

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



Joint sessions of the 31st meeting of the Animals Committee and  
the 25th meeting of the Plants Committee  
Geneva (Switzerland), 17 July 2020

Strategic matters

CAPACITY-BUILDING

1. This document has been prepared by the Secretariat.

Background

2. At its 18th meeting (CoP18, Geneva, 2019), the Conference of the Parties adopted Decisions 18.39 to 18.46 on *Capacity-building* as follows:

**18.39 Directed to the Parties**

*Parties are invited to:*

- a) *provide information to the Secretariat regarding capacity-building materials and efforts that could be shared among Parties;*
- b) *utilize the CITES Virtual College to support capacity-building activities and provide the Secretariat with inputs and financial support to update and improve its services, including translation of the contents into national languages;*
- c) *use the CITES implementation reports, as well as direct expression of interest, to inform the Secretariat about their capacity needs;*
- d) *support the capacity-building efforts of other Parties by providing scholarships for in-person training or training opportunities, and by translating materials into non-working languages of the Convention; and*
- e) *share ideas, experiences, and information related to the development of a capacity building framework in response to the Notification to Parties issued by the Secretariat under Decision 18.46, paragraph a).*

**18.40 Directed to the Animals and Plants Committees**

*The Animals and Plants Committees shall review the report of the Secretariat called for in Decision 18.46, paragraph c), and provide input and make recommendations to the Standing Committee.*

### **Directed to the Standing Committee**

- 18.41** *The Standing Committee shall establish a working group on capacity-building to advise the Standing Committee on the actions outlined in Decisions 18.42 and 18.43 for the development of an integrated capacity-building framework to improve implementation of the Convention.*

*The working group shall include, but not be limited to, participation of: members of the Standing Committee, the Animals and Plants Committees, the Budget and Finance Sub-Committee, and the Secretariat. The working group shall also include a balanced representation of Parties from each region, as well as Parties that are donors and Parties that are recipients of capacity support.*

- 18.42** *The Standing Committee shall provide guidance to the Secretariat to refine and consolidate the areas of capacity-building efforts, taking into account the discussions on the Compliance Assistance Programme and Country-wide Significant Trade Reviews, as well as the discussion on the development of an integrated capacity building framework outlined in Decision 18.41.\**

- 18.43** *The Standing Committee shall undertake the following:*

- a) *review Resolution Conf. 3.4 on Technical cooperation with the view to incorporating capacity-building needs;*
- b) *consider the inputs and recommendations of the Animals and Plants Committees pursuant to Decision 18.40; and*
- c) *make recommendations, including a possible new or revised draft resolution as well as models, tools and guiding documents on capacity building, as appropriate, based on the outcome of the work in Decision 18.46 as well as documents CoP18 Doc. 21.2 and Doc. 21.3, for consideration by the Conference of the Parties at its 19th meeting.*

### **Directed to the Secretariat**

- 18.44** *The Secretariat shall:*

- a) *collect information on capacity-building materials and efforts from Parties and others, and make them available to Parties through the CITES website;*
- b) *subject to the availability of external funding, undertake the revision and enhancement of the CITES website and of the CITES Virtual College, including selected online courses, to update the content and to improve their effectiveness in providing access to capacity-building resources to Parties;*
- c) *subject to the availability of external funding, provide compliance-related and other general capacity-building support to Parties;*
- d) *inform the Standing, Animals and Plants Committees when needs arise for their review or inputs on capacity-building materials; and*
- e) *subject to the availability of external funding, further cooperate with institutions and organizations to provide Parties with joint capacity-building assistance of relevance to CITES, and provide scholarships for in-person training or training opportunities, and translate materials into non-working languages of the Convention, for example through: the Food and Agriculture Organization of the United Nations (FAO), the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES), the International Consortium on Combating Wildlife Crime (ICWC) (including each of its partners), the International Trade Centre (ITC), the International Tropical Timber Organization (ITTO), the International University of Andalusia (UNIA), the United Nations Conference on Trade and Development (UNCTAD), the United Nations Development*

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\* The Secretariat believes that the intention was to refer to Decision 18.41 and not Decision 18.43.

*Programme (UNDP), the United Nations Environment Programme (UNEP), the World Organisation for Animal Health (OIE); and the World Trade Organization (WTO).*

**18.45** *In carrying out capacity-building activities, the Secretariat shall pay particular attention to the needs of Parties identified through compliance procedures, recently acceded Parties, developing country Parties, and Small Island Developing States.*

**18.46** *The Secretariat shall:*

- a) *based on document CoP18 Doc. 21.3 Annex 5 and in consultation with the Standing Committee, develop a questionnaire and issue a Notification to Parties transmitting the questionnaire to gather input to inform the development of an integrated capacity-building framework;*
- b) *liaise with other Multilateral Environmental Agreements to collect information regarding how their capacity-building efforts are targeted, accomplished, and tracked;*
- c) *prepare a report summarizing the outcomes of its implementation of Decision 18.46, paragraphs a) and b), the outcomes of the needs assessment working group summarized in document SC66 Doc. 20.2 (Rev.1), and the information on capacity- building needs provided by Parties through their implementation reports, for consideration by the Animals and Plants Committees; and*
- d) *subject to the availability of external funding and in consultation with the Standing Committee, Animals and Plants Committees, and the Budget and Finance Sub-Committee, organize a workshop that would facilitate the Standing Committee's tasks set out in Decisions 18.42 and 18.43.*

Progress to date: Decisions directed to the Standing Committee

3. For its implementation of Decision 18.41, the Standing Committee (SC), at its 72nd meeting, established an intersessional working group on capacity-building, chaired by New Zealand. The mandate of the working group and its membership as decided following the publication of Notification No. 2019/062 can be found on the CITES website at: <https://cites.org/sites/default/files/eng/com/sc/72/SC72-WGs-members-2304.pdf>.
4. Decision 18.41 sets out that the SC working group shall include members of the Animals and Plants Committees. Since no members of the Animals and Plants Committees responded to Notification No. 2019/062, the Committees may wish to nominate Members who would join the working group.

Progress to date: Decisions directed to the Secretariat

5. Pursuant to Decision 18.44, paragraphs a), c), and e), and as part of its core work, the Secretariat continues to share information regarding capacity-building opportunities it receives through the CITES website and provides capacity-building support upon request by Parties, both directly and through partnerships. One such effort is the support to the Master's course on *Management and Conservation of Species in Trade: The International Framework* organized by the International University of Andalusia. The Secretariat has secured funds to provide full and partial scholarships to nine participants from developing country Parties who assume CITES-related roles, and for Secretariat staff to act as lecturers. The course was due to commence in April 2020 but has been postponed due to COVID-19-related restrictions.
6. Regarding Decision 18.44, paragraph b), the Secretariat has commenced the revision and enhancement of the CITES website in order to improve access to relevant information and materials. The funds remain, however, insufficient to complete the revision of the CITES Virtual College and its online courses. The importance of online courses and other remote means of capacity-building has become more evident considering the current limitations on holding face-to-face training. The Secretariat may have to rethink how capacity-building and training are designed and delivered and will continue monitoring existing capacity-building trends and communicating with relevant partners.
7. Thanks to funding provided by the European Union, the Secretariat will progress on the implementation of Decision 18.45 and Decision 18.68 on the *Compliance Assistance Programme*. In implementing this assistance work, the Secretariat plans to work with Parties undergoing compliance procedures in order to identify their needs.

## Summary of the outcomes of various capacity-building information collection and analyses exercises

8. Pursuant to Decision 18.46, paragraph a), the Secretariat issued [Notification to Parties No. 2020/027](#) on 24 March 2020 on *Questionnaire on the development of an Integrated CITES capacity-building framework*. The questionnaire contained in this Notification was based on document CoP18 Doc. 21.3 Annex 5.
9. The Secretariat received 43 responses from 24 Parties (13% of the total Parties) and 8 non-Party entities. Annex 1 to this document contains the details of the questionnaire results (in the original language), which shows that the majority of respondents think that an integrated framework for CITES capacity-building and a resource tracking tool would be useful. There are, however, divergent views on the contents and purposes of such tools, as well as on their management and funding. Consequently, the SC working group on capacity-building will need to undertake a further assessment and discuss a concrete way forward.
10. Pursuant to Decision 18.46, paragraph b), the Secretariat also collected information from other Multilateral Environmental Agreements regarding their capacity-building efforts (see Annex 2). The Secretariat also participates in a discussion group of capacity development coordinators of the biodiversity-related convention secretariats and relevant international organizations in order to share information and to strengthen inter-agency cooperation. This discussion group is coordinated by the Secretariat of the Convention on Biological Diversity.
11. The Secretariat is currently undertaking an analysis of Parties' needs to implement the Convention as expressed through the implementation reports. This analysis will be made available as an information document to the present meeting. The Animals and Plants Committees are reminded also the outcomes of the extensive needs assessment work that took place in 2016, which is summarized in document SC66 Doc. 20.2 (Rev.1).
12. The SC working group on capacity-building will consider the information described in paragraphs 9 through 11 above; discuss the potential development of an integrated capacity building framework (Decision 18.42); propose a way forward to implement Decision 18.43 and prepare its report to the Standing Committee at its 73rd meeting.
13. Since the information collected by the Secretariat to date is extensive and still requires further assessment, it may be premature for the Animals and Plants Committees to provide inputs and make recommendations to the Standing Committee. The Secretariat therefore proposes that the implementation of Decision 18.40 take place at the next meetings of the Animals and Plants Committees. In the meantime, the Committees will be able to continue to provide direct inputs to the discussion through their representatives who join the intersessional working group of the Standing Committee on capacity-building.

## Recommendations

14. The Animals and Plants Committees are invited to:
  - a) note the report of the Secretariat in the present document; and
  - b) nominate one or more Members of the Animals and Plants Committees to join the intersessional working group of the Standing Committee on capacity-building.

(responses in the original language / réponses dans la langue d'origine / respuestas en el idioma original)

Summary result of the questionnaire on the development of an integrated  
CITES capacity-building framework (Notification No. 2020/027)

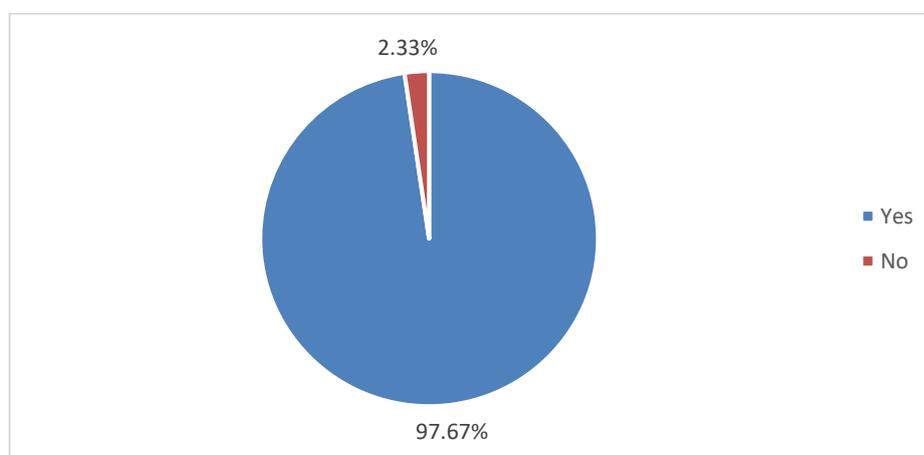
The Secretariat received 43 responses from 24 Parties. Of all the responses, 41.4% were from the Parties and 18.6% from observers. The majority of the responses (82.86%) was from the Management Authority, followed by Scientific Authority (11.43%) and Enforcement Focal Point (5.71%).

| <b>Region (total number of Parties)</b>          | <b>Parties responded</b>  |
|--|---|
| Africa (52)                                      | Benin, Botswana, Comoros, Côte d'Ivoire, Guinea Ecuatorial, Morocco, Central African Republic, DR Congo, Zimbabwe |
| Asia (38)  | China, Indonesia, Malaysia*, Nepal, Thailand, United Arab Emirates  |
| Central and South America and the Caribbean (31) | Antigua and Barbuda*, Chile*  |
| Europe (48)                                      | Austria, United Kingdom of Great Britain and Northern Ireland   |
| North America (3)                                | United States of America, Mexico  |
| Oceania (8)                                      | New Zealand, Solomon Islands, Vanuatu   |

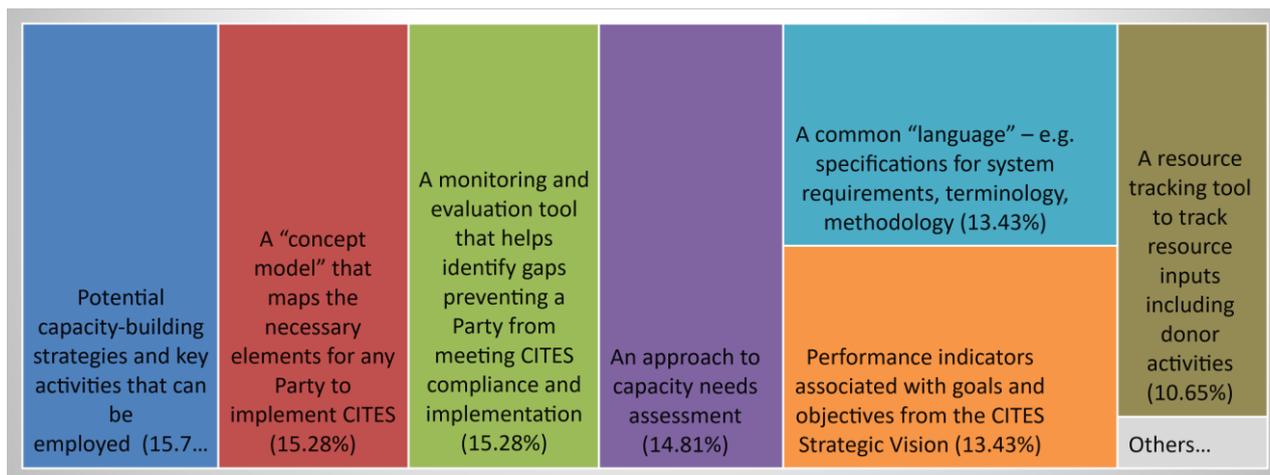
\* Parties with multiple responses

#### CONSIDERATION FOR AN INTEGRATED CITES CAPACITY-BUILDING FRAMEWORK

**Q1: Do you think an integrated framework for CITES capacity-building would help you better plan, prioritize, and coordinate capacity-building efforts?**



**Q2: What should be included in an integrated framework for CITES capacity-building?**

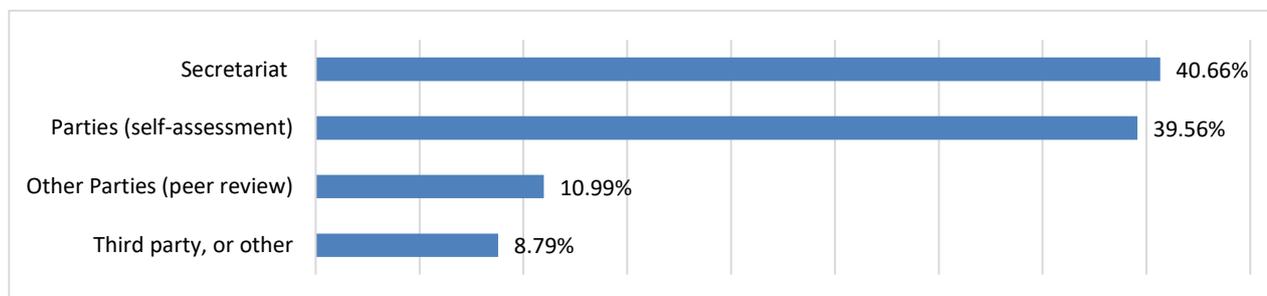


**Others:**

- Performance indicators based on necessary elements to implement the Convention.
- Performance indicators will be important to this process but might best be informed by considering the breadth of input from Parties (via this questionnaire and subsequent discussions at the technical meetings). To the extent that performance measures could be informed by the CITES Strategic Vision, it is possible that the process being explored via this Notification may also inform the CITES Strategic Vision.
- Putting in place a national training team to be brought together at regional level

**NEEDS ASSESSMENT**

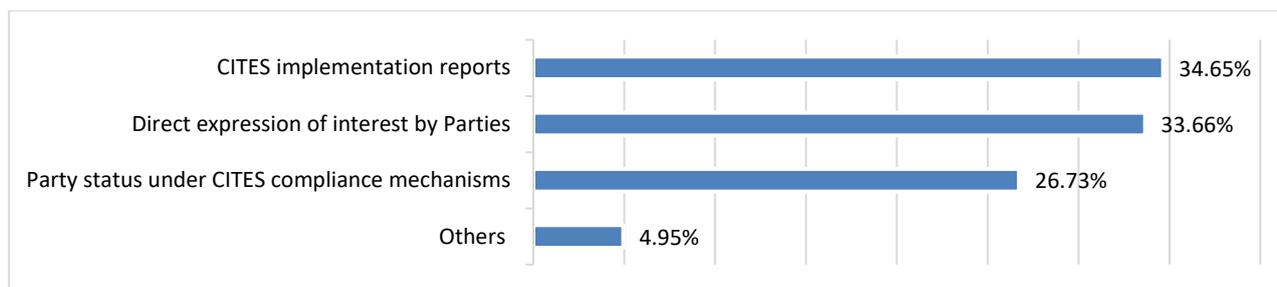
**Q3: Who should conduct the CITES capacity needs assessments?**



**Others:**

1. Parties carrying out self-assessment may want assistance from other Parties or the Secretariat. Some Parties may not have the capability to do assessment on their own.
2. Agreed evaluators from the CITES Secretariat
3. Sub regional organisations
4. Wildlife professionals and NGOs working on the ground
5. National NGO in any countries

#### Q4: What data should be used to conduct the needs assessments?



#### Others:

1. Parties may self-report or peer-report based on a combination of data sources: CITES reports, status under compliance mechanisms (e.g. National Legislation Project, Article XIII), and expert opinion. These sources should be established, rather than left open-ended, as part of the development of the needs assessment.
2. Not clear if implementation reports above include reports on illegal trade but these should be included as well as standard national reporting
3. Wildlife Professionals and NGOs working on the ground
4. Randomly collected data by observers
5. Implementación de actividades prioritarias identificadas por las Autoridades CITES Nacionales que pueden incluir; por ejemplo: cursos de capacitación a actores relevantes, implementación de proyectos de investigación para mejorar la información técnica base para elaborar NDF de especies objetivo, reformas a legislación, necesidad de fortalecer las capacidades de personal de actividades de aplicación de la ley y verificaciones en frontera, etc.

#### Q5: Please provide examples of capacity-building efforts in your country that may inform the development of a concept model for integrated CITES capacity-building. Please include how the need was identified, participating parties/stakeholders, the specific activity undertaken and measurable results of the activity.

1. Accounting for export receipts from export of wildlife products by the Central Bank. Automation for the processing of applications for authority to export and tracking the exported products.
2. Africa Wildlife Conservation Medicine: Training, research, basic and essential equipment
3. First, proper channel for the management. There should be enough resources by which animals/plants can survive for a better future. Promote forestation, animal husbandry in rural areas or small villages, efficient water supply across the village/town/forest. Ex-situ provision for the species which are about to Extinct (construction of safari, Botanical gardens) so on. In our country India- so many acts and legal provision helps for the growth of the species and participation makes it much better.
4. Trainings and awareness on CITES-listed species on traded and non-traded species because the locals do not know. NDFs done for traded species. This is all assessed through report analysis.
5. The Training Division routinely undertakes capacity-building activities for public servants. In order to identify courses to be offered, the Division completes a capacity needs assessment which is mailed or emailed to all government offices. Based on the of interest identified in specific courses they then prepare a training schedule of a range of courses. The final list of courses is then disseminated to all government ministries with a request for them to identify suitable candidates. When the course is about to be staged the ministries are then asked to forward the name(s) of the selected candidate(s) to the Training Division. Courses are open to all public servants selected by their ministries and include a range of topics from project management to communication to personal finance management. Following each course candidates are asked to fill out customer surveys within which they may indicate the aspects of the course they were satisfied with and the aspects with which they are dissatisfied. They are also asked to evaluate tutor.
6. Wildlife cybercrime training. It was important due to the increasing usage of social media as an online business platform. Participating parties are mostly enforcement agencies. The activity was more to hands-on activity on how to use the social media for investigation and gather intelligence data. The results were measured through how well each individual/group in the training perform the task given.
7. Short-term NDF and capacity-building projects supported by the Government. Management Authorities and Scientific Authorities were invited to submit proposals to conduct relevant projects on CITES listed species. At the end of the project duration, a final report which includes the results and findings is submitted and presented for evaluation.

8. It is an annual event for the Forest Department of Sarawak to conduct CITES-Capacity-Building workshop with stakeholders comprising of relevant government agencies such as custom department, police, airport security, army, agriculture department, and many others, and the industry people such as wildlife farm operators, planters, etc. Few papers on CITES-listed species and its potential in its international trade are presented in every session. The workshop would usually take 2 to three days, inclusive of a day field excursion to wildlife farm or to premise where CITES-listed plants are commercially planted.
9. a) Legislation review. Domestication of CITES resolutions into domestic law through stakeholder consultations. b) Development of integrated systems for compliance monitoring and trade/players databases including the following: i) Movement of products on trade is monitored through monthly returns, export permits other reports; ii) Awareness campaigns to wildlife operators and general population is conducted.; iii) Border control personnel and other law enforcement agents also assist in monitoring the movement of goods across borders; iv) Training of other law enforcement Agents such as the Zimbabwe Republic police, Prosecution Authorities and the Judiciary on Ivory related issues is done.; v) Joint operation with other law enforcement Agent is also carried out.
10. The Royal Botanical Gardens Kew (RBG Kew) run capacity-building activities in their role as one of the UK's Scientific Authorities. Currently RBG Kew contribute to domestic capacity-building by providing CITES training as part of the MSc Conservation course offered at RBG Kew. This training is also offered to other UK universities. Need was identified to teach conservation students about CITES, which builds capacity of future conservation workers. Future plans also exist to develop a RBG Kew Science Strategy including a new education objective which will include CITES capacity-building. This will be aimed at Universities, adult education and general public awareness to promote knowledge of CITES.  
 Joint Nature Conservation Committee (JNCC) run capacity-building activities in their role as one of the UK's Scientific Authorities. In the period March 2017-Feb 2020 JNCC have carried out 25 capacity-building activities including two instances of capacity-building with other parties. JNCC carried out judiciary training in the Southern African region, encouraging the use of impact statements to support CITES cases with the aim of ensuring sentences are more commensurate with the crime. JNCC has carried out similar capacity-building work within the UK which has resulted in dedicated Crown Prosecution Service Prosecutors within England and Wales that are involved in supporting prosecuting illegal wildlife trade cases, and greater communication between courts and wildlife trade experts. Impact assessments are now being used more commonly to lay out the environmental, social and economic consequences of illegal wildlife trade. Domestically JNCC regularly contribute to the National Police Wildlife Crime Officers training course. This is an accredited UK police course aimed at increasing enforcement authorities' understanding of CITES requirements and familiarising them with the species/commodities in trade. Here need was identified that officers working on wildlife crime would need CITES specific training for their role. JNCC also contribute to the CITES course regularly run for UK Border Force staff, where there is need to train new staff undertaking CITES duties at the border. JNCC also provide capacity-building support to UK Overseas Territories (OTs) on general CITES implementation, enforcement and NDFs.  
 Domestically, UK Border Force have trained additional staff in preparation for the enforcement and implementation requirements of EU Exit. Border Force have put together a CITES training package for officers working at UK ports and airports. In the last 16 months Border Force has delivered 74 training courses to approximately 950 enforcement and international trade officers as part of a structured programme. This training has started to deliver good seizure results including seizures at ports. Post-Covid19 pandemic this training will continue. Internationally, UK Border Force contribute to several capacity-building activities. In 2019 Border Force co-delivered training in Malawi and Mongolia.  
 In Malawi Border Force delivered enforcement training alongside RSPCA International. This was the fourth course of its kind delivered in-country to enforcement agencies and prosecutors. The training included local experts on legislation, identification of species, corruption and financial crime to provide in-country experts the opportunity to deliver presentations and develop their skills. These courses were funded by the UK government under the IWT Challenge Fund and have proved to be extremely successful with an increase in seizures, arrests and prosecutions across Zimbabwe.  
 In Mongolia Border Force and ZSL ran three CITES enforcement courses over a three-week period. These courses were delivered to a multi-agency audience and utilised local experts to discuss identification of species, legislation and gender equality. Border Force provided a detector-dog instructor to review, work with and upskill in-country dog teams. The need for this training was identified in a 2018 visit to Mongolia that allowed Border Force officials to scope out the project, meet Mongolian senior officials and visit border posts in order to understand the working environment/pressures of enforcement agencies and to identify suitable training locations. This scoping was invaluable and enabled a number of unexpected problems to be addressed quickly.

UK border force has also worked alongside Border Force International to develop a CITES awareness module during Maritime targeting courses in Viet Nam, Thailand, Panama and Azerbaijan. Some of these courses were run in conjunction with UNODC/CCP.

11. New Zealand's CITES MA delivers training to border officials and undertakes training with border agencies, the periodic assessment of border procedures, in addition to providing regular updates on emerging trade trends etc and sharing of intelligence. Training focuses on the function and delivery of the Convention, permitting requirements, identifying CITES species and specimens and providing tools to do this, and enforcement powers for the seizure of illegally traded CITES species. Stakeholders and partners are notified of changes to Appendix listing, post-COP, to enable compliance with new and amended trade requirements. New Zealand has assisted with enforcement and implementation training in the Oceania region, including in Fiji in 2017 and more recently in Tonga in 2019. We are currently working secure funding to support legislative development in Tonga and Samoa and are working with SPREP to assist Oceania parties with implementation of new CITES listings - particularly supporting development of NDFs for sea cucumbers and Mako sharks.
12. a) Trainings and workshops - targeted groups are stakeholders, NGOs, wildlife traders; b) internet based –Self research (CITES Virtual College) – self-training; c) In-house FAQs – this usually occurs daily in the office especially when new ones are not sure of the implementing activities; d) Education and awareness programs - targeted groups are the public and schools and communities; e) Technical assistance – for us and the stakeholders; f) Field trainings – by officers. All These examples need finance and time to do activities. However, more effective examples are # b, c, f which are practised every day while #a and d need finance to make it happen and #e, when the information is not understandable to us we need assistance from other Parties.
13. Conducting technical workshops and trainings for the veterinarians and agricultural engineers who work in county ports as well as for the police, customs officers and market inspectors. The workshops are conducted on a regular base and are scheduled in cooperation with NGOs such as IFWE. Workshops and training can also be requested by any local authorities or when new decrees are released.
14. Parties and stakeholders are identified based on the topic of the workshops or trainings. For example, if the workshop is about identifying the species of sharks that fall under the CITES, fish market inspectors, veterinarians and custom officers working at ports are invited.
15. The activities undertaken during the workshop or trainings can be as presentations, working groups, practical trainings and discussions. The results can be measured by quizzes, surveys and by following up with trainees.
16. Apart from the normal stakeholders CITES awareness workshop and meetings, there is no example at the moment that will be contributed effectively towards the development of a conceptual model for the integrated CITES capacity-building.
17. The U.S. Fish and Wildlife Service (USFWS) International Affairs program facilitates and supports numerous capacity-building efforts to strengthen CITES around the world. We provide three examples here:
  - In partnership with Wildlife Impact and in collaboration with the Ministry of Environment of Angola (MINAMB), the USFWS aims to strengthen CITES capacity and enforcement of wildlife crime law in Angola, with a specific focus in Maiombe National Park and surrounding areas in Cabinda Province. Completed activities include developing recommendations for CITES-related legislation and other measures for CITES implementation, such as training rangers and wildlife health authorities to manage wildlife confiscations. Next steps include the deployment of two databases for management of CITES specimens in trade and a separate law enforcement import/export tracking system, as well as a final workshop on wildlife confiscations. The need for this project was identified when Wildlife Impact (in coordination with the Ministry of Environment) submitted a strong, competitive proposal for our Combating Wildlife Trafficking grants program in 2017. USFWS invested in these efforts with both technical and financial assistance, motivated by Angola's need for CITES capacity work after the country opened its borders.
  - The U.S. Fish and Wildlife Service with funding from USAID supported 16 professionals from 12 countries in Central America, South America, the Caribbean, and Central Africa, to participate in the University of Andalucía's Master's Degree Program on the Management and Conservation of Species in Trade: the International Framework (aka CITES Master's Course) from April 2017-March 2018. This was made possible through two USFWS partnerships, with Atecma Asesores Tecnicos de Medio Ambiente (ATECMA) and Wildlife Conservation Society (WCS), established through our Combating Wildlife Trafficking grants program in 2017. The partnership with WCS further aims to strengthen country and region-level capacity for CITES in Central America and the Caribbean by supporting the development of non-detriment findings (NDFs), improving availability of data on illegal trade in CITES-listed species, and increasing knowledge of emerging regional illegal wildlife trade threats.

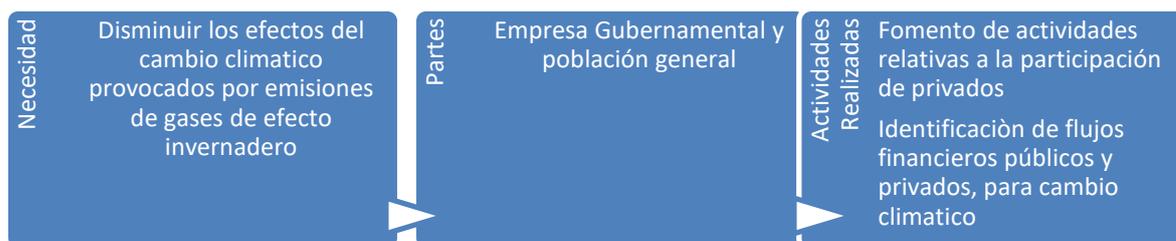
- Both projects supported the attendance of the graduates to CITES CoP18, allowing for an unprecedented learning opportunity. Both projects were successfully completed in 2019.
- USFWS and the CITES Secretariat work together through a cooperative agreement (2017-2021) to build capacity for implementing CITES in Southeast Asia. Key outcomes thus far include: enhanced legislation in Myanmar (moving the Party to Category 2 under the National Legislation Project); the development of implementation steps for National Ivory Action Plans in Cambodia and Viet Nam; and a national self-assessment workshop in Lao PDR, where the government created an Article XIII Action Plan in March 2019.
18. From our experience and efforts, capacity-building needs and audiences are multifaceted.
    - a. Taking into account the system requirements set out in the Convention, the complexity of the relevant terminology and methodology, and China's particularity in language, culture and scale, it is of the utmost importance for China to enhance the understanding of the rules of the Convention in various departments and regions in the implementation of the Convention. To that end, we translate appendices and valid documents into Chinese after each CoP, distribute them to local government, relevant departments and law enforcement officials, and conduct repeated presentations and training on the provisions to officials and business people.
    - b. Cooperation and collaboration among government departments are also crucial in capacity-building, and China's National Interagency CITES Enforcement Coordination Group (NICEGG) has been implemented from the national level to the provincial level, with great success in compliance and law enforcement.
    - c. In terms of international cooperation and sharing, China has initiated and participated in many joint efforts to combat the illegal wildlife trade. China has continued to send compliance personnel to participate in United Nations training and, in recent years, has been providing training for compliance staff in various countries.
    - d. In law enforcement and justice, through the development of identification manuals and tools, online identification, intelligence exchange the efficiency of law enforcement combating the illegal wildlife trade is greatly enhancing. At the same time, the well-established judicial system regards wildlife crime as a serious crime and severely punishes criminals.
  19. L'autoévaluation nationale des capacités à renforcer pour la gestion de l'environnement plan d'action pour les renforcements des capacités pour l'Union des Comores
  20. Mise en place d'une équipe nationale mixte spécialisée dans la formation CITES (Besoin exprimé à la suite du constat d'un déficit global de connaissance de la CITES aussi bien des acteurs publics que privé. Cependant l'équipe a du mal à fonctionner faute d'appui conséquent logistique matériel et financier)
  21. Renforcement des capacités des agents de contrôle au niveau des ports et aéroport sur l'identification des spécimens de faune et de flore destinés à la commercialisation
  22. Restitution obligatoire des formations par les participants (Besoin exprimé suite au constat que les agents formés laissent les connaissances acquises dans leur cartable et n'en font pas bénéficier leurs collègues et les autres acteurs. Activité cependant difficile pour atteindre de grandes cibles faute d'appui conséquent logistique matériel et financier)
  23. Dans le cadre de la mise en œuvre du programme de suivi de l'abattage illégal des éléphants (MIKE), la Coordination MIKE soumet, chaque année, un formulaire d'évaluation des capacités d'application de la loi pour les différents sites MIKE. Ce formulaire une fois renseigné par les gestionnaires des sites MIKE, permet d'identifier les besoins en renforcement des capacités et de prioriser les actions urgentes à mettre en œuvre pour accroître les capacités de gestion des sites.  
Un atelier de formation des juges, procureurs et points focaux CITES a été organisé à Abidjan en octobre 2019 pour les pays francophones d'Afrique de l'ouest. Le besoin de cette formation a été identifié par les points focaux CITES de la CEDEAO à l'occasion de plusieurs réunions sous régionales.  
Chaque année, le personnel en poste à l'aéroport d'Abidjan est réaménagé donc comprend de nouveaux agents. L'organe de gestion CITES organise donc une session de formation pour familiariser les nouveaux avec les procédures de contrôle permettant d'appliquer la CITES.
  24. Le Maroc a organisé avec la contribution de plusieurs partenaires et dans le cadre de la mise en œuvre de projets des sessions de formations sur la Convention CITES et la loi nationale prise pour son application aux profits des agents forestiers, agents douaniers ainsi que les juges et magistrats.
    - Le personnel de l'Organe de Gestion a également bénéficié de formations à l'échelle régionale (Afrique, Région Mena) ce qui lui permet actuellement d'assurer les formations au niveau national en utilisant les ressources CITES.
    - Suite aux recommandations de l'Organisation Mondiale des Douanes d'introduire la CITES dans la formation des douaniers, un module de formation a également été élaboré au profit au profit des agents douaniers en se basant sur les ressources CITES.

- Le besoin pour ce genre de formation et leur contenu ont été identifiés en commun accord avec l'Organe de Gestion et les partenaires concernés (agents forestiers, douaniers et juges).
  - Une augmentation significative des cas de saisie et de confiscation que ça soit à l'intérieur du territoire national ou au niveau des postes frontaliers.
  - Une meilleure compréhension par système judiciaire des infractions liées au commerce illégal de la flore et de la faune sauvage.
25. Je ne représente pas un pays, mais le Secrétariat de la CIPV, de l'OIE et la FAO disposent respectivement d'outils d'évaluation phytosanitaire, en santé animale et en sureté des aliments qui pourraient inspirer la CITES.
26. Coordinan acciones regionales con base en la identificación de las especies CITES más relevantes en el comercio internacional, para generar estrategias tanto regionales, como nacionales y locales e implementar actividades relacionadas a dicha estrategia con evaluación de resultados a corto, mediano y largo plazo. Como ejemplo podemos citar los planes de acción para el Comercio Sustentable de Especies Prioritarias en América del Norte (en el marco de un proyecto apoyado por la CCA; Comisión para la Cooperación Ambiental de América del Norte) y las acciones generadas a partir de estos. <http://www3.cec.org/cites/es/sharks/>
27. A nivel de Guinea Ecuatorial, hemos llevado a cabo un seminario de formación de identificación de las especies protegidas en el marco de la CITES y también tenemos campañas constantes de sensibilización a la población sobre la conservación de las especies protegidas y/o amenazadas.
28. ADUANA – CHILE

| ACTIVIDADES DE CAPACITACIÓN CITES AÑO 2019  |  |   |  |                                    |
|---|--|---|--|------------------------------------|
| ADUANA – CHILE  |  |   |  |                                    |
| Identificación necesidad de capacitación  | Organismo capacitador (Autoridad Administrativa) | Dirección Regional o Administración de Aduana que se capacitó | Materias abordadas en taller   | Número de funcionarios capacitados |
| Detección de necesidades de capacitación desde el nivel central                   | SERNAPESCA                                       | Dirección Regional Aduana de Talcahuano                       | <ul style="list-style-type: none"> <li>• Control de exportación e importación de productos pesqueros y acuícolas.</li> <li>• Fiscalización pesquera; importación de especies ornamentales y material biológico o patológico;</li> <li>• Ley N°20.962 /2016;</li> <li>• Rol de SERNAPESCA como autoridad administrativa CITES.</li> <li>• Artículos personales y bienes del hogar (Resolución 13.7 de la Convención CITES)</li> </ul> | 127 funcionarios                   |
|   | SERNAPESCA                                       | Administración Osorno   |  |                                    |
|   | SERNAPESCA                                       | Dirección Regional Aduana Valparaíso                          |  |                                    |
|   | SERNAPESCA                                       | Dirección Regional Aduana Metropolitana                       |  |                                    |
|   | CONAF  | Dirección Regional Aduana Coquimbo                            |  |                                    |
| Detección de necesidad de capacitación por parte de los funcionarios de la Aduana | SERNAPESCA                                       | Dirección Regional Aduana Puerto Montt                        | <ul style="list-style-type: none"> <li>• Control de exportación e importación de productos pesqueros y acuícolas.</li> <li>• Fiscalización pesquera; importación de especies ornamentales y material biológico o patológico;</li> <li>• Ley N°20.962 /2016;</li> <li>• Rol de SERNAPESCA como autoridad administrativa CITES.</li> <li>• Artículos personales y bienes del hogar (Resolución 13.7 de la Convención CITES)</li> </ul> |                                    |

29. En conjunto con la Autoridad de Observancia de Chile, específicamente el Servicio Nacional de Aduana se han efectuado capacitaciones en los principales pasos fronterizos de Chile sobre comercio y tráfico de especies acuáticas CITES. La necesidad surgió luego de que ellos al estar en primera línea detectaron que no podían diferenciar o reconocer especímenes, partes o derivados de especies acuáticas que son jurisdicción nuestra. Además, se incluyeron identificación de documentos sanitarios, tributarios y otros que avalan exportaciones o importaciones de todo tipo de especies acuáticas (pesqueras, acuícolas y protegidas) que pasan por nuestras fronteras. Los resultados cuantificables son los listados de funcionarios que fueron capacitados.
30. Dentro de los ejemplos de esfuerzos de fomento de capacidad en nuestro país es importante mencionar el Programa de Fomento de Capacidades en Desarrollo baja en emisiones, que es una iniciativa que cuenta con

el financiamiento de la Unión Europea, implementado por PNUD y ejecutado por el Ministerio del Medio Ambiente, puesta en marcha desde el 04.SEP.018 al 31.DIC.018. y en proceso de renovación.



Resultados:

- Diseño y funcionamiento de un Sistema Nacional de Inventario de GEI.
- En Marcha de un marco para un Programa de Gestión del Carbono de manera voluntaria en Chile, Huella Chile, que permita a actores públicos y privados evaluar y gestionar sus emisiones de GEI a nivel corporativo. 143 organizaciones participan en él a diciembre de 2016.
- Definir un marco que permita caracterizar y cuantificar el impacto de las acciones nacionales apropiadas de mitigación (NAMAs, por sus siglas en inglés) elaboradas por Chile para abordar el cambio climático.

Lo anterior siendo posible extrapolarlo, poniendo énfasis en que las Partes y la Secretaria deben contar con programas adecuados de fomento de capacidad, con la finalidad de poder fortalecer las habilidades técnicas que poseen los diversos actores encargados en la CITES actualmente en el país.

**Q6: Please provide any recommendations or comments on the draft Conceptual Framework for CITES Capacity-Building presented in document CoP18 Doc. 21.3 Annex 3.**

1. It can be suggested to ask at least two universities of each Party to check and give feedback.
2. Data on the country's approved export quotas should be shared by all institutions involved in facilitating the export of the same for monitoring purposes.
3. There might be a need to simplify the conceptual framework.
4. The draft framework focuses on the delivery of face-to-face training but should also explore online platforms such as the staging of webinars and online training.
5. Countries illegal trade reports should be included in the 'effective compliance considerations' box.
6. List of potential donors for Parties to organize capacity-building activities. Some Parties may need financial aid to carry out capacity-building activities from planning to actual execution.
7. Malaysia strongly support approaches and action taken for build up a capacity within Parties as in line with CoP18 Doc. 21.3. We believe strong manpower understanding CITES requirement to control and combat illegal trade of endangered species is a key factor to ensure the exploitation of endangered species is minimize and controlled.
8. The framework quite covers in all of the main capacity-building needs.
9. There is need to include the local communities in the capacity-building frame as they are the prime custodians of the wildlife resource.
10. For Solomon Islands, the draft Conception Frameworks for CITES Capacity-Building shows everything that we need for capacity-building.
11. The draft Conceptual Framework for CITES Capacity-Building looks good and if it works well, it will be useful for many member countries.
12. We believe that the framework is a little narrow to reflect the values and expectation advocated by the new CITES strategic vision, and that it is challenging to help us determine whether strategic goals can be achieved through capacity-building efforts. The framework would be more systematic and practical if revised according to the goals settled and indicators being discussed of the CITES Strategic Vision 2020-2030.
13. The United States submitted Doc. 21.3 at CoP18. The U.S. Management and Scientific Authorities are delighted to work with other CITES Parties through the working group and to receive feedback through this questionnaire about a potential Conceptual Framework for CITES Capacity-building. Should the Parties find such a framework useful, we believe strongly that this collaboration among Parties will yield a powerful tool to guide future efforts for strengthening global capacity for implementing the Convention.
14. Generally, support the conceptual framework that maps and visually demonstrates how capacity-building can support CITES implementation - support the simple approach and the focus on key performance indicators that are necessary to implement the Convention. Suggest it should be supported by further clarity on types of capacity-building at the different stages/points in the framework - this would assist new or less well-

resourced Parties understand what is available and expected of them. In our region capacity-building is useful both for helping parties set up the right structures and legislation at the beginning and then to help avoid or remedy compliance measures as they go forward. Suggest adding reference to reporting in the process box as this is a requirement and can result in compliance measures.

15. Le modèle conceptuel pour le renforcement de capacité présente principalement les cibles spécifiques et la chaîne de résultats y afférente et les stratégies à adopter, sans pour autant spécifier les étapes à suivre. En effet, étant donné qu'il est destiné à standardiser la stratégie de renforcement des capacités des différentes Parties de la CITES, il serait peut-être judicieux de : i) Lier les cibles identifiées aux menaces directes et aux facteurs qui contribuent à ces menaces ; ii) De définir la stratégie à adopter et les actions qui conduiront aux résultats espérés ; iii) D'étoffer la chaîne de résultats proposée par des indicateurs qui permettent de tester et d'évaluer les actions mise en place.
16. Il doit être établi en consultation étroite avec les pays et les parties prenantes. Il doit avoir des indicateurs clairs et SMART.
17. La recomendación sería: aportar asistencia técnica a las partes necesitadas para la elaboración de un marco conceptual para el fomento de las capacidades a nivel nacional.
18. El esquema presentado en el Anexo 3 del Documento 21.3 (CoP18), presenta actividades que son el resultado de la implementación integral de varias disposiciones de la CITES (articulado de la CITES, Decisiones y Resoluciones). Sin embargo, contiene varios conceptos que por sí mismos no se encuentran definidos en el marco de la Convención, como el significado de "efectiva" cuando se califica a una Autoridad Científica/Administrativa/Aplicación de la Ley o bien, la existencia de un "sistema" de Permisos/Trazabilidad/Validación (que puede variar entre distintas especies o grupos de especies). Las Partes de la CITES se encuentran con capacidades y necesidades diferentes para la implementación de la Convención (articulado de la CITES, Decisiones y Resoluciones) y no existe un grado óptimo de efectividad que pueda ser establecido como meta (siempre existirán mejoras por implementar). Por tanto, si se desea crear un único conjunto de herramientas de evaluación, consideramos pertinente utilizar una ruta ya consensuada que está representada por la Visión Estratégica de la CITES. De esta forma, las Partes podrán reportar sus avances en la implementación de los indicadores ya acordados. De otra forma, se requeriría crear indicadores para el articulado, Decisiones y Resoluciones de la CITES en su totalidad.

El esquema presentado en el Anexo 3 puede ser utilizado en los cursos de creación de capacidades del colegio virtual de la CITES para esbozar una visión integral del funcionamiento de las distintas Autoridades de la Convención. Para ello, adicionalmente, el cuadro se beneficiaría de incluir:

- En el recuadro de "Country Level CITES Systems in Place"- una caja sobre NDFs:
  - "NDF protocols for key exported species"
  - Una liga a una tercera caja desde el recuadro "Country Level CITES Systems in Place". Esta caja puede llevar el título "Promote conservation and sustainable use of Appendix I species" e incluir la implementación de estrategias de repoblación y comercio sustentable a partir de reproducción en cautiverio (para aquellas especies que lo permitan).
  - En el recuadro de "Effective Compliance Considerations" no es necesario hacer mención puntual al seguimiento e implementación de Resoluciones particulares (de hacerlo así, sería un cuadro poco manejable), en su lugar sugerimos incluir un apartado sobre Seguimiento e implementación de Resoluciones y Decisiones vigentes, y con ello eliminar la necesidad de hacer referencia a acciones específicas como la implementación de los National Ivory Action Plans.
19. En relación al marco conceptual para el fomento de la capacidad, en relación a CITES, se requiere precisar un procedimiento de actuación de las autoridades científicas, administrativas y de observancia, derivado del control y fiscalización, al ingreso y salida del país, de los especímenes de las especies, partes, productos o derivados de las especies o subespecies exóticas incluidos en los Apéndices de la Convención CITES.

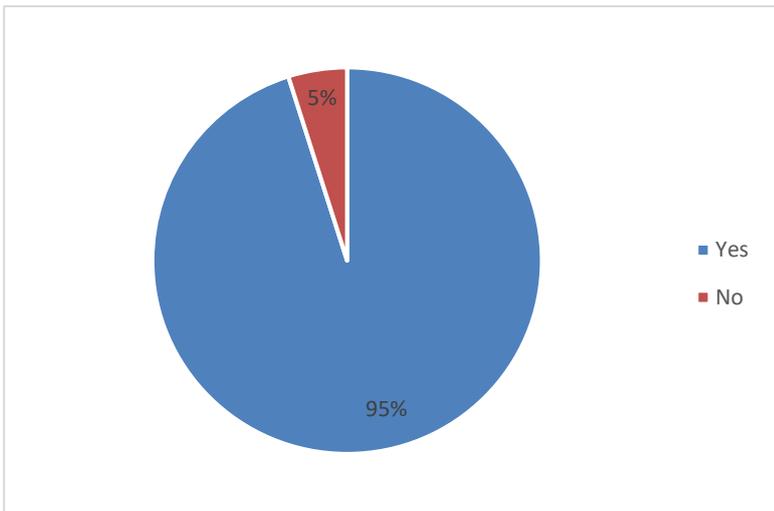
Se trata de un trabajo que estamos llevando a cabo en nuestro país pero que falta desarrollar, teniendo en consideración que la Ley Nº 20.962, que aplica en Chile la Convención sobre Comercio Internacional de Especies Amenazadas de Flora y Fauna Silvestres, entró en vigencia el año 2016.

En dicho contexto, para el Servicio Nacional de Aduana se hace imprescindible contar con la asesoría de la autoridad científica, lo anterior teniendo en consideración la labor fiscalizadora que debe llevar a cabo Aduana en el ingreso y salida de especies protegidas por la Convención y en su calidad de ministro de fe, dispuesto en el Artículo 6º de la Ley.

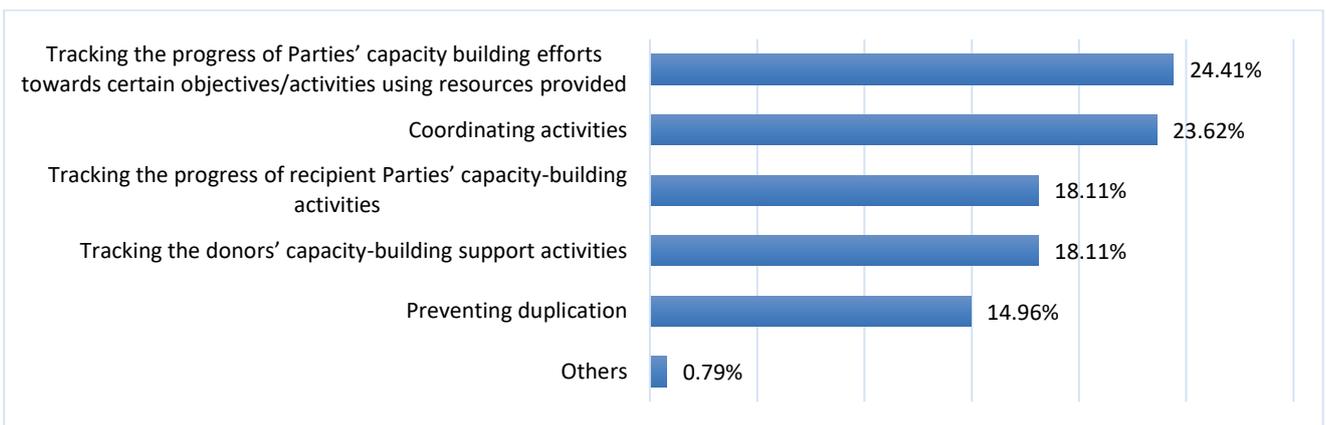
20. El modelo es correcto en teoría no obstante, es importante indicar que debe existir una fuerte cooperación entre los diversos actores y por supuesto capacitación también dentro de nuestras mismas instituciones
21. Se podría incluir a las especies del Apéndice III. En relación al cumplimiento efectivo, cada Parte podría tener presente los planes de acción que posean.

MANAGEMENT OF RESOURCE TRACKING TOOLS AND INDICATORS ([COP18 DOC. 21.3 ANNEX 4](#))

**Q7: Do you think a resource tracking tool is necessary?**



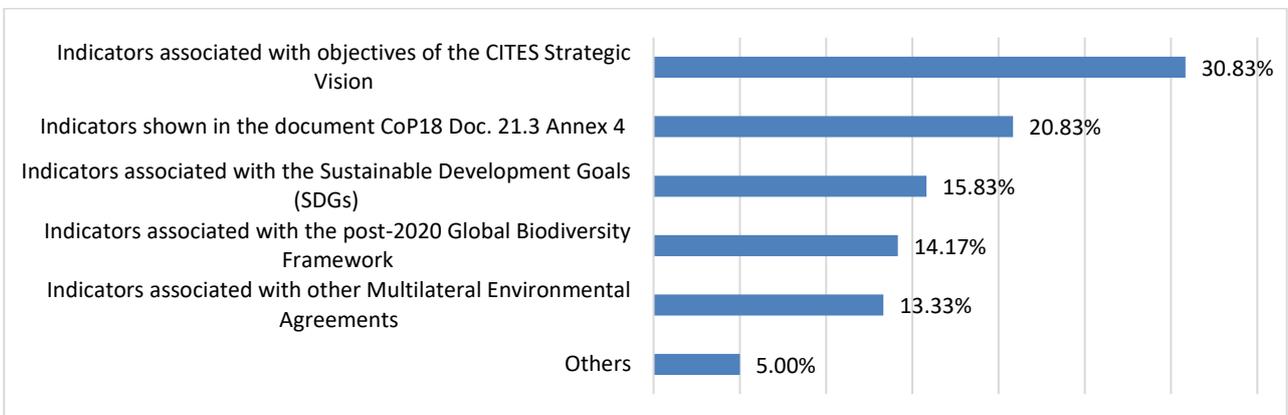
**Q8: If yes, what would you like to use the tracking tool for?**



**Others:**

1. To help countries access funding

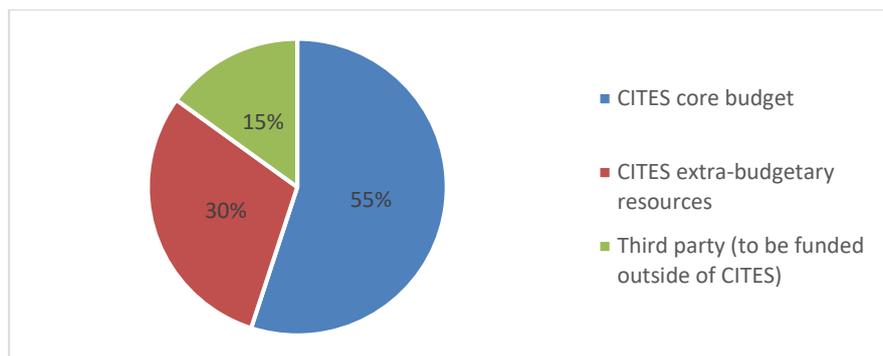
**Q9: What kind of indicators would be useful when tracking resources?**



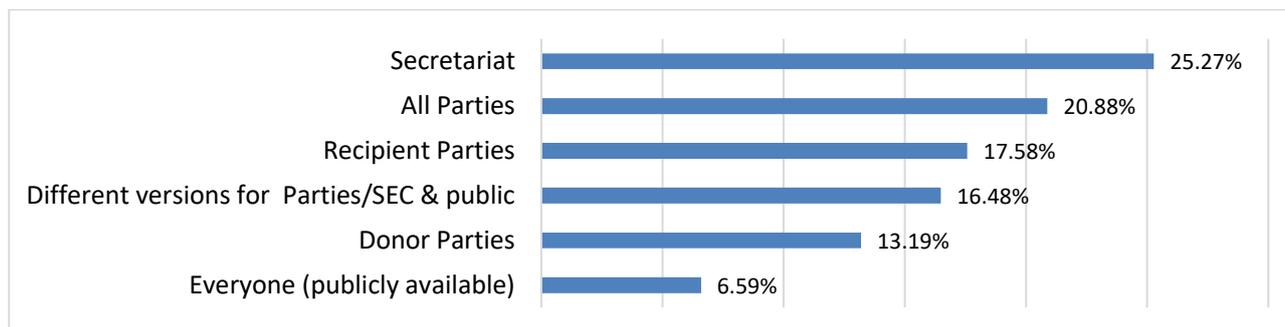
**Others:**

1. Indicators need to be kept simple targeted and measurable
2. Indicators associated with SDGs/post-2020/MEAs should only be included to the extent they are relevant to the delivery of CITES obligations
3. Indicadores de cumplimiento con las normativas internas de cada parte e indicadores de convenios con países vecinos o cercanos en una región y también con las OROPs.
4. Indicadores sobre el número de hallazgos / número de hallazgos mismo periodo año anterior.
5. Los recursos de donantes pueden ser otorgados para actividades en el marco de Decisiones o Resoluciones, o bien fortalecimiento a tareas específicas para mejorar la implementación de la CITES, por tanto, cada recurso tendría que tener sus propios indicadores de éxito y seguimiento.

**Q10: How should development and management of the tracking tool be funded?**



**Q11: Who should have access to the data?**



**Q12: Please provide any other recommendations or comments on the draft integrated CITES capacity-building framework “Resource Priority Tracking Tool” presented in document [CoP18 Doc. 21.3 Annex 4](#).**

1. That is fine since it is new. We will learn from that resources priority tracking tool.
2. The United States submitted Doc. 21.3 at CoP18, including Annex 4. We are eager to work with other Parties to develop a Resource Priority Tracking Tool, if the Parties deem this helpful.
3. We support the development of a prioritisation tracker such as the one shown in CoP18 Doc. 21.3 Annex 4. The Red-Amber-Green scoring system for each indicator is useful and easy to understand. Providing a global average score for each indicator is a useful gauge of how well the convention is being implemented with respect to that indicator across all parties. This score will help to identify areas of implementation that present a problem for many parties, which could feed into future planning as to how to improve effectiveness and implementation of the convention.  
The notes section is also helpful for providing more context as to why an indicator score has been given and can act as quick-glance source of information for each country and each indicator.  
It would be helpful to know if any guidance material will be produced alongside this tracking tool explaining how indicator scores are calculated/ assigned/ defined. For example, for indicator 1a.1 ‘Relevant national legislation drafted’ it is clearly stated that a score of 1-4 relates to the Party’s category under the National Legislation Project. However, indicators 1b-d which score authorities don’t give any information as to what that score means (i.e. how is an ‘adequate authority’ defined, vs a ‘minimal’ or ‘effective’ authority). As a

more coordinated approach to capacity-building is needed, we would like to see a tracker or tool that focuses upon identifying areas of capacity-building demand, overlap and collaboration, alongside a tracker that prioritises resource as shown below.

4. Le cadre intégré pour le renforcement des capacités CITES, présente un cadre adéquat pour assurer un échange d'informations, d'expertise entre les différentes Parties de la CITES, et permettra par la suite de standardiser les pratiques entre ces Parties, facilitant ainsi, le contact et la coordination entre elles, lors des éventuelles opérations de lutte contre le commerce illégal des espèces sauvages, il serait donc utile pour le suivi d'utiliser les indicateurs associés aux objectifs de la vision stratégique de la CITES .
5. Consideramos que (como en el caso del modelo conceptual), no debería de existir una sola herramienta de seguimiento de prioridades. Cada actividad debería contar con sus propios indicadores de éxito y seguimiento, y esta información podría estar disponible en el sitio web de la CITES.  
Como comentario el marco integrado aporta una idea correcta respecto al fomento de la capacidad CITES, haciendo pensar que como organismo de Observancia requerimos cooperación eficaz con los entes administrativos y científicos, siendo la única manera de evitar el tráfico ilegal y controlar el comercio de especies CITES
6. Como autoridad de observancia, Aduana requiere continuar capacitando a los funcionarios sobre técnicas de detección y métodos de ocultamiento de especies, orientada a los funcionarios que trabajan en la línea, para lo cual se hace necesario seguir desarrollando un plan de trabajo con nuestras autoridades administrativas (SAG-CONAF-SERNAPESCA) e incorporar en este plan a las autoridades científicas.  
Otro aspecto a considerar y no menos relevante, es el reconocimiento y validación de los documentos que se presentan frente a un ingreso o salida de especie o espécimen protegido, dependiendo al apéndice al cual corresponda. Ya que se ha detectado falsificación de certificados CITES y frente al desconocimiento del personal de fiscalización han tratado de utilizar y reemplazar las certificaciones sanitarias por las que exige la Convención CITES.  
Lo anterior, se debe desarrollar conjuntamente con la evaluación permanente de los riesgos asociados al tráfico de especies protegidas.

**Q13: Please provide any other concise information, examples, and experiences, including case studies, that can inform the development of a comprehensive capacity-building framework.**

1. CITES is overreaching in its mandate role. It is complicit in the killing of Africa's wildlife and thus by implication protecting the illegal trade of Africa's wildlife. Captive Breeding Operations is the only way to save rear species and the South African Government is blocking the only CBO for white rhinos to be registered as a CITES CBO. We need assistance with the saving of a Key1 CBO of 1771 rhinos that will most certainly die if legal trade in legal rhino horn is not permitted for this successful CBO.
2. There is a need to identify training needs for all the Parties, especially the Scientific Authority and the Management Authority. Then prioritise the training in line with the availability of funds then do the trainings in a phased approach. If possible, some of the capacity-building efforts can be combined for Parties in the same region for uniformity in the implementation of the Convention.
3. Malaysia has benefited from the ITTO-CITES programme and the CTSP which had tremendously improved the management and conservation of CITES-listed species over the years. We wish to see the continuation of such programmes.
4. Massive consultation with the stake holders followed by need assessment of those concerned.
5. With the implementation of annual CITES-Capacity Building workshop more people, particularly among the enforcement agencies, aware of CITES ruling and what is required out of them in assisting the Management Authority in the implementation of CITES ruling.
6. Smuggling of the carapace of sea turtle and dried sea horse into Malaysia from Taiwan, products in a container are declared as a mixture of Chinese medicine and enforcement officer at an entry point released by a declaration and tailgate inspection.
7. The framework quite covers in all the main capacity-building needs.
8. Considering the e-learning approach as it is easier and can reach everyone with lower cost. For example, establishing an online course website where the trainee obtains certificates once passing these courses. It can be achieved by working in an integrated approach to put it in the Academy of Customs and Environmental Police.
9. Each party should have highly trained experts to look after the countries CITES capacity-building needs. This I think is easier, reliable and less expensive. In the smaller island countries in region we have no CITES Experts only those who have worked and learn from Experience and regional trainings and workshops, Online CITES college.

10. UK Border Force Officials are involved in World Customs Organisation, Interpol and UNODC on both the drafting and delivery of CITES training projects. Border Force Officials note that training is now becoming much more structured with agencies working in partnership. UK Border Force Officials were involved in a training team in Tanzania which comprised WCO, Interpol, UK Border Force and South African Revenue Service. This training was all delivered to a uniform standard, using the same terms, and material which allowed for a professional approach to training. This appeared to make a big difference to the students' learning and understanding.  
The new ICCWC approach should be welcomed and will start to deliver results if it continues to be targeted and delivered as coordinated multi-agency activity. Many of the issues to be addressed are at the frontline (at the border at airports, seaports etc) and in addition to CITES upskilling can also involve basic Customs/Police skills which may also be lacking.
11. As noted in CoP18 Doc. 21.3, we have found the Open Standards for the Practice of Conservation to be valuable in guiding the development of a capacity-building framework.
12. L'exemple de la Convention sur la Diversité Biologique qui recommande d'organiser des ateliers consultatifs régionaux et des forums de discussion en ligne pour permettre à toutes les parties prenantes de contribuer à l'élaboration du cadre général pour le renforcement des capacités en tenant compte de l'ensemble des vues exprimées et des informations reçues.
13. Aucune étude de cas n'a été réalisée en République Centrafricaine qui peut aider à l'élaboration d'un cadre général pour le renforcement des capacités.
14. Le cadre intégré pour le renforcement des capacités CITES, présente un cadre adéquat pour assurer un échange d'informations, d'expertise entre les différentes Parties de la CITES, et permettra par la suite de standardiser les pratiques entre ces Parties, facilitant ainsi, le contact et la coordination entre elles, lors des éventuelles opérations de lutte contre le commerce illégal des espèces sauvages, il serait donc utile pour le suivi d'utiliser les indicateurs associés aux objectifs de la vision stratégique de la CITES.
15. El Servicio Nacional de Aduanas como autoridad de observancia fiscalizará el cumplimiento de las disposiciones de la Ley N° 20962 del 21.10.2016y colaborará con los organismos competentes en la investigación de las infracciones y delitos previstos en esta ley, sin perjuicio de las demás atribuciones que les confiera la legislación vigente.  
No obstante, de lo señalado precedentemente, el Servicio Nacional de Aduanas junto con las autoridades administrativas realiza constantemente capacitaciones a los funcionarios sobre técnicas de detección y métodos de ocultamiento de especies, orientada a los funcionarios que trabajan en la línea, como bien se señaló en la respuesta a la Q5.
16. Como organismo de observancia, se nos establece verificar que la Ley CITES, se cumpla dentro del marco legal de nuestro territorio nacional, en tal sentido existe una cooperación adecuada con respecto a los entes administrativos y científicos, pero sería de gran ayuda generar un marco integrado para el fomento de capacidad de la CITES le ayudaría planificar, priorizar y coordinar mejor los esfuerzos para evitar el comercio ilegal de especies CITES.
17. El fomento de capacidad que se desarrolla constantemente son las capacitaciones, dirigidas a funcionarios de la institución como también de otras autoridades CITES (observancia). Estas actividades se desarrollan a nivel nacional y las temáticas son la convención, ley CITES nacional, los procedimientos de CITES internos y reconocimiento de especies.
18. Asociar a las ONG'S ambientales, sector privado o la Sociedad Civil.

**Q14: Please provide any other ideas, comments or observations in as concise form as possible.**

1. In order to effectively monitor and account for international trade of wildlife products, CITES Secretariat should consider engaging all institutions in a country that are involved in facilitating trade of such products. Data based on issuance of export or import permits is not entirely accurate as some of the issued permits end up not being used.
2. No more comments for the time being but maybe in the future when we fully understand the conceptual framework for capacity-building and the resource tracking tool.
3. Capacity needs are always evolving with changes in technology and emerging threats and challenges. Online capacity-building for certain things must be mandatory for Parties for effective implementation of the Convention. For example, basic appreciation of the Convention text and interpretation of decisions.
4. Capacity-building framework should seek to deliver a range of tools to parties aimed at all CITES relevant agencies. This includes training opportunities for CITES Management Authorities, CITES Scientific Authorities and Enforcement Authorities.
5. The framework must be available with many languages such as Arabic.

6. On the final question about access, it is important to note that it is not only Parties who are donors and/or contributors to capacity-building efforts - observers and other third parties often frequently contribute as well - so it is important the tracking tool is publicly available, so that potential donors/suppliers of technical assistance etc have a transparent way of knowing what else is or has been provided in countries, otherwise it will not resolve problems of duplication of effort.
7. The capacity-building framework should be simple, flexible and practical and not just only workable on paper.
8. Involvement of outsider expert in the development of comprehensive capacity development Framework.
9. Though Sarawak Forest Department still the Management Authority for the State of Sarawak the major function in the implementation of CITES in Sarawak has been handed over to Sarawak Forestry Corporation.
10. From the consideration of the example given in document CoP18 Doc.21.3 Annex 4, it can be understood that ratings of 1 – 4 are to be given to various fields. At the same time, however, I am curious about the level of standards or basis in which other countries will be judged by, as well as who will be responsible for the assessments. In cases where assessments are comprised of either “Yes or No” or “Present or Absent” of country capacity to implement CITES in each indicator, the procedures will be easy to rate it. If the assessment forms are comprised of “good”, “strong”, or “effective” of each implement on CITES, there may difficult to decide which rating should be given to that country. Therefore, in this case, should provide clear specify criteria to assess them. In addition, the ranking of ratings should also be expanded further among subjects, for example; if a country is found with the same overall ratings for different fields, the assessment must choose which fields should be prioritized over the others.
11. UK Border Force Officials note that in some countries where they have delivered training the in-country training is poorly coordinated, with an inconsistent approach to training and different materials are used by different countries. It appears that there is a lack of coordination in delivery not just amongst enforcement agencies but also NGO’s, with some countries being the beneficiaries of considerable training input and other countries receiving little or no training despite facing the same enforcement issues. A coordinated and tracked approach for capacity-building may help to reduce these inconsistencies in training and enforcement. Under Q2 ‘what should be included in an integrated framework’ we have selected c) a concept model, however we would like to know more about what this concept model would entail. We would not want this model to be used to introduce new burdens on parties as to how they implement the convention and we believe any concept model would need to be discussed by parties at a Standing Committee or CoP. We would be content if this concept model was a general model, similar to the figure set-out in CoP18 Doc. 21.3  
Under Q3 ‘Who should conduct the CITES capacity needs assessments?’ we have selected d) a third party, however we believe this third party should be an entity with relevant skills to analyse the data provided for the assessment. We believe this third party should undertake some of the needs assessment and that this third party assessment should be reviewed by the Secretariat. The third party should provide capacity-building recommendations to parties as a result of its assessment.  
Under Q11 ‘Who should have access to the data?’, we have selected e) as many CITES documents are currently publicly available. However, we acknowledge that recipient countries may not want details of their capacity-building activities shared publicly, so also consider f) a reasonable choice.
12. We recommend strengthening communication, sharing and collaboration among management authorities among scientific authorities and among law enforcement focal points.
13. Il faudra mettre en place un mécanisme de soutien financier pour appuyer les Etats dans le renforcement de capacité des acteurs
14. L’exemple de la Convention sur la Diversité Biologique qui recommande d’organiser des ateliers consultatifs régionaux et des forums de discussion en ligne pour permettre à toutes les parties prenantes de contribuer à l’élaboration du cadre général pour le renforcement des capacités en tenant compte de l’ensemble des vues exprimées et des informations reçues.
15. Dentro de los comentarios, sería de gran importancia ampliar las capacitaciones en la identificación y reglamentación de especímenes CITES, en los diferentes organismos encargados de hacer cumplir esta Ley, con la finalidad de tener funcionarios más preparados en todas las instituciones correspondientes disminuyendo errores procedimentales en el quehacer diario
16. A nivel de la Autoridad Administrativa y en colaboración con la Autoridad Científica, crear una comisión ad-oc para coordinar este trabajo y que se les debe someter a una formación previa.
17. Respecto a las coordinaciones entre las distintas Autoridades CITES (Administrativas, observancia, científicas), se pueden realizar convenios de colaboración para establecer los términos de esta. i) Es necesario contar con la cooperación de otros organismos relacionados con el ámbito de acción, como fundaciones, ONG, entre otras; ii) La Secretaría podría aumentar el apoyo a países Parte, en actividades que tengan resultados relacionados a mejorar la aplicabilidad de la Convención.

Summary of information from other biodiversity-related Conventions  
regarding their capacity-building efforts

Convention on Biological Diversity (CBD)

The Secretariat has adopted a strategic, integrated and results-oriented approach to capacity-building in accordance with [decision XIII/23](#) (COP-13, Cancun, December 2016). It recognizes that tools and methodologies for delivering capacity-building vary according to the needs and contexts of the target audience, and that the involvement of partner organizations and stakeholders is crucial to the success of any capacity-building interventions.

[Decision XIII/23](#) also includes a Short-Term Action Plan (2017-2020) to Enhance and Support Capacity-Building for the Implementation of the Convention and its Protocols, as well as a request to the Executive Secretary to initiate a process for preparing a long-term strategic framework for capacity-building beyond 2020, ensuring its coordination with the development of the Post-2020 Global Biodiversity Framework.

As part of the process, the Conference of the Parties in its [decision 14/24](#) requested the Executive Secretary to commission a study to provide the knowledge base for the preparation of the long-term strategic framework for capacity-building beyond 2020, develop [draft elements](#) of the framework, organize [consultative workshops](#) and online discussion forums to discuss the draft elements and submit the draft long-term strategic framework for consideration by the Subsidiary Body on Implementation at its third meeting and by the Conference of the Parties at its fifteenth meeting.

Convention on Migratory Species (CMS)

CMS promotes a bottom-up approach in identifying specific objectives, strategies and activities for capacity-building that will be used to reflect the needs of countries and regions. Capacity development is listed as one of the enabling conditions for implementation of the Strategic Plan 2015-2023 adopted by the 11th meeting of the CMS Conference of the Parties (COP11, Quito, November 2014). Goal 5 of the Strategic Plan is Enhance implementation through participatory planning, knowledge management and capacity-building, and includes Target 15: *The science base, information, training, awareness, understanding and technologies relating to migratory species, their habitats and migration systems, their value, functioning, status and trends, and the consequences of their loss, are improved, widely shared and transferred, and effectively applied.*

The 12th meeting of the Conference of the Parties to the CMS (COP12, Manila, October 2017) established the National Legislation Programme and the Review Mechanism with the objective to assist CMS parties in implementing the Convention. The CMS national legislation programme seeks to ensure, in a supportive, non-adversarial and facilitative way, the compliance with the obligations of each range State of a migratory species listed in Appendix I through appropriate national legislation. The programme envisages the provision, among other things, of guidance materials, model laws, technical assistance and capacity-building workshops to enable non-compliant Parties to meet their obligations.

Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES)

At its seventh session of the Plenary (Paris, April-May 2019) the rolling work programme up to 2030 of IPBES was adopted with six objectives. Objective 2 is *Building capacity: To build capacities of individuals and institutions for a strengthened science-policy interface for biodiversity and ecosystem services*, and comprises of three actions:

- Enhanced learning and engagement;
- Facilitated access to expertise and information; and
- Strengthened national and regional capacities.

The [IPBES Capacity-building Rolling Plan](#) describes strategies for addressing capacity-building needs and approaches for working with partners. All contributions to the implementation of the rolling plan are presented to the IPBES Plenary. Governments and other stakeholders are encouraged to contribute to IPBES capacity-building through: contributions to the IPBES Trust Fund; in-kind contribution to the capacity-building work of IPBES; direct technical or financial support to other institutions on priority capacity-building needs; and alignment of capacity-building activities.

#### International Plant Protection Convention (IPPC)

IPPC has a [National Phytosanitary Capacity Development Strategy](#) adopted in 2012. Its aim is to establish a common understanding of national phytosanitary capacity, to provide a basis for assessing capacity assets and needs and for formulating, implementing and evaluating capacity development responses. It further provides logframes and workplans aimed for National Plant Protection Organizations to elaborate their national action plans and for donors to understand the expected outcomes.

IPPC also has an [Implementation and Capacity Development Committee](#) since 2017 (which succeeds the Capacity Development Committee that functioned from 2012-2017), whose mandate is to “*develop, monitor and oversee an integrated programme to support the implementation of the IPPC and strengthen the phytosanitary capacity of contracting parties.*” The meeting of the IPPC Implementation and Capacity Development Committee was planned for May 2020 but has since been cancelled.

#### International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA)

ITPGRFA has a Capacity Building Coordination Mechanism (CBCM) established in 2011. The objectives of the mechanism is to coordinate existing scientific and technical education and training programmes in areas of direct relevance to the Treaty by building on existing capacities and resources of recognised PGRFA institutions, universities and centres of excellence; and to create synergies and opportunities among the interested stakeholders to develop capacity to carry out interdisciplinary basic and applied research, particularly in support of developing countries.

At its eighth session (Rome, November 2019), the Governing Body to the ITPGRFA requested the [development of a capacity building strategy framework for 2022-2025](#). The Secretariat has been given a mandate to receive inputs from different stakeholders and consult relevant subsidiary bodies to revise the draft framework, which will be reviewed by the Governing Body at its ninth session in 2021.

Capacity-building is also discussed extensively at the above-mentioned meeting in the context of training – particularly regarding farmers rights, conservation and sustainable use, and the Multilateral System.

#### Ramsar Convention on Wetlands

Ramsar currently implements the fourth programme (2016-2024) on [Communication, Capacity building, Education, Participation and Awareness](#) (CEPA), which was originally established in 1999 adopted through [Resolution XII.9](#) at COP12 (Punta del Este, June 2015). Two goals are directly linked to capacity-building:

- Goal 3: Provide support to implementers of wise use principles, especially those with a direct role in site management.
- Goal 4: Build the individual, institutional and collective capacity of people with a direct responsibility for Ramsar implementation.

Each Contracting Party has designated a CAP National Focal Point, and the CEPA Oversight Panel monitors and reports on the implementation of the Convention’s CEPA Programme and sets priorities for communication, education, participation, awareness and capacity-building.

#### World Heritage Convention (WHC)

The [World Heritage Capacity-Building Strategy](#) was adopted by the World Heritage Committee at its 35th session (Paris, May 2011). Its purpose is to provide a framework which favors the development of effective actions and programmes to strengthen or develop capacities of practitioners, institutions, communities and networks for the conservation and management of World Heritage by: informing the policies and decisions by the World Heritage Committee in the area of capacity-building; orienting State Parties and other actors in the World Heritage system in planning, implementing and monitoring capacity-building policies and programmes; and constituting a

reference for the wider conservation community and acting as a catalyst for the development of wider cooperation to support capacity-building activities for heritage conservation in general.

It covers three levels of implementation: international, regional and national. Individual States Parties are urged to develop national capacity-building strategies to meet their specific needs. The [World Heritage Centre](#) and the [International Centre for the Study of the Preservation and Restoration of Cultural Property](#) (ICCROM) implement parts of the strategy, and submits regular [progress reports](#) to the Committee.