

Opportunities to provide data for the CITES Strategic Vision Indicators from the Biennial Report format

Analysis by the CITES Standing Committee Working Group on Special Reporting Requirements

The following is an annotated version of the *Indicators for Objectives Contained in the CITES Strategic Vision: 2008-2013* <http://www.cites.org/eng/news/E-SV-indicators.pdf> produced by cross-referencing the Strategic Vision indicators with the CITES Biennial report format (Notification 2005/035). Note that the CITES Strategic Vision is being revised to make links with the Strategic Plan for Biodiversity 2011-2020. The CITES Strategic Vision indicators will need to be reviewed in the light of this revision which is to be discussed at Standing Committee 62.

The links are given in this colour. Some of the links are quite strong, others are much weaker, or doubtful. **Notes about the strength of linkage and possible changes to the report format are provided in this colour.** There are a number of indicators for which there is no obvious linkage – for which more thought is needed on where this information could be derived from, or whether it is a sensible indicator to choose.

This is a working document subject to revision, provided for review by the 62nd meeting of the Standing Committee, Geneva July 2012.

THE STRATEGIC GOALS

CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA

GOAL 1 ENSURE COMPLIANCE WITH AND IMPLEMENTATION AND ENFORCEMENT OF THE CONVENTION

Introduction

The effectiveness of the Convention depends upon its full implementation by all Parties, whether they are consumers or producers of wild animals and plants. Full implementation relies, in turn, upon each Party's:

- commitment to the Convention and its principles;
- scientific expertise and analyses;
- capacity building; and
- enforcement.

Commitment to the Convention and its principles

The proper functioning of the Convention depends to a great extent on the commitment of Parties to comply with and implement the Convention and its principles.

Parties cooperate in managing shared wildlife resources.

Objective 1.1 Parties comply with their obligations under the Convention through appropriate policies, legislation and procedures.

Indicators

- 1.1.1 The number of Parties that are in category 1 under the national legislation project.

See Section B Legislative and regulatory measures Q1. Note: Does not completely cross link. It is asking if information has been provided to the Secretariat, not what the category is. Secretariat determines Category and reports regularly.

- 1.1.2 The number of Parties that have designated Management Authorities and Scientific Authorities.

See D1 Management Authority Q1, D2 Scientific Authority Q1. Note: Does not completely cross link. These questions are asking if there are updates needed in the CITES directory. Can get information directly from CITES directory.

- 1.1.3 The number of Parties subject to CITES recommendations on trade.

No direct match with Biennial report but Secretariat should have this information

Objective 1.2 Parties have in place administrative procedures that are transparent, practical, coherent and user-friendly, and reduce unnecessary administrative burdens.

Indicators

- 1.2.1 The number of Parties that have adopted standard transparent procedures for the timely issuance of permits in accordance with Article VI of the Convention.

D5 Permitting and registration procedures Q2. Note: Does not completely cross link. It asks if written permit procedures have been developed. Key words in indicator are “standard transparent”. Need new question: Are these procedures available to the public?

- 1.2.2 The number of Parties making use of the simplified procedures provided for in Resolution Conf. 12.3 (Rev. CoP13).

Could amend D5 Permitting and registration procedures Q2. Note: Add ‘simplified procedures provided for in Resolution 12.3’ to list of questions.

Objective 1.3 Implementation of the Convention at the national level is consistent with decisions adopted by the Conference of the Parties.

Indicators

- 1.3.1 The number of Parties that have implemented relevant Resolutions and Decisions of the Conference of the Parties.

No direct match with Biennial report. Note: Could take key resolutions that would require reporting to Secretariat and add question to Section B of the Biennial report OR could take information for this indicator from the available lists maintained by the Secretariat.

Possible Questions: Do you do the following?

1. Register operations that breed appendix I species (12.10)
2. Register Scientific Institutions (11.15)
3. Register nurseries (9.19)
4. Register exporters and plants processing caviar (12.7)
5. Implement Personal and Household Effects Exemption (13.7)
6. Issue Certificates of Ownership (10.20)
7. Implement export quotas (14.7)

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Objective 1.4 The Appendices correctly reflect the conservation needs of species.

Indicators

- 1.4.1 The number and proportion of species that have been found to meet the criteria contained in Resolution Conf. 9.24 or its successors. This includes both the periodic review and amendment proposals.

No direct match with Biennial report but possibility of information from Plants Committee and Animals Committee? Note: This would include number of proposals that have been adopted to amend appendices since CoP10 (when 9.24 would have been implemented) and number of species that have been assessed in periodic review since CoP10. Information available in CoP and AC/PC records and reports.

- 1.4.2 The number of unlisted species subject to significant levels of international trade, for which the trade and biological information is evaluated via a transparent mechanism including IUCN Red List and other data to identify species that would benefit from inclusion in the Appendices and the number of such species subsequently included in the Appendices.

No direct match with Biennial report but possibility of information from Plants Committee and Animals Committee? Note: Could see if IUCN can make search by status and trade level. Number of successful listing proposals when species is known to be subject to significant levels of trade.

Objective 1.5 Best available scientific information is the basis for non-detriment findings.

Indicators

- 1.5.1 The number of surveys undertaken by exporting countries of:
 - a) the population status as well as the trends and impact of trade upon Appendix-II species; and
 - b) the status of and trend in Appendix I species and the impact of any recovery plans.

D2 Scientific Authority Q8 & Q9. Note: There are numerous researchers and studies in the area of population assessment. The Scientific Authority does not necessarily carry out this work directly. Potential for change to species focus question. Arrange these questions in a table format:

What is total number of indigenous species listed in Appendix II or Appendix I?

% where conservation status known

% where population trend is increasing, stable, decreasing, unknown

- 1.5.2 The number of Parties that have adopted standard procedures for making non-detriment findings.

No direct match with Biennial report. Note: Question could be added to section D2: Do you have standard procedures for making NDFs?

- 1.5.3 The number and proportion of annual export quotas based on population surveys.

No direct match with Biennial report. Note: Questions could be added to section D2 or information can be extracted from export quota list. Do you use implement annual export quotas? What is the percent based on population information?

- 1.5.4 The number of Appendix-II species for which trade is determined to be non-detrimental to the survival of the species as a result of implementing recommendations from the Review of Significant Trade.

No direct match with Biennial report. Note: Question could be added to section D2. Have any range populations of species been included in the Review of Significant trade? If yes provide name of species, date of inclusion and date of removal. Alternatively, information available via Secretariat records of AC/PC/SC decisions.

Objective 1.6 Parties cooperate in managing shared wildlife resources.

Indicators

- 1.6.1 The number of bilateral and multilateral cooperative agreements that specifically provide for co-management of shared species by range states.

No direct match with Biennial report. Note: Question could be added to section D7. Is your country signatory to any bilateral and/or multilateral cooperative agreements for co-management of shared species by range states?

- 1.6.2 The number of cooperative management plans including recovery plans in place for shared populations of CITES listed species

No direct match with Biennial report. Note: Question could be added to section D7. Does your country have cooperative management plans in place for shared populations of CITES listed species?

- 1.6.3 The number of workshops and other capacity-building activities that bring range states together to address the conservation and management needs of shared species.

D6 Capacity building Q2 & Q3.

Objective 1.7 Parties are enforcing the Convention to reduce illegal wildlife trade.

Indicators

- 1.7.1 The number of Parties that have, or are covered by:
 - regional enforcement action plans;
 - regional enforcement networks;
 - national enforcement action plans; and
 - national inter-agency enforcement coordination networks.

No direct match with Biennial report. Note: Could expand Section D3 to include questions such as:

Do you participate in :

- regional enforcement action plans Y/N?
- regional enforcement networks Y/N?
- national enforcement action plans Y/N?
- national interagency enforcement coordination networks Y/N?

- 1.7.2 The number of Parties with designated national CITES enforcement focal points.

D3 Enforcement Authorities Q3 & Q4.

- 1.7.3 The number of Parties that have criminal law and procedures in place for investigating and penalizing CITES offences.

No direct match with Biennial report. Note: Add to Section B? Or is this a requirement for a particular Category? – could be linked to indicator 1.1.1. Does your CITES relevant legislation provide for investigating and penalizing CITES offences?

- 1.7.4 The number of Parties making use of risk assessment in order to better target their CITES enforcement effort.

D3 Enforcement Authorities Q5? Note: This requires a directed question in section D3.

Objective 1.8 Parties and the Secretariat have adequate capacity-building programmes in place.

Indicators

- 1.8.1 The number of Parties with national and regional training programmes and information resources in place to implement CITES including the making of non-detriment findings, issuance of permits and enforcement.

D6 Capacity building Q2 & Q3. Note: Does not completely cross link. The context of D2 and D3 is about receiving or providing capacity building help externally. This indicator is asking if national or regional resources are in place. The question is directed to the MA (permits), SA (NDFs) and enforcement. Could add a new question to D2, D3 and D4. The question could be similar i.e.

D1 Do you have resources or training in place to support permit officers?

D2 Do you have resources or training in place to support the making of NDFs?

D3 Do you have resources or training in place support enforcement officers?

- 1.8.2 The number of training and capacity-building programmes conducted or assisted by the Secretariat.

No direct match with Biennial report, but Secretariat should be able to provide information on this.

- 1.8.3 The proportion of Parties having received capacity building support from the Secretariat on request.

D6 Capacity building Q2 & Q3. Note: Does not completely cross link, but Secretariat would have this information.

GOAL 2 SECURE THE NECESSARY FINANCIAL RESOURCES AND MEANS FOR THE OPERATION AND IMPLEMENTATION OF THE CONVENTION

Objective 2.1 Financial resources are sufficient to ensure operation of the Convention.

Indicators

- 2.1.1 The number of Parties meeting their obligations with regard to their assessed contributions to the Trust Fund.

No direct match with Biennial report, but Secretariat should be tracking this as part of the financial management of the Convention.

- 2.1.2 The percentage of the work programme agreed by the Conference of the Parties that is fully funded.

No direct match with Biennial report, but this information should be available in the Secretariat report to CoP.

Objective 2.2 Sufficient resources are secured at the national/international levels to ensure compliance with and implementation and enforcement of the Convention.

Indicators

- 2.2.1 The number of Parties with dedicated staff and funding for Management Authorities, Scientific Authorities and wildlife trade enforcement agencies.

D1 Management Authority Q5 & 6, and D2 Scientific Authority Q5 & 6.

- 2.2.2 The number of Parties that have undertaken one or more of the following activities in the past two years:

- increased the budget for activities;
- hiring more staff;
- development of implementation tools;
- improvement of national networks;
- purchase of technical equipment for monitoring and enforcement; and

– computerization.

D6 Capacity building Q1 and D8 Areas for future work Q1.

Objective 2.3 *Sufficient resources are secured at the national/international levels to implement capacity-building programmes.*

Indicators

- 2.3.1 The number of capacity building activities mandated by Resolutions and Decisions that are fully funded.

No direct match with Biennial report, but capacity building activities mandated by resolutions or decisions are usually directly to or involve the Secretariat, who should be able to provide this information.

GOAL 3 **CONTRIBUTE TO SIGNIFICANTLY REDUCING THE RATE OF BIODIVERSITY LOSS BY ENSURING THAT CITES AND OTHER MULTILATERAL INSTRUMENTS AND PROCESSES ARE COHERENT AND MUTUALLY SUPPORTIVE**

Objective 3.1 *Cooperation between CITES and international financial mechanisms and other related institutions is enhanced in order to support CITES-related conservation and sustainable development projects, without diminishing funding for currently prioritized activities.*

Indicators

- 3.1.1 The number of Parties funded by international financial mechanisms and other related institutions to develop activities that include CITES-related conservation and sustainable development elements.

No direct match with Biennial report; more thought needed on how to source this information.

- 3.1.2 The number of international projects funded by international financial mechanisms and other related institutions that include CITES-related conservation and sustainable development elements.

No direct match with Biennial report; more thought needed on how to source this information.

- 3.1.3 The number of countries and institutions that have provided additional funding for conservation and sustainable development projects in order to further the objectives of the Convention.

D7 Collaboration/cooperative initiatives Q9.

Objective 3.2 *Awareness of the role and purpose of CITES is increased globally.*

Indicators

- 3.2.1 The number of Parties that have been involved in CITES awareness raising campaigns to bring about better accessibility to and understanding by the wider public of the Convention requirements.

D4 Communication, information management and exchange Q10 & 11.

- 3.2.2 The number of Parties that have undertaken market surveys indicating the public's understanding of the role and purpose of CITES.

Could amend D4 Communication, information management and exchange Q10. Note: D4Q10 should be amended to add Market surveys to assess public understanding of CITES.

- 3.2.3 The number of visits on the Secretariat's website.

No direct match with Biennial report but the Secretariat may be able to provide this type of information if the site has been designed to collect it – the number of unique visitors and a breakdown by origin would be helpful. Note: Because the site is used by many CITES Authorities on a routine basis, it may be better to target a few sections which are more general in nature such as “What is CITES?” and “How CITES works”.

- 3.2.4 The number of Parties with web pages on CITES and its requirements.

D4 Communication, information management and exchange Q9.

Objective 3.3 Cooperation with relevant international environmental, trade and development organizations is enhanced.

Indicators

- 3.3.1 The number of biodiversity conservation goals, objectives and principles of CITES and those of relevant multilateral environmental, trade and development agreements and conventions that are identified and implemented in an integrated manner.

D7 Collaboration/co-operative initiatives Q13. Note: Partial link.

- 3.3.2 The number of additional biodiversity conservation, trade and development goals, scientific and technical programmes that integrate CITES requirements agreed between environmental and trade agreements and programmes and international financial mechanisms.

No direct match with Biennial report; more thought needed on how to source this information.

- 3.3.3 The number of intergovernmental and non-governmental organizations participating in and/or funding CITES workshops and other training and capacity-building activities.

D7 Collaboration/co-operative initiatives Q6. Note: Does not completely cross link. D7Q6 pertains to participation. Another question on funding might be needed. Secretariat could provide information on funding they have received directly. Biennial report could be used to collect equivalent information from Parties by asking for example: Has funding been received to facilitate CITES workshops, training or other capacity building activities from (a) intergovernmental organizations or (b) nongovernmental organizations?

Objective 3.4 The contribution of CITES to the relevant Millennium Development Goals and sustainable development goals set at WSSD is strengthened by ensuring that international trade in wild fauna and flora is conducted at sustainable levels.

Indicators

The following indicators apply to this objective: 1.4.1, 1.4.2, 1.5.4, 1.6.1, 1.6.2, 2.2.2, 3.3.1, 3.3.2, 3.5.1 and 3.5.2.

There is a link with the Biennial Report for indicators 2.2.2 and 3.3.1, and a partial link for indicator 3.5.2. However there is no direct link for the other indicators, although some of them (see individual indicators) may be possible to implement using other data sources. Note: more thought on how to measure this objective is needed.

- 3.4.1 Improving conservation status of CITES-listed species as shown by tools such as the IUCN Red List Index.

No direct match with Biennial report, but information may be available from IUCN or the Red List Index website.

Objective 3.5 *Parties and the Secretariat cooperate with other relevant international organizations and agreements dealing with natural resources, as appropriate, in order to achieve a coherent and collaborative approach to species which can be endangered by unsustainable trade, including those which are commercially exploited.*

Indicators

- 3.5.1 The number of cooperative actions taken to prevent species becoming threatened by unsustainable trade.

No direct match with Biennial report; more thought needed on how to source this information.

Note: “Actions” could be taken very broadly. Are the actions specific to those taken under established bilateral or multilateral agreements?

- 3.5.2 The number of times other relevant international organizations and agreements dealing with natural resources are consulted on issues relevant to species subject to unsustainable trade.

D7 Collaboration/co-operative initiatives Q13. Note: Not directly linked. Would need a direct question or additional tick box: Average number of times international organizations or agreements are consulted?