team in supporting the implementation of remote/virtual meetings. An updated stakeholder list with contact details (phone and email) will need to be provided by the Commissioning Unit to the MTR team. Adjust the text if a mission will not take place.

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project's MTR is UNDP Thailand Country Office.

The Commissioning Unit will contract the consultants and ensure the timely provision of per diems and travel arrangements within the country for the MTR team. The Project Team will be responsible for liaising with the MTR team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

The UNDP Thailand Country Office and Project Team will provide logistic support in the implementation of remote/virtual meetings if travel to project site is restricted. An updated stakeholder list with contact details

(phone and email) will be provided by the UNDP Thailand Country Office to the MTR team. The MTR offer shall be all inclusive cost of travelling.

H. Duration of the Work

NOTE: Flexibility and delays should be included in the timeframe for the MTR, with additional time for implementing the MTR virtually recognising possible delays in accessing stakeholder groups due to COVID-19. Consideration may be given to a time contingency should the evaluation be delayed in any way due to COVID-19. Adjust the text in this column if a mission will not take place. The stakeholder interviews, if done virtually, may require a longer than usual time period. Please adjust the number of days and completion date to accommodate this.

The total duration of the MTR will be approximately 23 working days over a period of 11 weeks starting from 10 June, and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

TIMEFRAME	ACTIVITY
14 June	Contract begins. Prep the MTR Team (handover of Project Documents)
1-6 July	Project Document Review Submit MTR Inception Report to UNDP for review
7 July	Finalization of the MTR Inception Report and re-submit to UNDP.
9 - 16 July	Inception meeting at UNDP Country Office meeting with the Project Team MTR mission: stakeholder meetings/ interviews
17-18 July	Preparation of presentations for wrap-up meeting.
23 July	Mission wrap-up meeting & presentation of initial findings to UNDP Country Office and Project Management Unit
1 August – 8 August	Preparing draft MTR report
9 August – 19 August	Circulation of draft report with draft management response template for comments and completion (To be done by the Commission Unit)
20 August – 27 August	Incorporating audit trail from feedbacks on draft report/Finalization of MTR report including Management Responses
31 August	Expected date of contract closure

The date start of contract is from 10 June– 31 August 2021.

I. Duty Station

The International Consultant (Team Lead) can provide option to work remotely if there are constraints in obtaining VISA to enter Thailand. If so, the international consultant can work from home. The international consultant will coordinate with the appointed national consultant in the gathering of field data. The team's travel plan shall be adjusted based on travel restrictions of the government and UNDP, subject to the approval of the UNDP Thailand Resident Representative.

Travel:

International travel will be required to Thailand during the MTR mission;

- The BSAFE training course must be successfully completed prior to commencement of travel; Herewith is the link to access this training: <https://training.dss.un.org/courses/login/index.php> . These training modules at this secure internet site is accessible to Consultants, which allows for registration with private email.
- Individual Consultants are responsible for ensuring they have vaccinations/inoculations when travelling to certain countries, as designated by the UN Medical Director.
- Consultants are required to comply with the UN security directives set forth under <https://dss.un.org/dssweb/>

REQUIRED SKILLS AND EXPERIENCE

J. Qualifications of the Successful Applicants

The Terminal Evaluation team will conduct the MTR - one team leader (with experience and exposure to projects and evaluations in other regions globally) and one national expert, from Thailand. The International Consultant will be designated as the team leader and will be responsible for the overall design and writing of the MTR report. The National Consultant will assess emerging trends with respect to regulatory frameworks, budget allocations, capacity building, work with the Project Team in developing the MTR itinerary, etc.

The National Consultant will work closely with the International Consultant in supporting any work that needs to be undertaken as laid out in this ToR, and other tasks, as required. The National Consultant will also act as a focal point for coordinating and working with relevant stakeholders in Thailand. In the case of international travel restriction and the mission is not possible, the MTR team will use alternative means of interviewing stakeholders and data collection (i.e. Skype interview, mobile questionnaires, etc.) including the field visit by the National Consultant under the International Consultant's guidance. The consultants cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.

The selection of consultants will be aimed at maximizing the overall "team" qualities in the following areas:

Education

- Master's degree in a discipline relevant to Natural Resource Management, Environmental Science, Development Studies, Economic or other closely related field. ;

Experience

- Minimum of two (2) years of supporting project evaluation and/or implementation experience in the result-based management framework, adaptive management;
- Previous experiences in project evaluation/project design/implementation in relevant thematic areas (i.e. wildlife conservation, species conservation, community-based management, livelihood, sustainable utilization, environmental conservation, land use planning, ecology);
- Proven experiences in field level data collection with adequate knowledge of data collection tools and experience with implementing evaluations remotely;
- Demonstrated understanding of issues related to gender and community-based management.
- Experience applying SMART targets and reconstructing or validating baseline scenarios;
- Very good report writing skills in English;
- Familiarity in similar country or regional situations relevant to that of Strengthening Capacity and Incentives for Wildlife Conservation in the Western Forest Complex is an advantage;
- Some experience working with the GEF or GEF-evaluations is an advantage;
- Excellent communication skills;
- Demonstrable analytical skills.
- Experience with implementing evaluations remotely will be considered an asset.

Language

- Fluency in written and spoken English.

Responsibility

- Documentation review
- Leading the MTR Team in planning, conducting and reporting on the evaluation
- Deciding on division of labour within the Team and ensuring timeliness of reports

- Use of best practice evaluation methodologies in conducting the evaluation
- Leading the drafting and finalization of the Inception Report for the MTR
- Leading presentation of the draft evaluation findings and recommendations in-country
- Conducting the de-briefing for the UNDP Country Office in Thailand and Core Project Management Team
- Leading the drafting and finalization of the Midterm Review Report

K. Ethics

The MTR team will be held to the highest ethical standards and is required to sign a code of conduct upon acceptance of the assignment. This MTR will be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation'. The MTR team must safeguard the rights and confidentiality of information providers, interviewees and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The MTR team must also ensure security of collected information before and after the MTR and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information, knowledge and data gathered in the MTR process must also be solely used for the MTR and not for other uses without the express authorization of UNDP and partners.

L. Schedule of Payments

- 20% payment upon satisfactory delivery of the final MTR Inception Report and approval by the Commissioning Unit
- 40% payment upon satisfactory delivery of the draft MTR report to the Commissioning Unit
- 40% payment upon satisfactory delivery of the final MTR report and approval by the Commissioning Unit and RTA (via signatures on the TE Report Clearance Form) and delivery of completed TE Audit Trail

Criteria for issuing the final payment of 40%

- The final MTR report includes all requirements outlined in the MTR TOR and is in accordance with the MTR guidance.
- The final MTR report is clearly written, logically organized, and is specific for this project (i.e. text has not been cut & pasted from other MTR reports).
- The Audit Trail includes responses to and justification for each comment listed.

Remarks

In line with the UNDP's financial regulations, when determined by the Commissioning Unit and/or the consultant that a deliverable or service cannot be satisfactorily completed due to the impact of COVID-19 and limitations to the MTR, that deliverable or service will not be paid.

Due to the current COVID-19 situation and its implications, a partial payment may be considered if the consultant invested time towards the deliverable but was unable to complete to circumstances beyond his/her control.

APPLICATION PROCESS

M. Recommended Presentation of Offer

- Letter of Confirmation of Interest and Availability** using the **template 49** provided by UNDP;
- CV and a Personal History Form (P11 form⁵⁰);**
- Brief description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)

⁴⁹

<https://intranet.undp.org/unit/bom/pso/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx>

⁵⁰ http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc

- d) **Financial Proposal** that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc), supported by a breakdown of costs, as per template attached to the **Letter of Confirmation of Interest template**. If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

N. Criteria for Selection of the Best Offer

Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP's General Terms and Conditions will be awarded the contract.

O. Annexes to the MTR ToR

- ToR ANNEX A: List of Documents to be reviewed by the MTR Team
- ToR ANNEX B: Guidelines on Contents for the Midterm Review Report⁵¹
- ToR ANNEX C: Midterm Review Evaluative Matrix Template
- ToR ANNEX D: UNEG Code of Conduct for Evaluators/Midterm Review Consultants⁵²
- ToR ANNEX E: MTR Ratings Table and Ratings Scales
- ToR ANNEX F: MTR Report Clearance Form
- ToR ANNEX G: Audit Trail Template
- ToR ANNEX H: Progress Towards Results Matrix

Approved by _____ Date _____

Lovita Ramguttee, Deputy Resident Representative
UNDP Thailand Country Office

⁵¹ The Report length should not exceed 40 pages in total (not including annexes).

⁵² <http://www.unevaluation.org/document/detail/100>

Annex 17: Rating Scales

Ratings for progress towards results:

Highly Satisfactory (HS)	Project is expected to achieve or exceed all its major global environmental objectives, and yields substantial global environmental benefits, without major shortcomings. The project can be presented as “good practice”.
Satisfactory (S)	Project is expected to achieve most of its major global environmental objectives, and yields satisfactory global environmental benefits, with only minor shortcomings.
Moderately Satisfactory (MS)	Project is expected to achieve most of its major relevant objectives but with either significant shortcomings or modest overall relevance. Project is expected not to achieve some of its major global environmental objectives or yield some of the expected global environment benefits.
Moderately Unsatisfactory (MU)	Project is expected to achieve its major global environmental objectives with major shortcomings or is expected to achieve only some of its major global environmental objectives.
Unsatisfactory (U)	Project is expected not to achieve most of its major global environment objectives or to yield any satisfactory global environmental benefits.
Highly Unsatisfactory (U)	The project has failed to achieve, and is not expected to achieve, any of its major global environment objectives with no worthwhile benefits.

Ratings for project implementation and adaptive management:



Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

Ratings for sustainability (one overall rating):

Likely (L)	Negligible risks to sustainability, with key Outcomes on track to be achieved by the project's closure and expected to continue into the foreseeable future
Moderately Likely (ML)	Moderate risks, but expectations that at least some Outcomes will be sustained due to the progress towards results on Outcomes at the Midterm Review
Moderately Unlikely (MU)	Significant risk that key Outcomes will not carry on after project closure, although some outputs and activities should carry on
Unlikely (U)	Severe risks that project Outcomes as well as key outputs will not be sustained

Annex 18: Signed UNEG Code of Conduct Agreement Form**Evaluators:**



1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and: respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/ or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

MTR Consultant Agreement Form	MTR Consultant Agreement Form
Agreement to abide by the Code of Conduct for Evaluation in the UN System	Agreement to abide by the Code of Conduct for Evaluation in the UN System
Name of Consultant: Carsten Germer	Name of Consultant: Tien-ake Tiyapongattana
I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.	I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.
Signed on 09 August 2021	Signed on 09 August 2021
	
Signature of consultant	Signature of consultant
MTR Consultant	MTR Consultant

Annex 19 Audit trail.

The Audit Trail is provided as a separate annex

Annex 20: Signed MTR final report clearance form

Midterm Review Report Reviewed and Cleared By:	
Commissioning Unit	
Name: Ranjita Mohanty, Programme Specialist	
Signature: 	Date: 31 August 2021
UNDP-GEF Regional Technical Advisor	
Name: Gabriel Jaramillo, Regional Technical Specialist	
Signature: 	Date: 31 August 2021