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International Consortium on Combating Wildlife Crime

# **ICCWC Indicator Framework for Combating Wildlife and Forest Crime**

**A self-assessment framework for national use**

## **Assessment Guidelines**

Revised July 2016

### **About ICCWC**

ICCWC stands for the International Consortium on Combating Wildlife Crime. ICCWC is the collaborative effort of five inter-governmental organizations 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, the World Bank and the World Customs Organization. This powerful alliance was formally established on 23 November 2010 in St. Petersburg, Russia during the International Tiger Forum when the signatures of all partners were included on the Letter of Understanding.

The mission of ICCWC is to usher in a new era where perpetrators of serious wildlife and forest crime will face a formidable and coordinated response, rather than the present situation where the risk of detection and punishment is all too low.

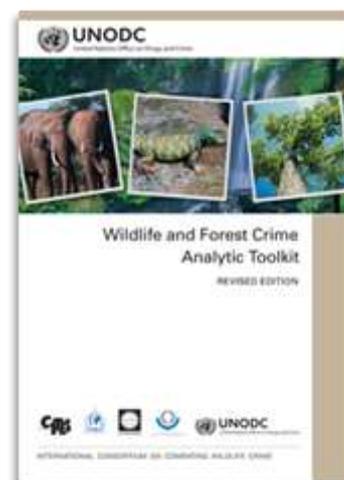
Further information on ICCWC is available at <http://www.cites.org/eng/prog/ICCWC.php>

## Introduction

Despite considerable efforts to combat wildlife crime it remains a growing problem worldwide. Recent years have seen a spike in the scale of wildlife crime and a change in the nature of this illicit activity, with an increased involvement of organized crime groups. The serious nature of wildlife crime and its diverse economic, social and environmental impacts are increasingly recognized<sup>1</sup>. Numerous high-level events and calls to action – including a resolution by the United Nations General Assembly<sup>2</sup> – have urged Member States to strengthen their national responses to combat wildlife crime.

In parallel with this enhanced effort, there is also a need to understand the effectiveness of current responses to combating wildlife and forest crime. This need precipitated the development of the *ICCWC Wildlife and Forest Crime Analytic Toolkit* (ICCWC Toolkit)<sup>3</sup>, which provides a technical resource for countries to complete a national assessment of the main issues related to wildlife crime in the country. The ICCWC Toolkit helps analyze national preventive and criminal justice responses to wildlife crime and identify technical assistance needs.

The **ICCWC Indicator Framework for Combating Wildlife and Forest Crime** (ICCWC Indicator Framework) has been developed to work alongside the ICCWC Toolkit and provide an additional assessment tool for use at a national level. While the ICCWC Toolkit provides the means for a comprehensive analysis, the ICCWC Indicator Framework allows for a more rapid assessment of a national law enforcement response to wildlife crime. It also provides a standardized framework to monitor any changes in national law enforcement capacity and effectiveness over time. The ICCWC Indicator Framework is a comprehensive set of 50 indicators arranged against eight desired outcomes of effective law enforcement to combat wildlife crime. It is in the form of a self-assessment framework, which is best completed through a collaborative process involving all relevant national law enforcement agencies.



The framework has been developed with the input of global experts in wildlife crime law enforcement and in the development and application of indicator frameworks.

These Assessment Guidelines are organized in three parts:

- Part 1 provides an overview of the ICCWC Indicator Framework, and introduces the 50 indicators and the eight enforcement outcomes they are grouped under
- Part 2 lists practical guidance on completing an assessment using the ICCWC Indicator Framework
- Part 3 discusses the analysis of results including the more detailed exploration of results using the ICCWC Toolkit.

An Assessment Template providing the full measurement details of all 50 indicators is also available.

### A note on terminology

Throughout this document and the ICCWC Indicator Framework the term ‘wildlife and forest crime’ has been shortened to ‘wildlife crime’. This is not intended to limit the scope of the assessment and all references to ‘wildlife crime’ should be interpreted to mean poaching and/or illicit trafficking in wildlife and forest products.

<sup>1</sup> For example, the economic, social and environmental impacts of wildlife crime are recognized in paragraph 203 of the outcome resolution *The Future We Want* from Rio+20, the United Nations Conference on Sustainable Development (A/RES/66/288). Available from: [http://www.un.org/en/ga/search/view\\_doc.asp?symbol=A/RES/66/288](http://www.un.org/en/ga/search/view_doc.asp?symbol=A/RES/66/288)

<sup>2</sup> United Nations General Assembly resolution 69/314 on *Tackling illicit trafficking in wildlife* (A/RES/69/314), available at: [http://www.un.org/en/ga/search/view\\_doc.asp?symbol=A/RES/69/314](http://www.un.org/en/ga/search/view_doc.asp?symbol=A/RES/69/314)

<sup>3</sup> Further information about the ICCWC Toolkit, including the Toolkit in English, French and Spanish, is available at: <https://www.cites.org/eng/prog/iccwc.php/Tools>. A factsheet on the ICCWC Toolkit is available at: [https://cites.org/sites/default/files/eng/prog/iccwc/Toolkit\\_Fact\\_Sheet\\_ENG.pdf](https://cites.org/sites/default/files/eng/prog/iccwc/Toolkit_Fact_Sheet_ENG.pdf)

## Part 1 | Overview of ICCWC Indicator Framework for Combating Wildlife and Forest Crime

The ICCWC Indicator Framework is grouped around eight desired outcomes of an effective enforcement response (see Figure 1). Assessment using the ICCWC Indicator Framework is designed to take place in these eight outcome groups to allow for meaningful interpretation of trends in conceptually-related areas.

**Figure 1: The eight outcomes of an effective law enforcement response used in the ICCWC Indicator Framework for Combating Wildlife and Forest Crime**



Fifty indicators – or performance measures – have been identified under these eight outcomes, representing the critical areas to monitor to determine the effectiveness of a national law enforcement response to wildlife crime. For example, Outcome 1 assesses the extent to which proactive enforcement activities that can help deter wildlife crime are being deployed, including indicators covering national enforcement strategy, national and international cooperation and the use of risk management techniques and proactive investigations. Outcome 2 assesses capacity and trends in the detection of wildlife crime, including participation in joint operations, border control capacity and powers, and monitoring of the seizure of wildlife specimens. Outcomes 3 and 4 focus on the investigation of wildlife crime including capacity to develop and use intelligence, and deploy specialized investigation techniques against wildlife crime as appropriate. Outcomes 5, 6 and 7 assess the prosecution and conviction of wildlife crime, considering the strength of legislative provisions to combat wildlife crime, prosecutorial capacity, and the appropriateness of the penalties and verdicts that are handed down in court. Outcome 8 looks at responses to wildlife crime more broadly, and assesses the extent to which demand reduction, public awareness-raising, engagement of local communities and livelihoods are considered in national responses. The full list of 50 indicators is provided in Table 1.

While the ICCWC Indicator Framework has been developed for application at the national level using the eight outcomes, it is also possible to conduct an analysis of results at a thematic level – such as by selecting the results for only those indicators related to legislation. Each of the 50 indicators has been aligned to the relevant Part(s) of the ICCWC Toolkit to support such thematic analysis as desired. Approximately half of the indicators align to existing global reporting mechanisms, which would support the identification of global and regional averages in the future as desired. An indication of national, thematic and global assessment using the ICCWC Indicator Framework is shown in Figure 2.

**Table 1: The 50 indicators in the ICCWC Indicator Framework for Combating Wildlife and Forest Crime (refer to Assessment Template for full indicator measurement schemes)**

<p>OUTCOME 1</p> <p><b>Proactive enforcement is deterring deter wildlife crime</b></p>	<ol style="list-style-type: none"> <li>1. <b>Enforcement priority</b> The recognition of combating wildlife crime as a high priority for national law enforcement agencies.</li> <li>2. <b>Serious crime</b> The recognition of wildlife crime involving organized criminal groups as serious crime.</li> <li>3. <b>National enforcement strategy</b> The existence of a national enforcement strategy and/or action plan for wildlife crime.</li> <li>4. <b>National cooperation</b> The extent of inter-agency cooperation among national law enforcement agencies to combat wildlife crime.</li> <li>5. <b>International cooperation</b> The extent of international cooperation to combat wildlife crime.</li> <li>6. <b>Strategic risk management</b> The extent to which strategic risk management is used to target operational enforcement planning and the implementation of measures to combat wildlife crime.</li> <li>7. <b>Proactive investigations</b> The extent to which proactive investigations are used to target prominent and emerging wildlife crime threats.</li> <li>8. <b>Staffing and recruitment</b> The level of staff resources in national law enforcement agencies to combat wildlife crime.</li> <li>9. <b>Law enforcement training</b> The extent to which institutional training programmes for national law enforcement agencies include content to build capacity to combat wildlife crime.</li> </ol>
<p>OUTCOME 2</p> <p><b>Wildlife crime can be detected by law enforcement agencies</b></p>	<ol style="list-style-type: none"> <li>10. <b>Targeted enforcement presence</b> The extent to which law enforcement activities are targeted towards the locations most affected by or used for wildlife crime.</li> <li>11. <b>Joint operations</b> Participation in multi-disciplinary enforcement operations targeting wildlife crime.</li> <li>12. <b>Border control staff</b> The extent to which ports of entry and exit are staffed with law enforcement officers that are aware of and trained in detecting and responding to wildlife crime.</li> <li>13. <b>Border control equipment</b> The extent to which law enforcement officers at ports of entry and exit can access equipment, tools and materials to detect and respond to wildlife crime.</li> <li>14. <b>Inspection and seizure powers</b> The extent to which national legislation empowers law enforcement agencies to inspect and seize consignments suspected of containing illegal wildlife specimens and confiscate illegal wildlife consignments.</li> <li>15. <b>Disposal of confiscated wildlife specimens</b> The adequacy of the systems and procedures that are in place for the management, secure storage, auditing and disposal of confiscated wildlife specimens.</li> <li>16. <b>Wildlife seizures</b> The number (and type) of seizures of specimens of illicitly-traded wildlife.</li> <li>17. <b>Large-scale wildlife seizures</b> The number (and type) of large-scale seizures of specimens of illicitly-traded wildlife.</li> </ol>

## OUTCOME 3

**Wildlife crime is thoroughly investigated using an intelligence-led approach**

- 18. Investigative capacity**  
The capacity of national law enforcement agencies to investigate wildlife crime cases.
- 19. Information management**  
The extent of national procedures and systems to collate information on wildlife crime.
- 20. Intelligence analysis**  
The extent to which information on wildlife crime is verified and analyzed to generate intelligence.
- 21. Intelligence-led investigations**  
The extent to which criminal intelligence is used to support investigations into wildlife crime.
- 22. Follow-up investigations**  
The extent to which follow-up investigations are conducted for wildlife crime cases.
- 23. Transnational wildlife crime reporting**  
The percentage of wildlife crime cases of a transnational nature that were reported to databases of intergovernmental organizations mandated to receive and maintain such data.

## OUTCOME 4

**Specialized investigation techniques are used to combat wildlife crime as required**

- 24. Legal authority to use specialized investigation techniques**  
The existence of provisions in national legislation to use specialized investigation techniques in the investigation of wildlife crime.
- 25. Use of specialized investigation techniques**  
The use of specialized investigation techniques by national law enforcement agencies to combat wildlife crime.
- 26. Forensic technology**  
The capacity of national law enforcement agencies to use forensic technology to support wildlife crime investigations.
- 27. Financial investigations**  
The capacity of national law enforcement agencies to conduct financial investigations to support the investigation and prosecution of wildlife crime.

## OUTCOME 5

**There is a strong legal basis to combat wildlife crime**

- 28. National wildlife legislation**  
The comprehensiveness of national legislative provisions for wildlife conservation, management and use, including international trade in protected species of wildlife.
- 29. CITES legislation assessment**  
The category in which CITES implementation legislation has been placed under the CITES National Legislation Project.
- 30. Legal provisions for international cooperation**  
The extent to which national provisions for international cooperation in criminal matters are applied to wildlife crime.
- 31. Legal provisions to combat corruption**  
The existence of provisions against corruption in national legislation that can be used in the investigation and prosecution of wildlife crime.
- 32. Legal provisions to address organized crime**  
The existence of national legislation for organized crime that can be used in the investigation and prosecution of wildlife crime.

## OUTCOME 6

**Wildlife crime is prosecuted in accordance with the severity of the crime**

- 33. Use of criminal law**  
The extent to which a combination of relevant national legislation and criminal law is used to prosecute wildlife crime in support of legislation enacted to combat wildlife crime.
- 34. Case file preparation**  
The capacity of national law enforcement agencies to prepare wildlife crime case files and give evidence in court.
- 35. Case clearance rate**  
The percentage of wildlife crime cases that were prosecuted in court.
- 36. Administrative penalties**  
The percentage of wildlife crime cases that were resolved with administrative penalties.
- 37. Prosecutorial capacity**  
The capacity of prosecutors to manage wildlife crime cases.
- 38. Prosecution guidelines**  
The existence of national guidelines for the prosecution of wildlife crime.
- 39. Conviction rate**  
The percentage of wildlife crime cases that were brought to trial which resulted in convictions.

## OUTCOME 7

**Wildlife crime offenders are appropriately penalized**

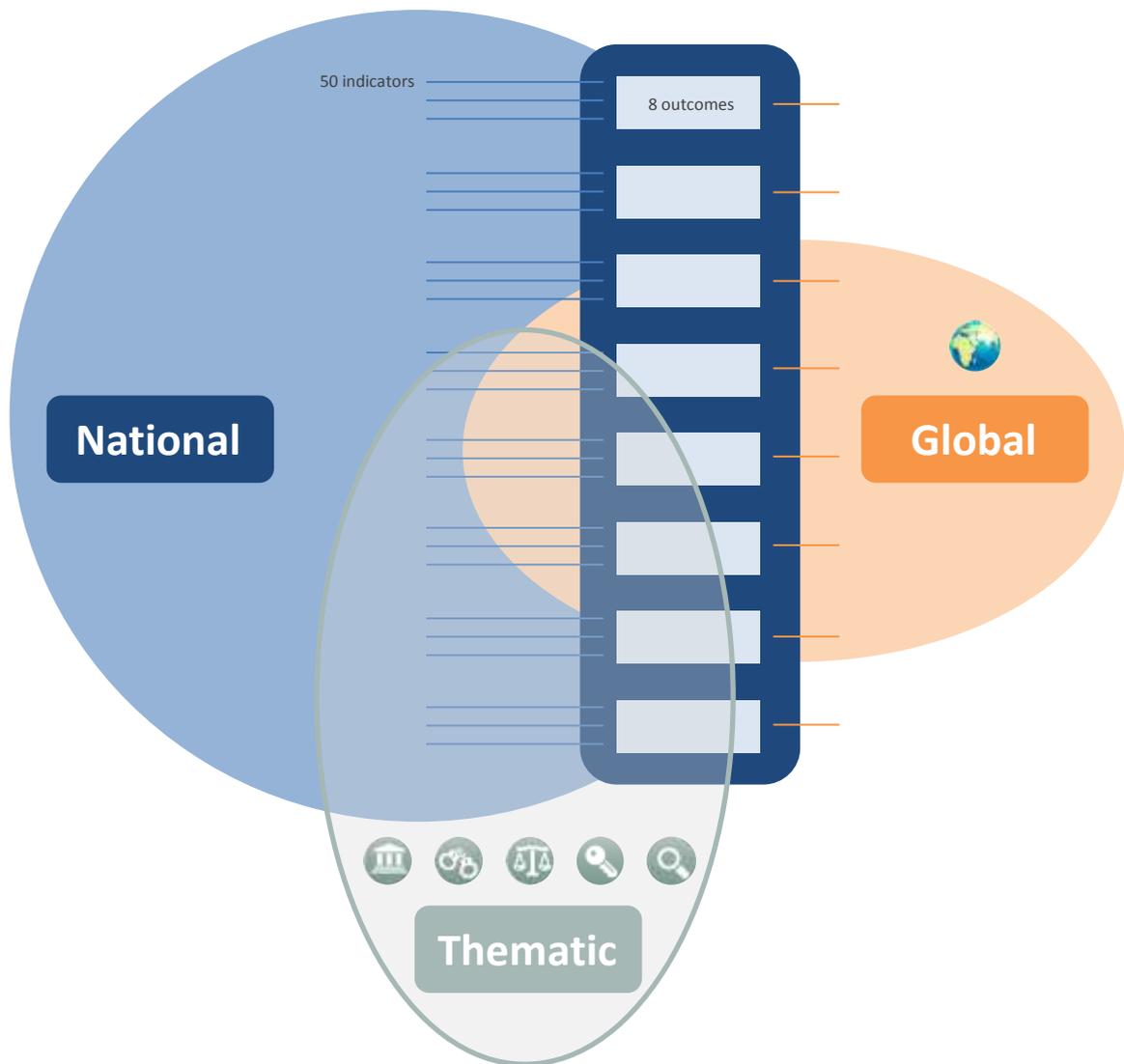
- 40. Available penalties**  
The extent to which national legislation penalizes wildlife crime offences in a manner that reflects the nature and severity of the crime.
- 41. Sentencing guidelines**  
The existence of national guidelines for the sentencing of offenders convicted with wildlife crime.
- 42. Judicial awareness**  
The extent of awareness of wildlife crime among the judiciary and the appropriateness of the verdicts handed down.
- 43. Legal provisions for asset forfeiture**  
The existence of provisions for asset forfeiture and recovery in national legislation that can be applied to wildlife crime.
- 44. Use of asset forfeiture legislation**  
The use of asset forfeiture and recovery legislation in wildlife crime cases.

## OUTCOME 8

**A holistic approach is deployed to combat wildlife crime**

- 45. Drivers of wildlife crime**  
The extent to which the drivers of wildlife crime in the country are known and understood.
- 46. Demand-side activities**  
The extent to which activities to address the demand of illicit wildlife products are implemented.
- 47. Regulated community**  
The extent of awareness-raising materials and/or programmes in place to increase the awareness of the regulated community of the laws that apply to the sustainable use of wildlife.
- 48. Local community engagement**  
The extent to which local communities are engaged in law enforcement activities to combat wildlife crime.
- 49. Livelihoods**  
The extent to which livelihoods and social capacity building are considered in activities to combat wildlife crime.
- 50. Public awareness**  
The extent of awareness-raising materials and/or programmes in place to increase public awareness of wildlife crime.

**Figure 2: National, thematic and global assessment using the ICCWC Indicator Framework for Combating Wildlife and Forest Crime**



### National monitoring

The ICCWC Indicator Framework is primarily designed for use at a national level through a collaborative process involving all relevant law enforcement agencies. The aim is to provide a comprehensive yet manageable series of indicators that can be monitored to assess the capacity and effectiveness of a national response to wildlife and forest crime. The tool is designed to be flexible to accommodate local situations, including the addition of nationally-specific indicators as required. The tool can also be applied at the individual agency or sub-national level as required, with results aggregated and/or re-assessed at a national level.

### Thematic monitoring

Each of the 50 indicators is aligned to the relevant section(s) of the ICCWC Toolkit. Thus, while the framework is intended to be used as a comprehensive set of 50 indicators across eight outcomes, it is also possible to conduct thematic monitoring by selecting only those indicators that relate to the specific area of interest (e.g. legislation) and analyzing these results together.

### Global monitoring

Around half of the indicators in the ICCWC Indicator Framework are aligned to existing reporting mechanisms that collate data at a global level. This will allow for the future potential global aggregation of national data to give an indication of global and regional averages. In turn, this information could complement national-level assessments by allowing a country to compare its results against the average for its region or the globe.

## Part 2 | How to use the ICCWC Indicator Framework for Combating Wildlife and Forest Crime

The ICCWC Indicator Framework is intended for use at a national level<sup>4</sup>. To enable an accurate national assessment, it is recommended that assessment using the ICCWC Indicator Framework is completed in a collaborative process with the participation of staff from relevant law enforcement agencies, such as the wildlife regulatory agency, Customs and police.

The key phases of conducting an assessment using the ICCWC Indicator Framework are planning for the assessment, data collection, analysis and documentation of results, and overall project review. A detailed step-by-step guide is set out in Table 2.

### Three types of indicators

There are three types of indicators in the ICCWC Indicator Framework, using different types of data collection:

#### *Expert-based assessment (EA)*

These performance measures are based on an expert self-assessment of your capacity or the adequacy of your responses in a particular enforcement matter. These performance measures provide a qualitative answer scale with four options scored between 0-3. The one answer which most closely matches the national situation should be selected (see further scoring guidance in Box 1).

#### *Process or document-based assessment (PA)*

These performance measures are based on the presence or absence of a key process or document that is considered important to an effective enforcement response, such as whether or not you have a key piece of legislation or an operational policy. These measures provide a dichotomous answer scale, with 'no' scored as 0 and 'yes' scored as 3. If there is uncertainty of whether a particular item exists, a 'no' answer should be required.

#### *Data-based assessment (DA)*

These performance measures use specific datasets that aim to provide useful information on the effectiveness of your enforcement response. These performance measures are not scored but provide useful information to be considered alongside the other indicators.

### Timescale of assessment

A number of indicators collate and review data for a specified time period. This time period will need to be defined when completing an assessment, and will typically be 12 months or 24 months. When completing an assessment, it is important to define the timescale over which data will be collated and reviewed, and to be consistent in the use of the specified timescale across all relevant indicators. For example, it may be agreed that an assessment will be completed every 24 months to consider how the effectiveness of the deployed law enforcement response may be changing over time. In this instance, data (e.g. numbers of seizures, prosecutions, convictions) would be collated and reviewed for the 24 months prior to each assessment. This same timeframe can also be used, as required, for any expert-based assessment indicators that ask experts to consider the extent to which certain techniques or interventions (e.g. joint operations) have been deployed.

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<sup>4</sup> If an assessment of site-level enforcement responses is required, application of the MIKE Site-level Law Enforcement Capacity Assessment could be considered. This tool provides a self-assessment template in a format similar to that followed with the expert-based assessment indicators in the ICCWC Indicator Framework, and is available at [https://cites.org/eng/prog/mike/tools\\_training\\_materials/leca](https://cites.org/eng/prog/mike/tools_training_materials/leca).

**Table 2: Conducting an assessment using the ICCWC Indicator Framework – a step-by-step guide**

<p><b>PHASE 1</b> <b>Planning</b></p>	<p><b>1. Identify the lead agency and establish project team</b></p> <p>Each assessment will typically take place with a lead agency. To ensure engagement and participation of key agencies with responsibility for combating wildlife crime, it may be desirable to establish a small inter-agency project team to provide oversight to the assessment process and evaluate assessment results.</p> <p><b>2. Identify the relevant agencies to be involved in the national assessment</b></p> <p>As a minimum, key enforcement agencies such as the wildlife regulatory agency, Customs and police should be involved in the national assessment. All relevant agencies with a role in combating wildlife crime might want to be engaged in the assessment, or relevant parts of the assessment as required.</p> <p><b>3. Identify and secure any resourcing needs</b></p> <p>While the budgetary costs for completing a national assessment should be minimal, an assessment will require access to staff time across key enforcement agencies and the data collation may involve costs related to access data and convene an expert workshop. The engagement and involvement of key enforcement agencies is a crucial part of an assessment and therefore securing the time of key experts through management approvals and support for the exercise should be pursued.</p> <p><b>4. Determine whether an agency or sub-national assessment will also be completed</b></p> <p>While the ICCWC Indicator Framework is designed to be completed at a national level, in certain situations it may be beneficial to also complete an assessment on an individual agency or sub-national level – for example, when there is likely to be variability in capacity or wildlife crime extent among agencies or different locations.</p> <p>In these instances, it may be beneficial for agencies to complete the assessment individually at an agency or sub-national level prior to participating in a collaborative national exercise as this will allow for any particular strengths or weaknesses based on agency or location to be identified ahead of the national assessment, and explored further during the national-level exercise. Data can then be aggregated – or re-assessed – at a national level to provide an overall assessment.</p>
<p><b>PHASE 2</b> <b>Data collection</b></p>	<p><b>5. Identify data needs</b></p> <p>The ICCWC Indicator Framework includes indicators that are completed by expert self-assessment, the review of key documentation such as national legislation and relevant operational procedures, or the collation and analysis of data. The availability of datasets, custodians of data and any access restrictions or costs to access data should be considered in the early stages of planning an assessment to facilitate timely access to the required data and identify those agencies that need to be involved in the data collection process.</p> <p><b>6. Request access to data (<i>DA indicators</i>)</b></p> <p>Data-based assessment indicators require the review of data related to law enforcement. In some instances this data may be under the custodianship of other agencies, and formal access requests will need to be made.</p> <p><b>7. Set time and location for collaborative expert assessment (<i>EA indicators</i>)</b></p> <p>Expert-based assessment indicators are best answered through a collaborative process such as a workshop with relevant enforcement experts from each participating agency. A time and location for the workshop should be arranged, relevant experts identified, and invitations sent. Specific resourcing needs (e.g. computer) also need to be secured.</p> <p><b>8. Gather and review documentation (<i>PA indicators</i>)</b></p> <p>Process-based assessment indicators require the review of documentation (e.g. certain pieces of legislation) or the review of operational processes. Any such documentation should be collated and reviewed where possible ahead of the collaborative assessment so that scoring can be verified and reviewed during the expert workshop as appropriate.</p>

PHASE 3  
Analysis and  
recording

### 9. Conduct expert workshop to complete expert-based assessment

It is recommended that a workshop is conducted to review and rate the expert-based assessment indicators in a collaborative fashion involving relevant national law enforcement agencies. This will also provide an opportunity for experts to review and discuss the results of indicators that are based on process-based or data-based assessment. It is recommended that the assessment template is shared with participants prior to attending the workshop so that they can gain some familiarity with the indicators and the assessment format. Guidance on answering expert-based assessment indicators is provided in Box 1.

### 10. Collate and review indicator ratings

An Assessment Template has been provided to support the completion of assessments. The template includes a section to record comments and contextual information supporting the assessment of each indicator. Comments should be clearly recorded for each indicator, outlining the justification for the rating given. Any areas where a consensus could not be reached should be carefully documented, outlining the differing views provided and the basis on which they were made. Following the completion of an assessment, the lead agency – or the project team if established – should review the assessment template to ensure that all indicators have been completed and comments appropriately recorded. This review can also help identify if there are any indicators with incomplete or unclear answers where further review may be required prior to finalizing and analyzing the results.

### 11. Analyze results

A majority of the 50 indicators are 'scored' allowing for an overall score for each of the eight outcomes to be generated. Comparison of the eight scores can identify relative strengths and weaknesses of the current enforcement response and point to areas requiring improvement. If this is the first assessment using the ICCWC Indicator Framework, initial 'ratings' for each of the eight outcomes will be generated. If it is a repeat assessment, trends since past assessments can be identified and explored. Indicators can also be reviewed thematically as required.

### 12. Identify areas for follow-up exploration and action

The ICCWC Toolkit can be used to further explore the results of the assessment, including review of potential areas of weakness to identify the necessary responses to improve enforcement effectiveness. Any recommended actions and interventions arising from the results of the assessment should be incorporated into the work plans of relevant enforcement agencies as required.

PHASE 4  
Review

### 13. Identify process improvements

The project team should consider the process followed and identify and briefly document any changes or improvements (e.g. to indicator framework, to process, to participation) that should be incorporated in future assessments using the ICCWC Indicator Framework.

### 14. Define timeframe for repeat assessment

Applying the methodology again at a specified time in the future (e.g. in 12 or 24 months) will allow for any trends over time to be identified. The proposed timeframe of the repeat assessment could be specified at the conclusion of the assessment process.

## Answering expert-based assessment indicators

Around two thirds of the indicators are measured using the opinions of experts from relevant national law enforcement agencies. Each of these expert-based assessment indicators provides a question followed by a four-part answer scale, with each answer typically containing multiple components. While related, these components are listed separately so that experts can evaluate each component individually to identify those that best match the national situation. After considering the different components of an answer it is then possible to identify which of the four answer ratings – listed from 0 to 3 – best represents the national situation. In some instances it may be less obvious which of the four ratings to choose. Some guidance that can be followed in these situations is provided in Box 1.

**Box 1: Guidance for rating expert assessment indicators**

**Scenario 1: Sole rating**

In the simplest scenario, participating experts will choose components that all fit under the one rating. In these instances, this rating should be chosen for the indicator.

0 <input type="checkbox"/>	1 <input checked="" type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>
Training programmes: <input type="checkbox"/> Are rarely available <input type="checkbox"/> Rarely include content related to wildlife crime <input type="checkbox"/> Are not supported by training needs assessments and training needs have usually not been identified	Training programmes: <input checked="" type="checkbox"/> Are rarely available to all relevant enforcement agencies <input checked="" type="checkbox"/> Sometimes include basic* content related to wildlife crime <input checked="" type="checkbox"/> Usually do not respond to identified training needs <input checked="" type="checkbox"/> Do not meet the demand for training	Training programmes: <input type="checkbox"/> Are usually available to all relevant enforcement agencies <input type="checkbox"/> Sometimes include content related to wildlife crime <input type="checkbox"/> Respond to some identified training needs <input type="checkbox"/> Do not fully meet the demand for training	Training programmes: <input type="checkbox"/> Are available to all relevant enforcement agencies <input type="checkbox"/> Routinely include content related to wildlife crime, including on advanced enforcement techniques* as appropriate <input type="checkbox"/> Respond to most or all identified training needs <input type="checkbox"/> Largely or fully meet the demand for training

**Scenario 2: Split rating**

For some indicators, participating experts may choose components that fall under more than one answer rating. In these instances, the rating that has the most selected answers should be chosen for the indicator.

0 <input type="checkbox"/>	1 <input type="checkbox"/>	2 <input checked="" type="checkbox"/>	3 <input type="checkbox"/>
Training programmes: <input type="checkbox"/> Are rarely available <input type="checkbox"/> Rarely include content related to wildlife crime <input type="checkbox"/> Are not supported by training needs assessments and training needs have usually not been identified	Training programmes: <input type="checkbox"/> Are rarely available to all relevant enforcement agencies <input checked="" type="checkbox"/> Sometimes include basic* content related to wildlife crime <input type="checkbox"/> Usually do not respond to identified training needs <input type="checkbox"/> Do not meet the demand for training	Training programmes: <input checked="" type="checkbox"/> Are usually available to all relevant enforcement agencies <input type="checkbox"/> Sometimes include content related to wildlife crime <input checked="" type="checkbox"/> Respond to some identified training needs <input checked="" type="checkbox"/> Do not fully meet the demand for training	Training programmes: <input type="checkbox"/> Are available to all relevant enforcement agencies <input type="checkbox"/> Routinely include content related to wildlife crime, including on advanced enforcement techniques* as appropriate <input type="checkbox"/> Respond to most or all identified training needs <input type="checkbox"/> Largely or fully meet the demand for training

If the components are selected equally across two (or more) ratings, a conservative approach should be taken and the lower of the two ratings selected for the indicator.

0 <input type="checkbox"/>	1 <input checked="" type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>
Training programmes: <input type="checkbox"/> Are rarely available <input type="checkbox"/> Rarely include content related to wildlife crime <input type="checkbox"/> Are not supported by training needs assessments and training needs have usually not been identified	Training programmes: <input checked="" type="checkbox"/> Are rarely available to all relevant enforcement agencies <input checked="" type="checkbox"/> Sometimes include basic* content related to wildlife crime <input type="checkbox"/> Usually do not respond to identified training needs <input type="checkbox"/> Do not meet the demand for training	Training programmes: <input type="checkbox"/> Are usually available to all relevant enforcement agencies <input type="checkbox"/> Sometimes include content related to wildlife crime <input checked="" type="checkbox"/> Respond to some identified training needs <input checked="" type="checkbox"/> Do not fully meet the demand for training	Training programmes: <input type="checkbox"/> Are available to all relevant enforcement agencies <input type="checkbox"/> Routinely include content related to wildlife crime, including on advanced enforcement techniques* as appropriate <input type="checkbox"/> Respond to most or all identified training needs <input type="checkbox"/> Largely or fully meet the demand for training

**Box 1 continued...****Scenario 3: Lack of consensus**

The expert assessment is best completed with the participation of experts from all relevant enforcement agencies. At times there may not be a consensus among experts on the national situation. In these situations there are a number of approaches that can be followed to generate a single national rating, and the key to all will be documenting the variety of responses for each indicator to provide useful contextual information for the analysis of results.

- a) If one enforcement agency has a clear dominant role for the indicator in question it is suggested that you adopt the components chosen by that agency, and clearly describe the views of other agencies in the comments section.
- b) If there is not a clear dominant agency for the indicator (e.g. for the indicator shown below which relates to the training needs of all agencies), it is suggested that you take a conservative approach by adopting the lower overall rating, again taking care to clearly document the different views provided in the comments section. The provided example indicates that amending training programmes to better respond to training needs and demand requires attention in some agencies but not others. For these indicators it may also be beneficial to complete the assessment at an individual agency level to produce a separate rating for each enforcement agency.
- c) In cases where there is a diverse range of expert opinion and no clear way forward, it is suggested that you do not produce a rating for the indicator and clearly document the differing views provided.

0 <input type="checkbox"/>	1 <input checked="" type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>
Training programmes: <input type="checkbox"/> Are rarely available <input type="checkbox"/> Rarely include content related to wildlife crime <input type="checkbox"/> Are not supported by training needs assessments and training needs have usually not been identified	Training programmes: <input type="checkbox"/> Are rarely available to all relevant enforcement agencies <input type="checkbox"/> Sometimes include basic* content related to wildlife crime <input checked="" type="checkbox"/> Usually do not respond to identified training needs <input checked="" type="checkbox"/> Do not meet the demand for training	Training programmes: <input checked="" type="checkbox"/> Are usually available to all relevant enforcement agencies <input checked="" type="checkbox"/> Sometimes include content related to wildlife crime <input type="checkbox"/> Respond to some identified training needs <input type="checkbox"/> Do not fully meet the demand for training	Training programmes: <input type="checkbox"/> Are available to all relevant enforcement agencies <input type="checkbox"/> Routinely include content related to wildlife crime, including on advanced enforcement techniques* as appropriate <input checked="" type="checkbox"/> Respond to most or all identified training needs <input checked="" type="checkbox"/> Largely or fully meet the demand for training

**Part 3 | Interpreting results**

Most of the indicators are 'scored' which allows for an overall numerical score to be calculated for each of the eight outcomes. Converting these eight 'scores' to percentages allows for comparison across outcomes and for the relative strengths and weaknesses across the eight outcomes to be identified. The maximum potential scores for each of the eight outcomes is detailed in Table 3. While data-based (DA) indicators are not scored, these datasets can be used to provide further contextual information for the analysis of results.

The first assessment will establish baselines for each indicator. Once a baseline assessment has been completed, repeat assessments will help identify how enforcement capacity and effectiveness may be changing over time. Following the completion of a second (or subsequent) assessment, the change in the eight outcome scores between the two assessments can be calculated to identify where assessment results have improved, declined or recorded no change.

**Table 3: Potential maximum ‘scores’ for each of the eight outcomes**

	# OF INDICATORS	MAXIMUM SCORE
OUTCOME 1	9 indicators, of which 9 are scored 8x EA indicators rated as 0, 1, 2 or 3 1x PA indicator rated as 0 or 3	27
OUTCOME 2	8 indicators, of which 6 are scored 6x EA indicators rated as 0, 1, 2 or 3 2x DA indicators that are not scored	18 + data
OUTCOME 3	6 indicators, of which 5 are scored 5x EA indicators rated as 0, 1, 2 or 3 1x DA indicator that is not scored	15 + data
OUTCOME 4	4 indicators, of which 4 are scored 2x EA indicators rated as 0, 1, 2 or 3 2x PA indicator rated as 0 or 3	12
OUTCOME 5	5 indicators, of which 5 are scored 3x EA indicators rated as 0, 1, 2 or 3 2x PA indicator rated as 0 or 3	15
OUTCOME 6	7 indicators, of which 4 are scored 3x EA indicators rated as 0, 1, 2 or 3 1x PA indicator rated as 0 or 3 3x DA indicators that are not scored	12 + data
OUTCOME 7	5 indicators, of which 5 are scored 2x EA indicators rated as 0, 1, 2 or 3 3x PA indicators rated as 0 or 3	15
OUTCOME 8	6 indicators, of which 6 are scored 6x EA indicators rated as 0, 1, 2 or 3	18

### Exploring assessment results using the ICCWC Toolkit

Each of the 50 indicators has been aligned to the relevant Part(s) of the ICCWC Toolkit. In addition, the answer schemes for many questions have been developed using the content of the ICCWC Toolkit as a guide for what factors are required for an effective response. This means that the ICCWC Toolkit provides a useful resource to further explore the results of an assessment – and any detected improvements or declines observed through repeat assessments – and to identify particular improvements or changes that could be considered to improve capacity and/or effectiveness.

Table 4 lists the relevant Toolkit Part(s) and references for each of the 50 indicators to support this further exploration of assessment results. A more detailed assessment<sup>5</sup> using the ICCWC Toolkit might also be considered if not already completed, in particular for any areas identified as relative weaknesses.

If an ICCWC Toolkit assessment has been completed, the results of the ICCWC Indicator Framework can be used to help identify any changes observed since the Toolkit assessment, including the impact of any interventions developed and deployed in response.

<sup>5</sup> A step-by-step guide to completing an ICCWC Toolkit assessment is available at: <https://cites.org/sites/default/files/eng/prog/iccwc/Toolkit%20implementation%20-%20step%20by%20step%20v3.pdf>

**Table 4: Alignment of indicators to ICCWC Toolkit (see Key on p. 18)**

INDICATOR	TOOLKIT PART(S)*	TOOLKIT REFERENCES #
<b>OUTCOME 1   Proactive enforcement is deterring wildlife crime</b>		
<b>1. Enforcement priority (EA)</b> The recognition of combating wildlife crime as a high priority for national law enforcement agencies.		Part 2.1, p. 67-70.
<b>2. Serious crime (PA)</b> The recognition of wildlife crime involving organized criminal groups as serious crime.		Part 1.1.2, p. 17-18. Tool I.3-4, p. 18.
<b>3. National enforcement strategy (EA)</b> The existence of a national enforcement strategy and/or action plan for wildlife crime.		Part 2.1, p. 67-68.
<b>4. National cooperation (EA)</b> The extent of inter-agency cooperation among national law enforcement agencies to combat wildlife crime.		Part 2.1, p. 67-68, 73-74. Tool II.1, p. 68. Tool II.7, p. 74.
<b>5. International cooperation (EA)</b> The extent of international cooperation to combat wildlife crime.		Part 2.7, p. 103-108. Part 2.8, p. 109. Tool II.39-40, p. 108-109. Tool I.32, p. 63.
<b>6. Strategic risk management (EA)</b> The extent to which strategic risk management is used to target operational enforcement planning and the implementation of measures to combat wildlife crime.		Tool II.31, p. 100.
<b>7. Proactive investigations (EA)</b> The extent to which proactive investigations are used to target prominent and emerging wildlife crime threats.		Part 2.3.5, p. 86. Tool II.18, p.86.
<b>8. Staffing and recruitment (EA)</b> The level of staff resources in national law enforcement agencies to combat wildlife crime.		Part 2.2, p. 74-77. Tool II.8-10, p. 75-77.
<b>9. Law enforcement training (EA)</b> The extent to which institutional training programmes for national law enforcement agencies include content to build capacity to combat wildlife crime.		Part 2.2.3, p. 77-79. Tool II.11-12, p. 78-79.
<b>OUTCOME 2   Wildlife crime can be detected by law enforcement agencies</b>		
<b>10. Targeted enforcement presence (EA)</b> The extent to which law enforcement activities are targeted towards the locations most affected by or used for wildlife crime.		Part 2.3.1, p. 81-82.
<b>11. Joint operations (EA)</b> Participation in multi-disciplinary enforcement operations targeting wildlife crime.		Part 2.1.3, p. 73-74. Tool II.7, p. 74. Tool II.39, p. 108.
<b>12. Border control staff (EA)</b> The extent to which ports of entry and exit are staffed with law enforcement officers that are aware of and trained in detecting and responding to wildlife crime.		Part 2.6, p. 99-101. Tool II.31, p. 100.
<b>13. Border control equipment (EA)</b> The extent to which law enforcement officers at ports of entry and exit can access equipment, tools and materials to detect and respond to wildlife crime.		Part 2.6, p. 99-101. Tool II.31-33, p. 100-101. Part 2.3.2, p. 82-84.
<b>14. Inspection and seizure powers (EA)</b> The extent to which national legislation empowers law enforcement agencies to inspect and seize consignments suspected of containing illegal wildlife specimens and confiscate illegal wildlife consignments.		Tool I.10, p.28. Part 3.3.3, p. 132-134. Tool III.22, p.133-134.

INDICATOR	TOOLKIT PART(S)*	TOOLKIT REFERENCES #
<b>15. Wildlife seizures (DA)</b>  The number (and type) of seizures of specimens of illicitly-traded wildlife.		--
<b>16. Large-scale wildlife seizures (DA)</b>  The number (and type) of large-scale seizures of specimens of illicitly-traded wildlife.		--
<b>17. Disposal of confiscated wildlife specimens (EA)</b> The adequacy of the systems and procedures that are in place for the management, secure storage, auditing and disposal of confiscated wildlife specimens.	 	Tool I.12, p. 30. Part 3.3.3, p. 132-134. Tool III.22, p.133-134.
<b>OUTCOME 3   Wildlife crime is thoroughly investigated using an intelligence-led approach</b>		
<b>18. Investigative capacity (EA)</b> The capacity of national law enforcement agencies to investigate wildlife crime cases.		Part 2.1, p. 67-71. Tool II.4, p. 71. Part 2.3, p. 77-79 Tool II.11-12, p. 78-79.
<b>19. Information management (EA)</b> The extent of national procedures and systems to collate information on wildlife crime.		Part 5.2, p. 177-178. Tool V.10, p. 178. Part 3.1.3, p. 120-121. Tool III.7, p. 121.
<b>20. Intelligence analysis (EA)</b> The extent to which information on wildlife crime is verified and analyzed to generate intelligence.	 	Part 2.3, p. 80-82. Tool II.13, p. 82.
<b>21. Intelligence-led investigations (EA)</b>  The extent to which criminal intelligence is used to support investigations into wildlife crime.		Part 2.3, p. 80-82. Tool II.13, p. 82.
<b>22. Follow-up investigations (EA)</b> The extent to which follow-up investigations are conducted for wildlife crime cases.		--
<b>23. Transnational wildlife crime reporting (DA)</b> The percentage of wildlife crime cases of a transnational nature that were reported to databases of intergovernmental organizations mandated to receive and maintain such data.		Part 2.7.2, p. 104. Tool II.34, p. 102. Part 5.2, p. 178-179. Tool V.7, 11-12, p. 175-179.
<b>OUTCOME 4   Specialized investigation techniques are used to combat wildlife crime as required</b>		
<b>24. Legal authority to use specialized investigation techniques (PA)</b>  The existence of provisions in national legislation to use specialized investigation techniques in the investigation of wildlife crime.	 	Part 2.3.2, p. 82-85.
<b>25. Use of specialized investigation techniques (PA)</b>  The use of specialized investigation techniques by national law enforcement agencies to combat wildlife crime.		Part 2.3.2, p. 82-85. Tool II.14-16, p. 83-85.
<b>26. Forensic technology (EA)</b>  The capacity of national law enforcement agencies to use forensic technology to support wildlife crime investigations.		Part 2.5.7, p. 96-98. Tool II.29, p. 97-98.
<b>27. Financial investigations (EA)</b>  The capacity of national law enforcement agencies to conduct financial investigations to support the investigation and prosecution of wildlife crime.		Part 1.4.2, p. 48-53. Tool I.25-27, p. 50-53. Part 2.5.8, p. 98-99. Tool II.30, p. 99.
<b>OUTCOME 5   There is a strong legal basis to combat wildlife crime</b>		
<b>28. National wildlife legislation (EA)</b> The comprehensiveness of national legislative provisions for wildlife conservation, management and use, including international trade in protected species of wildlife.		Tool I.1, p. 16. Part 1.2, p.23-34. Tool I.8-13, p. 25-31.

INDICATOR	TOOLKIT PART(S)*	TOOLKIT REFERENCES #
<b>29. CITES legislation assessment (EA)</b>  The category in which CITES implementation legislation has been placed under the CITES National Legislation Project.		--
<b>30. Legal provisions for international cooperation (EA)</b>  The extent to which national provisions for international cooperation in criminal matters are applied to wildlife crime.	 	Part 2.7, p. 103-109. Tool II.35-42, p. 104-111. Part 3.3, p. 129-135. Tool III.18-21, p. 130-132.
<b>31. Legal provisions to combat corruption (PA)</b>  The existence of provisions against corruption in national legislation that can be used in the investigation and prosecution of wildlife crime.		Part 1.1.3, p. 18-19. Tool I.4, p. 18. Part 1.2, p. 23-24. Part 1.3, p. 34. Part 1.4.3, p. 53-57. Tool I.28, p. 56-57.
<b>32. Legal provisions to address organized crime (PA)</b>  The existence of national legislation for organized crime that can be used in the investigation and prosecution of wildlife crime.		Part 1.1.2, p. 17-18. Tool I.3, p. 18. Part 1.4.5, p. 58-59. Tool I.30, p. 59.
<b>OUTCOME 6   Wildlife crime is prosecuted in accordance with the severity of the crime</b>		
<b>33. Use of criminal law (EA)</b>  The extent to which a combination of relevant national legislation and criminal law is used to prosecute wildlife crime in support of legislation enacted to combat wildlife crime.	 	Part 1.2.3, p. 31-34. Part 1.4, p. 46-58. Part 3.4, p. 135-138.
<b>34. Case file preparation (EA)</b> The capacity of national law enforcement agencies to prepare wildlife crime case files and give evidence in court.	 	Part 2.5.2, p. 92-93 Tool II.24-25, p. 92-93. Tool III.12, p. 124.
<b>35. Case clearance rate (DA)</b>  The percentage of wildlife crime cases that were prosecuted in court.		Tool III.13, p. 125. Tool V.5-6, p. 174.
<b>36. Administrative penalties (DA)</b>  The percentage of wildlife crime cases that were resolved with administrative penalties.		Part 1.3.7, p. 44-46. Tool I.23, p.46. Part 3.4.2, p. 137-138. Tool III.26, p. 138.
<b>37. Prosecutorial capacity (EA)</b> The capacity of prosecutors to manage wildlife crime cases.		Part 3.2, p. 122-128. Tool III.10-16, p. 123-128.
<b>38. Prosecution guidelines (PA)</b> The existence of national guidelines for the prosecution of wildlife crime.		Part 3.2, p. 122-128.
<b>39. Conviction rate (DA)</b> The percentage of wildlife crime cases that were brought to trial which resulted in convictions.		Tool III.13, p. 125. Tool V.1, p. 172. Tool V.6, p. 174.
<b>OUTCOME 7   Wildlife crime offenders are appropriately penalized</b>		
<b>40. Available penalties (EA)</b>  The extent to which national legislation penalizes wildlife crime offences in a manner that reflects the nature and severity of the crime.		Part 1.3.7, p.44-46. Tool I.23, p. 46.
<b>41. Sentencing guidelines (PA)</b> The existence of national guidelines for the sentencing of offenders convicted with wildlife crime.		Part. 3.4.1, p. 136-137. Tool III.25, p. 137.
<b>42. Judicial awareness (EA)</b> The extent of awareness of wildlife crime among the judiciary and the appropriateness of the verdicts handed down.		Part 3.1.2, p. 118-119. Tool III.5, p. 119. Part 3.2.3, p. 125-127. Tool III.15, p. 127.
<b>43. Legal provisions for asset forfeiture (PA)</b>  The existence of provisions for asset forfeiture and recovery in national legislation that can be applied to wildlife crime.		Part 1.3.7, p. 44-46. Tool I.23, p. 46. Part 3.3.3, p. 132-134. Tool III.22, p. 133-134

INDICATOR	TOOLKIT PART(S)*	TOOLKIT REFERENCES #
<b>44. Use of asset forfeiture legislation (PA)</b> The use of asset forfeiture and recovery legislation in wildlife crime cases.		Part 3.3.3, p. 132-134. Tool III.22, p. 133-134. Part 1.3.7, p. 44-46. Tool I.23, p. 46.
<b>OUTCOME 8   A holistic approach is deployed to combat wildlife crime</b>		
<b>45. Drivers of wildlife crime (EA)</b> The extent to which the drivers of wildlife crime in the country are known and understood.		Part 4.1, p. 144-149.
<b>46. Demand-side activities (EA)</b>  The extent to which activities to address the demand of illicit wildlife products are implemented.		Part 4.1, p. 144-149. Tool IV.6, p. 148. Part 1.3.6, p. 43-44.
<b>47. Regulated community (EA)</b> The extent of awareness-raising materials and/or programmes in place to increase the awareness of the regulated community of the laws that apply to the sustainable use of wildlife.		Part 4.1, p. 144-149. Part 4.5, p. 165. Tool IV. 29, p. 165. Part 1.2.1, p. 25-27.
<b>48. Local community engagement (EA)</b> The extent to which local communities are engaged in law enforcement activities to combat wildlife crime.	 	Part 4.3.2, p. 163-164. Tool IV.27, p. 164. Part 4.1.1, p. 144-147. Tool IV.2, p. 146-147. Part 2.1.2, p. 72-73. Tool II.6, p. 73.
<b>49. Livelihoods (EA)</b> The extent to which livelihoods and social capacity building are considered in activities to combat wildlife crime.		Part 4.3, p. 162-164. Tool IV.26, p. 163. Tool IV.27, p. 164. Part 4.1.2, p. 149-154. Tool IV.7-15, p. 150-154.
<b>50. Public awareness (EA)</b> The extent of awareness-raising materials and/or programmes in place to increase public awareness of wildlife crime.		Part 4.5, p. 165. Tool IV. 29, p. 165.

\* Where specific Toolkit references are not given, the identified Toolkit Part(s) can be used as a general guide for the most relevant Part(s) of the Toolkit.

# Identified Toolkit references are indicative only. More detailed review of the Toolkit to identify relevant Tools is recommended for areas identified as potential weaknesses.

## Key

### ICCWC Toolkit Parts

-  Legislation
-  Enforcement
-  Prosecution and Judiciary
-  Drivers and prevention
-  Data and analysis

### Global Reporting Mechanism

-  CITES national reporting

### Types of Indicators (data collection format)

- (EA) Expert-based assessment
- (PA) Process or document-based assessment
- (DA) Data-based assessment