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

Twenty-fourth meeting of the Plants Committee
Geneva (Switzerland), 20, 21 and 23-26 July 2018

Strategic matters

Cooperation with organizations and Multilateral Environmental Agreements

A FIRST GLANCE AT CBD'S CONTRIBUTION TO CITES ACTIVITIES RELATING TO FLORA: A QUALITATIVE ANALYSIS

This information document has been submitted by the Secretariat in relation to agenda item 12 on *Cooperation with the Global Strategy for Plant Conservation of the Convention on Biological Diversity*.

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I. Rationale

Document PC24 Doc. 12 provides background on the progress achieved in the implementation of Resolution Conf. 16.5 on "Cooperation with the Global Strategy for Plant Conservation of the Convention on Biological Diversity", and associated mandates under relevant Decisions (Dec. 17.53 and 17.54). The document also provides a way forward in this collaboration through a set of new draft decisions, considering the post-2020 future of the GSPC.

The GSPC has V Objectives, and 16 Targets. CITES Resolution 16.5 on *Cooperation with the Global Strategy for Plant Conservation of the Convention on Biological Diversity* identifies the five GSPC Objectives and 16 GSPC Targets that are most relevant to the Convention's mandate. CITES contribution to the implementation of GSPC has been clearly identified, and recently assessed by México (CoP17 Doc. 14.6 and its Annex 3). Furthermore, CBD's website devotes a section to the Global Strategy for Plant Conservation (https://www.cbd.int/gspc/), which contains information on relevant resolutions and national focal points, as well as a toolkit for its implementation.

As a complement to this, the following analysis intends to identify how other CBD programmes and crosscutting issues can contribute to CITES activities related to flora. By doing so, CDB's contribution to the implementation of Resolution Conf. 16.5 could be strengthened, and will allow formalizing a two-way collaboration on GSPC-related aspects.

CBD recognizes a set of seven thematic programmes of work which correspond to some of the major biomes on the planet (e.g. Forest biodiversity), and a dozen crosscutting issues based on the substantive provisions in Art. 6-20 of the text of the Convention of CBD. The GSPC part of the latter (see https://www.cbd.int/programmes/). The present analysis is focused on those CBD thematic and crosscutting programmes most relevant to flora conservation.

II. Potential contributions of CBD programmes and crosscutting issues to CITES activities relating to flora (priority)

1. The Forest Work Programme (Contribution potential: High)

The Forest Work Programme is structured in three elements, and the CBD website lists a set of additional tools and supporting materials. Below is an analysis based on these elements. As a general observation, the clearest potential contribution of this programme is its relevance for the sustainable management of CITES-listed trees species (particularly for the establishment of plantations that comply with CITES definitions of "artificial propagation").

The general links to the programme are as follows:

- General link: https://www.cbd.int/forest/pow.shtml
- Specific link: https://www.cbd.int/forest/doc/forest-pow-web.pdf
- Programmatic links: https://www.cbd.int/forest/plinks.shtml

a) Structure-based potential contributions to CITES

Element of the Forest Work Programme (FWP)	FWP Goals of relevance for CITES activities relating to flora	Preliminary analysis
1) Conservation, sustainable use and benefit sharing	Goal 1.4 "to promote the sustainable use of forest biological diversity"	This is particularly relevant for Appendix II-listed tree species.
2) Institutional and Socio-Economic Enabling Environment	Goal 2.1 on "Enhance the institutional enabling environment" and in particular Objective 2.2.4 on "promote forest law enforcement and address related trade".	This is particularly relevant for Appendix II-listed tree species.
3) Knowledge, Assessment and Monitoring	Goal 3.4 on "Improve the infrastructure for data and information management for accurate assessment and monitoring of global forest biological diversity".	Relevant for NDF formulation for tree species

b) Tool-based analysis on potential relevance for CITES-flora purposes

Forest Work Programme's implementation tool	Relevance for CITES	Preliminary analysis
Tools, Guidelines and Publications	High	The link includes all tools and guidelines developed by CBD, such as: - A best practice guide on "Sustainable forest management, biodiversity and livelihoods". - A cross-sectoral toolkit for the conservation and sustainable management of forest biodiversity. - A technical series on REDD plus and Biodiversity. - A set of database on case studies related to forestry and sustainable management. The database allows consultation by filtering through geographical areas, thematic programmes, sectors, etc., as needed. Likewise, it lists tools and guidelines developed by other CBD Partners. Those that may be most relevant to CITES are: - IUCN/ITTO Guidelines for Biodiversity in tropical production forests[1]. - FAO voluntary guidelines for forest plantations[2].
Case studies	High	The link lists a total of 61 case studies related to "Forest biodiversity case studies"[3]. Some of these might prove to be extremely useful for CITES implementation related to tree species.
Joint ITTO-CBD Initiative	High	This intuitive is analogous to the CITES-ITTO programme. There would be a case for making an analysis on how it relates to CITES progress on ITTO collaboration. This could open a window of opportunity for strengthening sustainable production of CITES listed tropical trees, in addition to synergies beyond just CBD-CITES in terms of forestry.
REDD+ and e-Newsletter	High	REDD+ could have linkages to the sustainable production of tree species, as well as CITES mandates related to livelihoods, in addition to the work undertaken related to combatting illegal wildlife trade.
National and thematic reports	Medium	The link contains a list of national and thematic reports related to forestry. In the case of the thematic reports, these are rather outdated, with the most recent ones dating from 2005. The national reports are broader, and although they might contain information relevant to CITES-forestry issues, it is harder to keep track or identify potential for collaboration since they can cover any aspect related to CBD implementation.
Partners	Medium	This aspect represents a potential to strengthen CBD-CITES collaboration related to forestry. The link may become more complete now that CITES became a member of the Collaborative Partnership on Forests.
Forest Ecosystem Restoration Initiative	Low	The relevance for CITES is weak since it is mainly focused on hands-on ecosystem conservation and restoration.

[1] http://cmsdata.iucn.org/downloads/itto_biodiversity_guidelines_june2006.pdf
[2] http://www.fao.org/docrep/009/j9256e/j9256e00.HTM
[3] https://www.cbd.int/programmes/areas/forest/case-studies.aspx

Current activities	Low	The link lists all ongoing activities related to the programme. However, the majority of the listed activities seem very outdated, with most of the updates dating back to 2011.

2. Global taxonomy initiative (GTI) (Contribution potential: High)

GTI covers the taxonomic work required to support the implementation of the CBD at all three levels of biodiversity (genetic, species and ecosystem), and is concerned with all organisms (plants, animals and micro-organisms). It has been established under CBD to underpin decision-making in conservation of biological diversity, sustainable use of its components and equitable sharing of the benefits derived from the utilization of genetic resources by addressing lack of taxonomic information, and undertaking capacity building activities.

a) GTI Programe of work-based analysis

The GTI PoW is available at: https://www.cbd.int/gti/pow.shtml. It consists of five operational objectives, and 18 activities. Below is an analysis as to what elements are relevant to CITES activities on flora.

Operational objectives of the GTI programme of work	GTI PoW activities relevant to CITES purposes	Preliminary analysis
1) Assess taxonomic needs and capacities at national, regional and global levels for implementation of the Convention	Activities 1-3, which are related to country-based, regional and global taxonomic needs assessments.	CITES could identify, in collaboration with the Nomenclature Specialist, the pressing taxonomic needs, and convey them to the GTI for further collaboration.
2) Provide focus to help build and maintain the human resource, systems and infrastructure needed to obtain, collate, and curate the biological specimens that are the basis for taxonomic knowledge	Activity 5 on "Strengthening of existing networks of regional cooperation in taxonomy"	Potential collaboration to strengthen CITES taxonomic activities, and in particular the CITES checklists and Species+, and the related UNEP-WCMCs databases.
3) Facilitate an improved and effective infrastructure/system for access to taxonomic information, with priority on ensuring countries of origin gain access to information concerning elements of their biodiversity	Activity 7 on developing "a coordinated taxonomy information system"	Potential for linkages with CITES Species+ database.
4) Within the major thematic work programmes of the Convention include key taxonomic objectives to generate information needed for decision-making in conservation and sustainable use of biodiversity and its components	Activity 8 on "Forest and biological diversity"	(See analysis developed for the "Forest and biological diversity" thematic programme)
5) Within the work on cross cutting issues of the Convention, include key taxonomic objectives to generate information needed for decision-making in conservation and sustainable use of biological diversity and its components	Activities 14 on access and benefit sharing, 16 on supporting implementation of Article 8 (j).	(See analysis developed for the "ABS" crosscutting programme ahead)

b) Implementation-based analysis

GTI implementation tools	Relevance for CITES-flora activities	Preliminary analysis
Partners	High	CITES is identified as a Partner, in addition to other key CITES partners, such as IPBES, FAO, BCGI, IUCN and UNEP-WCMC.
GTI national focal points	High	Key focal points that CITES Parties could consult in the process of adopting taxonomy-related policies for species of flora.
Biodiversity Information Systems	High	The link includes taxonomy databases at national, regional and global levels that could be a useful reference for CITES Parties and Scientific Committees. For example, Biodiversity Heritage Library, EoL and GBIF.
Taxonomic tools	High	This lists all relevant taxonomic tools which are somehow "endorsed" as references by CBD.
Coordination mechanism	Medium	The Mechanism's purpose is to keep track of GTI. The link consists mostly of meeting reports, with the most recent one dating November 2011.
GTI training course	Low	The course is on rapid identification of alien invasive species. Low relevance for CITES purposes.
Progress review	Low	Useful for CBD progress reports, but of little relevance for CITES purposes.

c) Related information analysis

Tools	Relevance for CITES-flora activities	Preliminary analysis
Documents	High	The link shows a list of open-access documents relating to taxonomy that might prove to be useful for CITES bodies and Parties in the process of developing checklists.
Expertise	High	Comprised of a list of relevant experts and partners for taxonomy purposes. Useful reference for CITES, and in particular for the work of the Plants Committee's Nomenclature Specialist.
Funding and opportunities	Medium	Links to the Global Environment Fund for GTI purposes, in addition to a special fund. It might be useful to fund CITES activities related to nomenclature (e.g. funding checklists, supporting the activities of our Nomenclature Specialist, etc.).
Case studies	Low	The link consists of a single file on "Understanding adaptations of biodiversity of climate change using taxonomy" (it lists a case for butterfly species richness patterns in Canada, and another related to the mountain pine beetle). Low relevance for CITES mandate; yet further case studies might be useful for our purposes and it is important to keep this section under the radar.
Meetings	Low	Meeting database related to GTI. Could be relevant for CITES, but no direct link identified so far.

3. Access and Benefit-Sharing: The Nagoya Protocol (Contribution potential: Medium)

a) Overall assessment

The "Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization" (ABS https://www.cbd.int/abs/about/default.shtml) provides a transparent legal

framework for the effective implementation of one of the three objectives of the CBD: the fair and equitable sharing of benefits arising out of the utilization of genetic resources.

The main relevance of this protocol in terms CITES Resolution Conf. 16.5, could be its contribution towards the implementation of: CITES and trade in medicinal plants (https://www.cites.org/eng/prog/medplants); CITES-listed plants used in the cosmetic industry (such as candelilla, orchids, etc.); and, in aspects relating to CITES and livelihoods where plants are concerned (and the related handbooks that have been developed: https://cites.org/eng/prog/livelihoods

Furthermore, the tools developed by CBD as part of the implementation of the Nagoya Protocol could prove to be useful in the context of CITES discussions on synthetic and cultured DNA, and the challenge its associated technologies might pose for the regulation of trade in CITES-listed plants and derivatives thereof.

b) Key issue assessment

In addition to these considerations, the table below identifies the relevance of Nagoya Protocol-issues for CITES-flora purposes.

Key Nagoya Protocol (ABS) issue	Relevance for CITES activities on flora	Preliminary analysis
Model contractual clauses, codes of conduct, guidelines and best practices and/or standards	High	This could complement the protocols thus far developed by CITES under mandates related to medicinal plants and livelihoods (e.g. the handbook).
Awareness-raising	Medium	Useful for CITES understanding and capacity building related to the Protocol. The link provides an overview of what has been done, an awareness-raising strategy, and relevant decisions and documents.
Cooperation with other conventions, organizations and initiatives	Medium	Though no apparent link has been developed with CITES, this represents an area of opportunity.
Digital sequence information on genetic resources	Medium	This could prove to be useful for CITES Parties that are developing DNA databases in the context of enforcement of trade in CITES-listed flora.
ABS Clearing House	Low	Internal CBD mechanism.
Assessment and review	Low	Internal CBD processes.
Capacity-building and development	Low	Internal CBD processes.
Compliance with the protocol	Low	Internal CBD processes.
Elements to be included in the first assessment and review of the Protocol and sources of information	Low	Internal CBD processes.
Contributions	Low	Internal CBD processes.
Global multilateral benefit-sharing mechanism	Low	No direct link identified yet as to how this could contribute to CITES.
Monitoring and reporting	Low	Internal CBD processes.
Resource mobilization	Low	Internal CBD processes.

c) Resource assessment

ABS resources	Relevance for CITES-flora activities	Preliminary analysis
Protocol and decision booklets	High	Key provisions related to ABS. A must for CITES understanding and benefiting from the Protocol.
Videos	High	There is an explanatory video on ABS People Plants Profit, with examples from CITES listed species such as *Hoodia*. Similar examples could be developed for other species of the cosmetic and pharmaceutical industries such as candelilla, orchids, *Pericopsis elata*, *Aloe* spp. etc.
ABS Clearing-House	Medium	See analysis above on the clearing house mechanism.
E-Learning Platform	Medium	See analysis above on awareness-raising.
Factsheets and briefs	Medium	See analysis above on awareness-raising.
Other resources	Low	This includes additional tools for understanding ABS.

4. Sustainable use (Contribution potential: Medium)

Sustainable use is defined in the CBD (Article 2) as the "use of components of biological diversity in a way and at a rate that does not lead to the long-term decline of biological diversity, thereby maintaining its potential to meet the needs and aspirations of present and future generations".

The Seventh Meeting of the Conference of the Parties the CBD (COP7, 2004) produced the Addis Ababa Principles and Guidelines for the sustainable use of biodiversity. These consist of fourteen interdependent practical principles, operational guidelines and a few instruments for their implementation that govern the uses of components of biodiversity to ensure their sustainability. The principles are contained in CITES Resolution Conf. 13.2 (Rev. CoP14) on *Sustainable use of biodiversity: Addis Ababa Principles and Guidelines.*

a) Implementation

Sustainable Use Implementation	Relevance for CITES-flora activities	Preliminary analysis
Addis Ababa Principles and Guidelines	High	These consist of 14 interdependent practical principles. Of those most relevant for CITES-flora purposes, at least 4 principles have synergy potential with CITES-flora activities. These are: Principle 5, broadly on sustainable use (which is relevant for NDF formulation); Principles 8 and 10, broadly on collaboration between international arrangements; and Principle 12, on ABS and therefore relevant for CITES-livelihoods mandates. The guidelines remain a bit broad to be directly implemented for CITES-flora purposes and in this sense, thematic programmes may be more relevant for GSPC synergies between CITES and CBD.
Best practices	Low	The link consists of "The Satoyama Initiative". "Satoyama" is a concept that represents secondary nature ecosystems. No specific examples related to CITES species have been developed, but there is an interesting example on secondary woodlands of oak and pine that might be adapted or useful for CITES listed plants.
Regional workshops	Low	The link includes case studies from several workshops. To date, none of them refer to CITES-listed plants.

b) Sustainable wildlife management

Sustainable wildlife management	Relevance for CITES activities on flora	Preliminary analysis
Related Websites and Resources	High	In addition to listing the CITES website, the link includes websites and resources relevant for CITES-flora purposes, of which at least seven stand out: - Center for International Forestry Research (CIFOR) - International Union for Conservation of Nature (IUCN) - TRAFFIC - International Indigenous Forum on Biodiversity - International Union of Forest Research Organizations www.iufro.org - International Trade Center www.intracen.org: It could be relevant for the involvement of developing countries in making the sustainable, legal and traceable trade of Appendix II plants a competitive activity in global markets.

		- World Indigenous Network http://www.winlsm.net/: It could be relevant to strengthen the implementation of CITES-flora mandates relating to livelihoods.
Collaborative Partnership on Sustainable Wildlife Management (CPW)	Medium	The CPW is a voluntary partnership of international organizations with substantive mandates and programmes of wildlife resources. The link consists a set of four fact sheets, all of them focused mostly on fauna (and terrestrial vertebrates).
Case studies	Low	Currently, the link lists six case studies in Tajikistan, Bolivia, Ecuador, Indonesia, Iran, and Dominican Republic. Most of them are focused on fauna species, or not directly related to CITES-listed flora.
News	Low	The link includes ongoing activities related to the implementation of the sustainable use cross-cutting programme; however most of the ongoing activities are related to fauna.

5. Cartagena Protocol on Biosafety (Contribution potential: Medium to low)

The Cartagena Protocol on Biosafety is an international agreement which aims to ensure the safe handling, transport and use of living modified organisms (LMOs) resulting from modern biotechnology that may have adverse effects on biological diversity, taking also into account risks to human health.

The Cartagena Protocol has mostly focused on agrobiodiversity-issues, so below is a list of those elements of the protocol (information, tools, and resources) that might be relevant to CITES-flora activities. The overall assessment of the Protocol's contribution is "Medium to low", considering that there are few to no resources directly implementable to CITES, but there is potential for future synergies if (and when) commercial production of CITES plants shifts towards biotechnology and LMO-related aspects (for example in forestry; FAO has a large number of examples on this).

Cartagena Protocol resource	Relevance for CITES-activities on flora	Preliminary analysis
Fact sheets and banners	Medium	The link contains all the information for non-experts to understand the framework of the Protocol, and associated mechanisms (such as the Information Sharing and the Biosafety Clearing-House). It is useful for CITES-flora species whose production might shift toward biotechnology (such as forestry or medicinal species). The protocol is also relevant for CITES discussions related to synthetic or cultured DNA, and artificial propagation of plants.
Biosafety Technical Series	Medium	The material under this series is intended for use by practitioners and for raising public awareness on living modified organisms (LMOs). Under a scenario where the production and trade of CITES-plants involves biotechnology, the information contained in the series might come in useful .

6. Additional relevant CBD cross-cutting issues and resources related to CITES-flora activities

6.1. Impact assessment

The programme on Impact assessment includes a database (https://www.cbd.int/programmes/cross-cutting/impact/search.aspx) that allows to identify case studies and filter them through a combination of criteria. For example, just by filtering case studies related to sustainable use, a total of four case studies appear, and one third of them might be directly applicable to CITES-flora:

- A conservation plan for a global biodiversity hotspot - the Cape Floristic Region, South Africa
- OECD Handbook of biodiversity valuation - a guide for policy makers
- The Strategic Environmental Assessment Decision Maker's Tool Project

6.2. Economics, trade and Incentive measures

Two sections of this programme stand out: a) the "case studies" (https://www.cbd.int/incentives/casestudies.shtml); and b) the "incentive measures database". The former allows to identify case studies based on a number of criteria, including positive incentives and environmental funds; while the latter allows to identify incentive measures by filtering a combination of regions, countries, ecosystems, and other keywords.

6.3. Technology transfer and cooperation

This programme intends to promote scientific and technological cooperation in the field of conservation and sustainable use of biodiversity. Its main resource of implementation is the BioBridge Initiative (BBI). The BBI is an overarching programme focused on catalyzing and facilitating technical and scientific cooperation among CBD Parties, by: a) linking Parties with specific technical needs with Parties or institutions that are able to provide the necessary technical support and resources to meet those needs through mutual partnerships; and b) creating a space for countries and institutions to share knowledge, good practices and lessons learned with each other.

The relevance of this programe for CITES activities on flora is two-fold:

a) For countries that are both Parties to CBD and CITES, it provides synergy potential in the implementation of both Conventions.

b) The initiative could represent a model to replicate within CITES-flora activities, with a specific focus on NDFs, legal acquisition findings, traceability, and law enforcement.

III. Main findings, recommendations and conclusions

Main findings

1. Within CBD Programmes and crosscutting issues, the ones that have the highest contribution potential for CITES activities on flora are those related to thematic aspects, respectively: The Forest Work Programme, and the Global taxonomy initiative (GTI).

2. Regarding these two, most of the resources are immediately applicable to CITES implementation, and some of them might even benefit from CITES progress related to information developed under recent CITES tree listings, as well as under the nomenclature processes (e.g. the new edition of the CITES cacti checklist).

3. The contributions of the crosscutting issues are mostly ranked as “Medium” to “Low”. This might be due to the fact that most of them have already been internalized in the CITES Vision and operational practices, for example through the recognition of the Aichi Biodiversity Targets under CITES Resolution Conf. 16.3 (Rev. CoP14), and the reflections on sustainable use in the current CITES Strategic Vision 2008-2020 and in its new revisions. Thus, unlike for thematic CBD programmes, pinpointing specific contributions for CITES-flora activities in crosscutting issues proved to be a challenge.

4. Nonetheless, within cross-cutting issues, the one that proved to have a direct applicability potential for CITES policies and decision-making on flora was the Nagoya Protocol, and its synergy potential with CITES mandates on e.g. medicinal and aromatic plants, and livelihoods.

5. Other crosscutting issues seemed to be too specialized for synergy potential with CITES-flora activities, yet some useful resources have been identified under three programmes: Impact assessment; economics, trade and incentive measures; and, technology transfer and cooperation.

Recommendations and conclusions

6. While reviewing the flora resources on CBD websites that may be pertinent to CITES, it became apparent that information on some programmes and crosscutting issues may need to be updated, and could be strengthened by CITES-generated knowledge, particularly in the case of forestry.

7. Additional programmes and resources available from CBD could be identified through a more comprehensive analysis. In this sense, this preliminary report could be strengthened by quantitative-assessment methodology, considering it currently represents a “quick glance”. To truly achieve such a comprehensive analysis, this preliminary analysis would benefit from CBD’s expertise and feedback.

8. This report, together with the guidelines in Resolution Conf. 16.5 and the 2016 assessment of its implementation [CoP17 Doc. 14.6 (Rev. 1)], could enhance the two-way collaboration between CITES and CBD in matters related to flora.

9. Furthermore, since both CITES and CBD are in the process of developing their post-2020 agenda, this analysis could contribute to understand how the two-way collaboration on flora could be incorporated in the new Strategic Visions (in line as well with the 2030 Sustainable Development Goals).