

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



Seventieth meeting of the Standing Committee  
Rosa Khutor, Sochi (Russian Federation), 1-5 October 2018

Strategic matters

ENGAGEMENT OF RURAL COMMUNITIES IN THE CITES PROCESS:  
REPORT OF THE WORKING GROUP

1. This document has been submitted by Namibia, as Chair of the Standing Committee on Engagement of Rural Communities in the CITES processes.\*

Background

2. At the 17th meeting of the Conference of Parties (CoP17) adopted Decisions 17.28 to 17.30 directed to the Standing Committee, as follow:

***Directed to the Standing Committee***

17.28 *The Standing Committee shall establish an intersessional working group to consider how to effectively engage rural communities in the CITES processes and to present its findings and recommendations to the Standing Committee, for consideration at its 70th meeting.*

17.29 *In establishing the intersessional working group, which shall be comprised of the Parties and representatives of rural communities, the Chair of the Standing Committee shall strive to achieve regional balance of Parties, with the number of members of rural communities not exceeding the number of the Parties.*

17.30 *The Standing Committee shall make recommendations on the engagement of rural communities in CITES process to the 18th Conference of Parties.*

3. At its 69th meeting, the Standing Committee established this Working Group with a mandate to:
  - a) consider how to effectively engage rural communities in the CITES process;
  - b) Review the need to harmonise the terminology used in different Resolutions and Decisions when referring to "rural", "indigenous " and "local" communities.
  - c) Present its findings and recommendations to the Standing Committee, for consideration at its 70<sup>th</sup> meeting.
4. The membership of the intersessional working group on rural communities was agreed as follows: Namibia (Chair), Antigua and Barbuda, Argentina, Bolivia (Plurinational State of), Botswana, Brazil, Cameroon,

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\* *The geographical designations employed in this document do not imply the expression of any opinion whatsoever on the part of the CITES Secretariat (or the United Nations Environment Programme) concerning the legal status of any country, territory, or area, or concerning the delimitation of its frontiers or boundaries. The responsibility for the contents of the document rests exclusively with its author.*

Canada, China, Democratic Republic of Congo, Equator, Ethiopia, European Union, India, Indonesia, Japan, Kenya, New Zealand (as an alternative for Oceania), Nigeria, Peru, Republic of Korea, South Africa, Spain, Uganda, United States of America and Zimbabwe.

5. The Standing Committee requested the Chair of the intersessional working group on rural communities to take into account regional balance, the responses to the Notification to the Parties 2017/057 and advise of Party identifying the representatives of rural communities to be invited to be members of the Working Group.

At Namibia's request, the CITES Secretariat issued Notification No. 2018/021 concerning membership of the CITES Rural community representatives, as members of this working group and how they were chosen.

This specified that Namibia used the following definition in appointing rural community representative organisation:

- i. whose objectives and functioning indicate they represent and further the interest of one or more identifiable communities;*
- ii. where these communities are human populations living side by side or using both fauna and flora, including timber, outside of an urban or suburban setting, and;*
- iii. the community (or communities) involved in management, conservation, sustainable use of, and international trade in CITES-listed species that could be listed on the CITES Appendices in the future.*

8. The rural community representatives on the working group are:

Xhauxhwatubi Development Trust, Botswana Inuit Tapiirit Kanatami, Canada, – Asociación de Conservacionistas del caimán agua en la Bahía de Cispata, Colombia ASOCAIMAN, Colombia , ANAPAC – Alliance Nationale d'Appui et de promotion des Aires du Patrimoine, Autochtone et Communautaire en République Démocratique du Congo, IMEXT International, Democratic Republic of Congo, KRAPAVIS – Krishi Avam Paristhitiki Vikas Sansthan, India Kenya Wildlife Conservancies Association, Kenya, #Khaodi //Haos Conservancy, Namibia, Namibian Association of CBNRM Support Organisations, Namibia, FECOFUN - Federation of Community Forest Users Nepal, Nepal, Comunidade do Monte Vecinal en Man Comun de Froxán, Spain, Hunting and Conservation Alliance of Tajikistan, Tajikistan, Consortium of WMAs Authorised Associations, United Republic of Tanzania Zambian CBNRM FORUM, Zambia, CAMPFIRE Programme, Zimbabwe, Chiefs' Council, Zimbabwe

9. The Working Group met, hosted and supported by the United Nations Environment Programme, at the United Nations Complex, in Gigiri, Kenya, 26-27 February 2018. The report of the meeting is attached as Annex 1.
10. The meeting involved very constructive discussions, with clear support expressed by all present for increasing participation of rural communities in CITES processes. Discussions led to identification of key characteristics for good mechanisms to achieve this, and identification, discussion and evaluation of a number of potential options.
11. A number of options gained broad support from this meeting, as additional measures to be supported whichever major model for rural community engagement is adopted:
  - Involvement of rural communities at national levels, including involvement by their government in review of the proposal that might affect them. This will include the involvement by their governments, the review of documents, proposals submitted by other government that may affect them;
  - Socio economic assessments of Appendix amendment proposals before being submitted to the CoP, and
  - Establishing a reporting requirement, requiring that Parties must report on how they have consulted with potentially affected rural communities before the submission proposals to amend the Appendices. The meeting therefore proposed amendment of specific resolutions, proposals and decisions that would operationalise the national level options.

- 12 However, there is divergence on the two major options that emerged from discussion for increased engagement of communities in CITES processes. The two major options are the permanent CITES advisory body and the ensuring participation of RCs in all CITES meetings. Further discussion is still required in this Working Group regarding these two major options. In consequence, we propose that the Standing Committee decides to continue the work of the Rural Communities Working Group, to report to CoP19.
13. The terminologies referring to indigenous/local/rural communities, in countries is determined by their political and social situations. CITES use all three terms interchangeably in Resolutions and Decisions for inclusivity and alignment with the situation on the ground. The WG therefore recommended that all three terminologies be used simultaneously including in resolutions and decisions or to include some text in the preamble of all the relative Resolutions to that effect.

#### Recommendations

14. The Standing Committee is requested to endorse the recommendation of the Working Group.
  - a) To amend Resolution Conf.4.6 (Rev.CoP17) on submission of draft resolutions, draft decision and other documents for meetings of the Conference of Parties, by adding a new paragraph, 1 bis (Annex 2).
  - b) To amend Annex 6 of Resolution Conf. 9.24 (Rev. CoP17) on criteria for amendment of Appendices I and II by adding two new paragraphs 6.6 and paragraph 10.2, (Annex 3).
  - c) To use three (3) terminologies simultaneously including in resolutions and decisions or to include some text in the preamble of all the relative resolutions to that effect.
  - d) To request the CoP18 to adopt the following decisions:

#### ***Directed to the Secretariat***

- 18.AA On the basis of the objective detailed in document SC70 Doc. 15, the Secretariat shall prepare costed options for the establishment of:
  - a) a permanent rural communities committee under Resolution Conf. 11.1 (Rev. CoP17); and
  - b) a subcommittee of the Standing Committee on rural communities and submit a report on the matter, with its own recommendations to the Standing Committee for its consideration.

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

- 18.BB The Standing Committee shall consider the report of the Secretariat under Decision18.AA and submit its conclusion and recommendations to the 19th meeting of the Conference of Parties.
- 18.CC The Standing Committee shall consider to extend the mandate of the Intersessional Working Group to continue its work and present its finding and recommendations to the Standing Committee, for consideration at its 73th meeting.

## **THE CITES INTERSESSIONAL WORKING GROUP ON RURAL COMMUNITIES WORKSHOP**

**United Nations Complex, Gigiri, NAIROBI, KENYA**

**Conference Room 3**

**DATE: 26<sup>th</sup> – 27<sup>th</sup> February 2018**

**Chair: Ms. Louisa Mupetami (Namibia)**  
**Chair of the CITES Intersessional Working Group on Rural Communities**

## Summary of meeting and next steps

This was a collegial and constructive discussion, with clear support from all present for increasing the participation of rural communities in CITES processes. There was broad agreement that key characteristics of a good CITES mechanism are as follows:

1. Simple and practical
2. Cost-effective
3. Permanent/ongoing
4. Enables [legitimate, representative\*] rural community voices to be directly heard
5. Enable local/traditional knowledge to inform decisionmaking
6. Does not undermine (i.e. support and complement) national authority\*\*
7. Enhances tangible benefits for rural communities from wildlife use/management

\*It was recognized that these terms required more discussion.

\*\*A number of community representatives expressed their discomfort with this characteristic.

The RCWG articulated and considered five mechanisms for increasing participation of rural communities in CITES processes, as follows:

1. Involvement of communities at national level in
  - Formulating legislation, proposals for amendment of appendices, draft resolutions and decisions
  - Undertaking NDFs
  - Setting harvesting quotas
  - Review of proposals, resolutions and decisions (including from other states) that may affect them
  - Delegations to CITES meetings
2. A permanent CITES advisory body or committee that provides rural community input (e.g. reviewing proposals, decisions, resolutions)
3. Socio-economic assessment of proposals before submitted to CoP
4. Ensuring participation of RCs in all CITES meetings, with support of Secretariat
5. Establish a reporting requirement, so that States report on how they have consulted with potentially affected RCs before proposal submission

Each mechanism was scored against the criteria above, and scores were compared and discussed.

It was **agreed** that:

i. No 1 *Involvement of communities at national level* **should be recommended and supported**. It is important to note that this includes the involvement of communities by their governments in review of documents/proposals submitted by other governments that may affect them, as this was incorporated into this mechanism during plenary discussion. This agreement will require changes - likely either a Resolution or change to the reporting template. Exact changes required still require discussion.

ii. No 3 *Socio-economic assessment of proposals before being submitted to CoP* was viewed as representing a "tool" rather than a full-blown mechanism, and it was

agreed that this tool **should be incorporated whichever major mechanism was eventually recommended** for adoption to increase community participation.

iii. Likewise, the WG viewed no 5. *Establishing a reporting requirement, so that States must report on how they have consulted with potentially affected rural communities before proposal submission* as a tool, and agreed it **should be incorporated whichever major mechanism was eventually recommended**.

There were significant divergences of views around mechanism no 2 in particular, with respect to establishing a distinct and permanent new body to represent community voices. Most rural community representatives and some Parties expressed clear views in support of this option, mainly arguing it is the way to give the most direct and legitimate voice to rural communities, best harness their knowledge, and best facilitate their buy-in to CITES decisions. However, others present drew attention to the cost implications of this option and the need to avoid duplication with representation by Parties, and raised concerns that such a body could undermine national authority, highlighting that it is the role of States to represent their people.

A further proposal emerged in discussion, which does not require any formal CITES decision or basis, to establish a global umbrella network of wildlife user communities in order to engage in and influence CITES processes.

The Chair established a Friends of the Chair group of EU, Brazil, China, ITK (Canada), CAMPFIRE (Zimbabwe), and Comunidad do Monte Veciñal (Spain) to flesh out these options, particularly mechanism no 2 and mechanism no 4, under the supervision of the Chair, and to report back to the broader RCWG.

## **PROGRAMME**

### **THE CITES INTERSESSIONAL WORKING GROUP ON RURAL COMMUNITIES WORKSHOP**

**United Nations Complex, Gigiri, NAIROBI, KENYA**

**Conference Room 3**

**DATE: 26<sup>th</sup> – 27<sup>th</sup> February 2018**

**Chair: Ms. Louisa Mupetami (Namibia)**  
**Chair of the CITES Intersessional Working Group on Rural Communities**

*EN/FR/SP simultaneous interpretation will be provided.*

#### **Meeting objective**

To set out by the end of the meeting a set of options to increase participation of rural communities in CITES decision-making, including

- a general, "top level" analysis of the strengths and weakness of each
- agreement on next steps for reporting of the Working Group to the next Standing Committee.

#### **Documents packs can be downloaded in PDF from the following links:**

English: [https://mega.nz/#F!egkljCbA!vSzjhWMEpZr0VQ7Tlry\\_mQ](https://mega.nz/#F!egkljCbA!vSzjhWMEpZr0VQ7Tlry_mQ)

French: [https://mega.nz/#F!LsdhSYpB!oNhtz2J47fe\\_XrNvcD72uA](https://mega.nz/#F!LsdhSYpB!oNhtz2J47fe_XrNvcD72uA)

Spanish: <https://mega.nz/#F!q80jHD7Q!lLjsPFTNaDJh7HYapmtFmQ>

## Day 1: 26th February 2018

8.45 start

Time	Agenda item	Speaker
	<b>AN INTRODUCTION TO CITES</b> <b>Rapporteur: Rosie Cooney</b>	
9:00	<b>Welcome from Ecosystems Division, UNEP</b>	Mette Wilkie, Director
	<b>Welcome from CITES Secretariat</b>	John Scanlon, Secretary General
	<b>Welcome from Law Division, UNEP</b>	Jiri Hlavacek, Head of Conventions Support
9.15	<b>Introductions</b>	
10.00	<b>Ice breaker</b>	
10.10	<b>The Rural Communities Working Group: what is it and why are we here? (10-15min)</b> Questions (10-15min)	Louisa Mupetami, MET
10:40	<b>Background: Introduction to CITES and CITES processes</b> <b>Background reading:</b> Docs 3 and 4.	David Morgan - CITES Secretariat
11.00	<b>Discussion session: how does CITES work?</b>	All Participants
	<b>UNDERSTANDING COMMUNITIES AND THEIR ROLE IN CONSERVATION DECISION-MAKING</b>	
11.30	<b>Why is community representation important in environmental and conservation decision-making? (10 min + 10min question/discussion)</b>	Laetitia Zobel, UNEP
11:50	<b>Introduction to Breakout Session</b>	
12:00	<b>Breakout Session: Experience sharing on how communities are or aren't involved in decision making on wildlife conservation/management</b> Break into Party/Community Representative groups (3)	
13:00- 14:15	<b>LUNCH</b>	
	<b>UNDERSTANDING RURAL COMMUNITIES IN CITES</b> <b>Rapporteur: Debbie Peake</b> <b>Start time: 14:15</b>	
14:30	<b>Report back from breakout groups (10 min each)</b>	



15:00-	<b>Community participation in other multilateral environmental agreements: how does CITES compare?</b> (10min + 5min questions) <b>Background reading:</b> Doc 5	Rosie Cooney, IUCN Sustainable Use and Livelihoods Specialist Group
15:15	<b>Communities in CITES: what is status quo?</b> (10 min + 10 min questions)	David Morgan
16:05	<b>Discussion session: What are the characteristics of a good CITES mechanism to strengthen community participation?</b>	
16.50- 17:30	<b>Wrap-up of the Day</b>	Chair

## Day 2: 27th February 2018

Start time: 8.45

Time	Agenda item	Speaker
	<b>MORNING SESSION</b> <b>Rapporteur: Mike Murphree</b>	
08:45	<b>Recap of the first day</b>	
09:30	<b>Articulating options for community representation</b>	
10:30	<b>Working Group Discussion – 3 Working Groups</b> <b>Discussions by Language</b> <b>Task: Review the shortlist of options and assess them against the agreed criteria for a sound process</b>	
11:40	<b>Feedback to plenary from each group</b>	WG Leaders
12.30- 13:45	<b>LUNCH</b>	
	<b>FINAL SESSION</b> <b>Rapporteur: Rosie Cooney</b>	
13:45	<b>Discussions on models/mechanisms</b>	
15:00	<b>Terminology around "communities" used in CITES</b> <b>Background reading: Doc 8</b>	David Morgan, CITES Secretariat
15:30	<b>Wrap-up of the Workshop</b>	Chair of the WG
16:00	<b>Future working arrangements of the WG and possible next meeting</b>	Support Technical Team
16:45-	<b>Closure of the workshop</b>	CITES Secretariat

17:00		
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## DAY ONE

### INTRODUCTORY SESSION

#### **Mette Wilkie *Welcome from Ecosystems Division, UNEP***

Wilkie's opening remarks highlighted the widespread policy recognition (in the London and Kasane Conferences) that conservation is unlikely to be achieved with the involvement of local people, and that the costs of wildlife are often not matched by corresponding benefits. Wilkie highlighted the "Wild Lives, Wild Livelihoods" report coming out this week, developed by UNEP with IUCN and IIED in response to a call from UNEA to prepare overview of the most effective ways to involve rural communities in addressing unsustainable use and IWT. She highlighted a sobering lesson from this report: that we have long known how best to engage communities in wildlife management, but are not very good at putting that knowledge into practice. Wilkie went on to outline the CITES process that led to this meeting, and highlighted that this was the first meeting of its kind in CITES - bringing policymakers together with representatives of rural communities from around the world. She closed by expressing UNEP's hopes that this meeting would come up with practical and effective ways to engage rural communities in CITES.

#### **John Scanlon *Welcome from CITES Secretariat***

Scanlon began by expressing his deep gratitude to Namibia, Chair of the Working Group, and to UNEP, for supporting the meeting. His remarks highlighted that illegal wildlife trade (IWT) decimates wildlife and deprives people of their livelihoods, that CITES Parties have long recognized that well regulated legal trade can benefit people and species, and that enhancing livelihoods is now an essential part of CITES' three-pronged approach. He pointed out that UN General Assembly Resolution on Tackling Illicit Trafficking in Wildlife emphasises that that CITES should contribute to tangible benefits to local people. He went on to point to many case studies demonstrating a successful nexus between livelihoods, communities and wildlife conservation (involving consumptive and non-consumptive use). He pointed to CITES as a wonderful unique global tool to engage and enhance rural communities involvement in sustainable use of wildlife, and highlighted the sense in CITES that rural communities are not well enough represented.

On the work of the Rural Communities Working Group, he summarised the guidance given by Parties on the mandate and composition of the group, and urged the group to consider all possible options, and be creative in its thinking. He went on to draw the attention of the Working Group to the work carried out on CITES and Livelihoods over the last eight years, highlighting the value of the guidance it had developed.

#### **Jiri Hlavacek *Welcome from Law Division, UNEP***

Hlavacek highlighted the fundamental nature of biodiversity to human survival, and that local communities (particularly the poor) depend on wild animals and plants for their subsistence, cultural and economic survival, including for their health, food and water security. These linkages are now widely recognised in policy commitments such as the CBD's Aichi targets. He stressed that achieving conservation goals at all levels is difficult without recognizing the concerns of rural communities. He pointed out the importance of multilateral environmental agreements in environmental governance, and highlighted and that all MEAs are now calling for the mainstreaming of biodiversity across development sectors. He summarized key work of UN Environment in supporting the environmental aspect of the 2030 agenda in an integrated and inclusive fashion, and wished success to the RCWG meeting.

### ICEBREAKER

As an icebreaker exercise, meeting participants were then invited by the Chair to spend a few minutes talking to another participant they had not previously met, and share something about the communities they came from and their relationships with wildlife. In plenary, a few participants were invited to share some key points they had learnt. These included the Brazilian delegate highlighting what he had learnt about a community in Botswana and suggesting we

could all learn from them. The CAMPFIRE Zimbabwe delegate shared his discovery that very different mechanisms for sharing benefits from sport hunting with communities were in place in Zambia and Zimbabwe, although both experienced similar problems with delays in money reach communities. A South African delegate learned from Party and Rural Community representatives from Canada about co-management structures in place in Canada, and indicated his interest in learning more. China shared insights from talking to San colleagues, while community representatives from Kenya and India highlighted how similar their experiences had been, with histories of evictions and exclusion giving way to a new focus on coexistence between wildlife and communities.

#### ***Louisa Mupetami The Rural Communities Working Group: what is it and why are we here?***

Mupetami, Chair of the Working Group, summarised the process that led to the establishment of the Rural Communities Working Group, including the proposal to CoP 17 to establish a Rural Communities Committee and discussions at SC69. She reviewed the Working Group's mandate and the timelines for its outputs. SC 70 will be held 1-5th Oct near Sochi, Russia, and documentation is due 90 days before. She outlined the composition of the Working Group, including how rural community representatives had been appointed. On this point Mupetami highlighted Notification No. 2017/057 sent out in August 2017 calling for nominations and expressions of interest. She also noted Notification No. 2018/021, sent out at the request of Canada in February 2018, which set out Namibia's criteria for appointing rural community representatives and listed the rural community representatives on the Working Group. She highlighted that UNEP (as the meeting hosts) had been invited as observers to the meeting. Finally, she noted that Namibia had established a technical support team of four people to assist it in running the meeting, but clarified that these individuals were not participants in the meeting and not involved in any way with decision-making.

In questions and discussion, Mupetami clarified that between now and submission of the WG's recommendations, the group would work through electronic means. Funding would be sought and would be greatly welcomed for a further meeting, perhaps of a smaller drafting group. However, if not successful the recommendations would be developed through electronic interactions. There was some debate over whether South Africa's People and Parks organisation constitutes a community representative organisation or should be seen as part of government. Mupetami clarified that regional representation was unbalanced, and that one region (Oceania) was not yet represented, but that the Chair would continue to try to achieve this. China highlighted that no community group was present from China, and Mupetami assured them that a rural community representative group from China or elsewhere could still apply to be part of the WG.

#### ***David Morgan Background: Introduction to CITES and CITES processes***

Morgan gave a presentation introducing the CITES Convention, covering: what is CITES, what species does it cover, how does it work, and who does what. In this presentation he outlined its nature as an international trade regulation instrument, and that it only addresses this one threat out of the many to wildlife species. Morgan highlighted the diversity of economic sectors using from CITES species – from fashion, construction, cosmetics, pharmaceuticals, food, shoes, to tourism, pets, and collections, and highlighted the enormous values of some CITES trades. For example, trade in queen conch is valued at around US\$60 million/year, trade in pythons at around US\$1 billion/year, and trade in bigleaf mahogany at around US\$33million/year. CITES covers >35 000 species and over 1 million transactions/year are recorded in the CITES trade database. After explaining the nature of the Appendices and the CITES permitting system, he outlined the various CITES bodies, their composition, their roles, and their interactions.

#### ***Discussion session: how does CITES work?***

In questions and discussion, the CAMPFIRE Programme representative asked about social sustainability, and whether there were mechanisms to assure it alongside biological sustainability? Morgan highlighted that CITES Parties had been very creative in developing and interpreting terms in new ways over the decades CITES had evolved. While they had not introduced concepts of social sustainability to date, Parties may do this in future. As Scanlon had

earlier said, the RCWG were welcome to be creative. Brazil underlined that any proposals needed to stick within the CITES mandate, and that decisions were made only by Parties. ITK asked whether organisations gave advice to the Secretariat, and Morgan clarified that the Secretariat only took advice from the Parties. With respect to advice from the UN FAO, however, he noted that provisions on consultation with relevant intergovernment bodies in the Convention itself require the Secretariat to consult with FAO in relation to proposals to amend the Appendices in relation to certain marine species.

In response to a question from KWCA about how WGs fit into the CITES structure, Morgan clarified that CoPs and Standing Committee meetings were very large, so issues requiring detailed discussion get sent to a WG, as these are of a more manageable size. These can be struck by the CoP, by the Animals or Plants Committees, or by the Steering Committee.

Argentina highlighted the need not to make things too complicated for implementation. The Zambian CBNRM Forum highlighted that in relation to the WG, they wanted to ensure communities are not included just to give legitimacy to CITES decisions – they want communities to really have a voice in influencing CITES decisions. Brazil highlighted again that only Parties make decisions in CITES, and that it is up to national authorities to bring the communities' voice through the Parties. Chief Charumbira from Zimbabwe emphasised that CITES Parties have agreed rural communities need a voice - the question now is how we move forward from here. Finally, Mupetami clarified that she would seek consensus as a basis for decision making in the WG, and did not envisage the WG voting.

## UNDERSTANDING COMMUNITIES AND THEIR ROLE IN CONSERVATION DECISION-MAKING

### ***Laetitia Zobel Why is community representation important in environmental and conservation decision-making?***

Zobel highlighted the strong policy commitments existing at global level about community participation and livelihoods, marking a global shift in recent years. While once mere “information” and “consultation” approaches were considered enough, now there were new more meaningful approaches, including actively listening to local knowledge and ideas, and facilitating local communities’ role in being part of changes. Zobel highlighted the many ways in which this deeper engagement and participation can improve decisions and results. For example, these approaches can reduce risk and damage from conservation projects and can minimise conflict. They can allow local knowledge to inform conservation interventions. Participatory approaches allow a sense of community ownership – this can decrease the cost of achieving conservation objectives where communities respect wildlife and conservation interventions, make behavioural changes, and actively participate in protecting wildlife.

In questions and discussion a number of issues were raised. Cameroon wondered at what stage of trade regulation/management communities should be included. FECOFUN highlighted that decisionmakers often do not realise the importance of participation of rural communities, and stressed the importance of developing a common framework for participation of communities regarding trade that affects their livelihoods. ACCABAC highlighted how poachers had turned into conservationists in Colombia, and were now closely involved in conservation. Involving communities isn’t easy, but it is important. DRC highlighted the importance for them of helping communities learn exactly how they can use and trade wild products – integrating them into CITES processes is essential for them to be able to know this as a basis for enabling them to participate in sustainable trade.

### ***Breakout Session: Experience sharing on how communities are or aren't involved in decision making on wildlife conservation/management***

The meeting then broke into three breakout groups to discuss "Experience sharing on how communities are or aren't involved in decision making on wildlife conservation and management". Two groups were composed of Party representatives, and one of rural community organisation representatives.

The afternoon opened with a feedback session from breakout groups.

Participants shared a wide variety of experiences of engagement with local communities that had been discussed in breakout groups.

A sample of these experiences included:

**Cameroon** has a long experience of engagement with local communities – this is established by law.

Some examples:

- Have established Community Hunting Zones and Community Forests, allocated to the local population.
- Cameroon has a system for distribution of sport hunting revenues: 10% of the fee goes back to the local communities neighbouring the resource.
- Also have a tax on those who exploit the forest (e.g. forestry) – 10% allocated to local people. People who live around protected areas (PAs) have the right to use resources in PAs (not including protected species).
- Ministry has an office to supervise the distribution of these revenues. They have noticed that these revenues have reduced poaching, and helps alleviate poverty through building of health centres and so forth.
- Local communities are involved in the impact assessment processes for any big development projects.
- From the point of view of CITES and communities – two crucial issues: participation, and benefits. Both are very important.

#### **Brazil**

- recognise ca 5m people as “traditional communities”
- they manage 50% of the territory
- since 2000, Brazil has increased engagement of civil society (including traditional communities) in policymaking
- 4 examples:
  - at highest level, Brazil has established a policy for traditional communities, and have created a National Council to promote implementation of this policy. 2/3 is traditional community reps (fishers, indigenous, forest people, gypsies etc), 1/3 government.
  - Each PA must have Council made up of local community – can include traditional communities (if close or nearby), and decide about the management of the area and natural resources.
  - Have fisheries committees to manage fisheries that include representatives of artisanal fishers
  - Every other national environmental Council all have participation of civil society, including at least two seats to traditional communities.

#### **Kenya:**

- Wildlife in Kenya belongs to government, and everyone needs a permit to access wildlife
- New (2013) legislation provides for broader rights of people to access and use wildlife.
- There are provisions for consumptive use, but not yet implemented – currently putting structures in place
- (Have experimented with game cropping, but felt did not have proper mechanisms in place, so suspended it, and are now developing these mechanisms.)
- Under new system, in each county there is a County Wildlife Conservation and Compensation Committee. These are chaired by a community member and members are communities and government. These bodies assess applications for wildlife, and then request Minister to issue licences for wildlife access and use (photographic, cropping, culling, wildlife farming).
- Ca 70% wildlife is outside protected areas, and local communities are encouraged to form conservancies in these areas.
- Kenya Wildlife Conservancies Association – umbrella body for communities across conservancies.

- They can carry out these various wildlife activities in these conservancies (game cropping, tourism, wildlife farming etc), with licenses.
- Re developing CITES positions, Kenya involves communities in coming up with country positions on CITES – as well as other stakeholders. Hold stakeholder consultations at which they present country positions and gain feedback.
- Country positions to CITES CoPs are presented to Parliament in a stakeholders forum for endorsement
- Delegation to CITES CoP includes every stakeholder, including communities.
- KWS National Board: 4/11 seats are reserved for community reps.

#### **Peru**

- They have new provisions on engaging local communities in their new (2009) law
- In Andean countries, vicuna is a good example of community benefit: more than 500 communities benefit from sustainable management
- Peru has built in provisions for prior consultation with communities on all wildlife management plans (including vicuna). So they have a say in developing the wildlife management plan.

#### **India**

- 24% under forest
- have a number of PA types including community reserves
- in buffer areas around Tiger Reserves– people are allowed to use natural resources
- Ecodevelopment committees – work hand in hand with government
- Local people gain many benefits, engaged in habitat development, anti-poaching and other activities.

#### **UNDERSTANDING RURAL COMMUNITIES IN CITES**

##### ***Rosie Cooney Community participation in other multilateral environmental agreements: how does CITES compare?***

Cooney highlighted the results of a recent UNEP-sponsored review carried out by IUCN Sustainable Use and Livelihoods Specialist Group and IIED, *Wild Life Wild Livelihoods*, which included surveying the opportunities and constraints for IPLCs in terms of their participation in key international policy forums that influence wildlife management (specifically, the Convention on Biological Diversity; CITES; the Convention on Migratory Species; the United Nations Environment Assembly; and the Inter-governmental Panel on Biodiversity and Ecosystem Services). From this review, a set of five factors emerge as key enabling factors to allow IPLCs to engage meaningfully and effectively in these agreements. Notably, however, CITES demonstrates none of these five attributes, in contrast to more recent agreements/policy platforms such as the CBD, UNEA and IPBES.

##### ***David Morgan Communities in CITES: what is status quo?***

Morgan highlighted that the WG needed to consider some key questions, including:

- which CITES processes/actions would benefit most from community input (e.g. CoP decisions? Listings? Animals/Plants Committee deliberations?)
- what is the means of engagement, considering the culture of CITES?

He indicated the key date for submission of RCWG recommendations to SC 70 was 2<sup>nd</sup> August, and that these submissions need to be “oven-ready” i.e. detailed, specific, and ready for operationalization. He stressed that the agenda for SC 70 is extremely packed, and there will be little time for debate. The RCWG could propose various options, but each must be ready to be adopted as it stands, without further work being necessary. Otherwise, it was highly unlikely anything will be adopted at SC70.

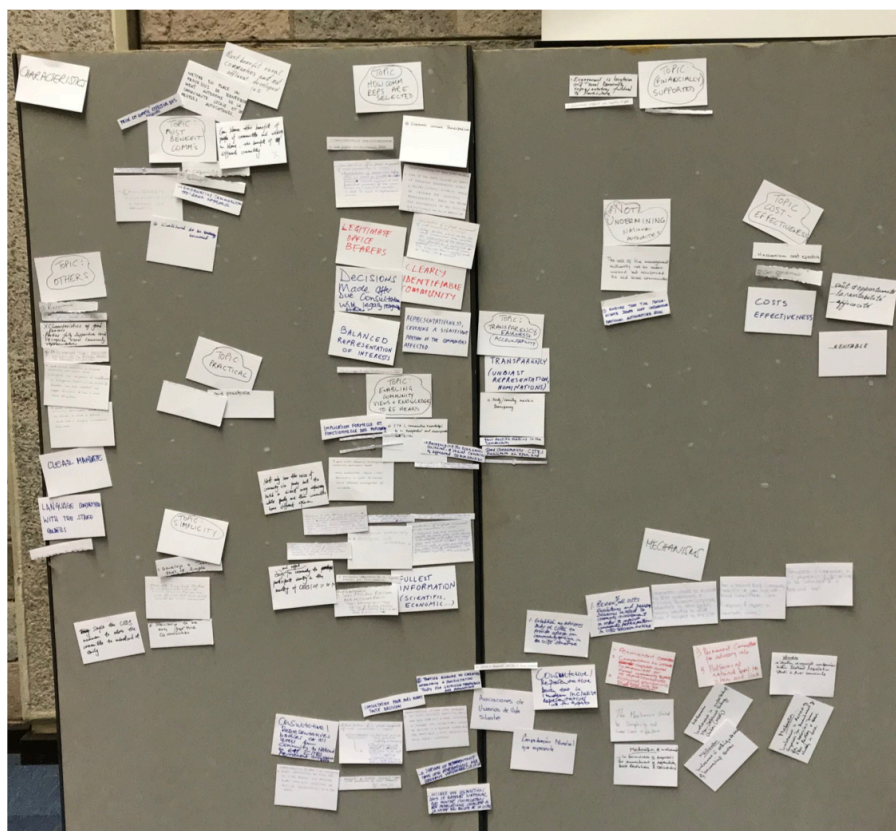
In discussion, ACCABAC highlighted that at national level a system was needed (built or spontaneous) to bring together and organize communities to enable them to coordinate. Governments can help this.



All participants were invited to write on index cards one or more attributes that they saw as important in a CITES mechanism to increase rural community participation. These were all pinned to a board at the front of the room. Overnight they were clustered by support staff into key themes.

### Attributes of a good CITES mechanism to strengthen community participation

The key attributes for a good CITES mechanism, distilled from the index cards posted on the board by participants on Day 1, and then slightly amended in plenary discussion both in this session and then in further discussion later in the afternoon, were as follows. These were generally widely supported by participants as important characteristics.



**Fig 1. Index cards clustered by theme. See Annex 1 for full list of responses.**

Generally agreed key characteristics of a good CITES mechanism:

8. Simple and practical
9. Cost-effective
10. Permanent/ongoing
11. Enable [legitimate, representative\*] rural community voices to be directly heard
12. Enable local/traditional knowledge to inform decisionmaking
13. Does not undermine (i.e. support and complement) national authority\*\*
14. Enhances tangible benefits for rural communities from wildlife use/management

\*See below.

\*\*A number of community representatives expressed their discomfort with this characteristic.

A number of key issues were raised in this session requiring further discussion in the work of the RCWG:



- i. the meaning of "legitimate and representative" community voices, and how these could be assured
- ii. issues related to indigenous/local/traditional knowledge, including how it can inform decisionmaking, how CITES authorities can use it, whether it requires scientific validation, and what to do where it conflicts with formal scientific knowledge
- iii. whether it was valid to see participation of communities in decision making as potentially undermining national authority.

## 2. Articulation of Mechanisms

The WG then turned to consider what potential mechanisms could be employed for increasing the participation of rural communities in CITES. The following list was initially presented to plenary, as initial ideas for mechanisms that had emerged in previous days' discussion, or had been submitted during the exercise identifying characteristics of a good mechanism (see above):

1. Involvement of communities at national level in
  - a. Formulating proposals for amendment of appendices, draft resolutions and decisions
  - b. Undertaking NDFs
  - c. Setting harvesting quotas
  - d. Review of proposals, resolutions and decisions (from other states)
2. A permanent CITES advisory body or committee that provides rural community input (e.g. reviewing proposals, decisions, resolutions)
3. Communities being involved by their governments in reviewing documents/proposals submitted by other parties that may affect them

After discussion in plenary, this list was extended become the following list:

6. Involvement of communities at national level in
  - Formulating legislation, proposals for amendment of appendices, draft resolutions and decisions
  - Undertaking NDFs
  - Setting harvesting quotas
  - Review of proposals, resolutions and decisions (including from other states) that may affect them
  - Delegations to CITES meetings
7. A permanent CITES advisory body or committee that provides rural community input (e.g. reviewing proposals, decisions, resolutions)
8. Socio-economic assessment of proposals before submitted to CoP
9. Ensuring participation of RCs in all CITES meetings, with support of Secretariat
10. Establish a reporting requirement, so that States report on how they have consulted with potentially affected RCs before proposal submission

The meeting then broke into three breakout groups (the same groups as the previous day) in order to consider how each mechanism scored against each agreed important attribute.

## Feedback and discussion on mechanisms for increasing rural community participation

An overview of responses was initially presented by Rosie Cooney, and then each breakout group facilitator highlighted key points from their discussion to plenary. See Annex 2 for full breakdown of the scores of each group for each mechanism.

Key points raised on each mechanism in feedback included the following.

### No 1 *Involvement of communities at national level*

In order for this to be a permanent mechanism, it would need to be strongly entrenched. It was suggested by many that such a mechanism should be legally constituted and recognised, in order to ensure participation at this level was secure, ongoing, and well governed. It was stressed by many that this national engagement should be democratic, representative and inclusive, with some proposing that representatives to be involved in national consultation should be elected by relevant local communities. Legitimacy of community representation was viewed as crucial.

The cost and simplicity of this mechanism was seen as highly dependent on circumstances, including the extent of consultation, how many different indigenous/local communities were present in a country, whether they were already organised into representative organisations, etc. Some Parties highlighted how they had worked to help organise communities, and urged other Parties to do likewise. Some States highlighted their questions over using traditional/local knowledge, stressing that they still needed to understand much better how and when to use this.

A number of participants pointed out that CITES decisions happen at international level, not national, and regardless of whether communities are represented at national level they also need a voice at international level. Comunidade do Monte Veciña highlighted that national representatives have to represent their national interest. This is not the same as a community voice. While they therefore saw this mechanism as important, they also supported the following one.

This mechanism was widely supported, and accepted by the group (see below).

*No 2. A permanent CITES advisory body or committee that provides rural community input*

The breakout group of rural community representatives raised many of the same key points on this mechanism as on the previous one: questions of legitimacy, inclusiveness, and good governance are crucial for the functioning of this body. ITK asked the CITES Secretariat how an Advisory body of this sort would interact with current CITES bodies, flows of advice, etc. David Morgan from the Secretariat replied that while this was a very good question, first the WG must determine what exactly it wanted the Advisory body to achieve.

*No 3. Socio-economic assessment of proposals before being submitted to CoP*

Cameroon highlighted the critical importance of this, pointing out that efforts for including rural communities in CITES would all just be empty words, if there wasn't some way of understanding the socio-economic impacts of proposals to amend the appendices on local communities. The breakout group of rural community representatives did not assess this mechanism, as they felt very strongly it was already covered by other mechanisms.

*No 4. Ensuring participation of rural communities in all CITES meetings*

Some participants questioned whether rural community representatives could be added to sponsored delegations to CITES CoPs. The Secretariat highlighted that raising funding to cover the expenses of two delegates from sponsored countries was already extremely difficult, and raising additional funding to cover the costs of additional community delegates would be extremely challenging. The breakout group of rural community representatives made clear they preferred mechanisms 1 and 2 over this one.

*5. Establishing a reporting requirement, so that States must report on how they have consulted with potentially affected rural communities*

*No 5. Establishing a reporting requirement, so that States must report on how they have consulted with potentially affected rural communities before proposal submission*

This was generally uncontroversial, and was agreed by the group as a reasonably low cost and practical tool to incorporate into any agreed mechanism (see below).

Through extensive discussion the following points emerged.

## **Agreements**

Three **agreements** were reached in this session:

i. No 1 *Involvement of communities at national level* was **agreed** by the WG as one to be recommended and supported. It is important to note that this includes the involvement of communities by their governments in review of documents/proposals submitted by other governments that may affect them, as this was incorporated into this mechanism during plenary discussion.

This agreement will require changes - likely either a Resolution or change to the reporting template. How exact changes still require discussion.

ii. No 3 *Socio-economic assessment of proposals before being submitted to CoP* was viewed by the WG as representing a "tool" rather than a full-blown mechanism, and it was **agreed** that this tool should be incorporated whichever major mechanism was eventually recommended for adoption to increase community participation.

iii. Likewise, the WG viewed no 5. *Establishing a reporting requirement, so that States must report on how they have consulted with potentially affected rural communities before proposal submission* as a tool, and **agreed** it should be incorporated whichever major mechanism was eventually recommended.

### **Areas of debate and divergence**

Debate then hinged around the merits of the two remaining mechanisms: no 2 *A permanent CITES advisory body or committee that provides rural community input* or no 4 *Ensuring participation of rural communities in all CITES meetings*.

On no 2 *A permanent CITES advisory body or committee that provides rural community input*, in general, rural community representatives expressed clear views in support of the establishment of a distinct and permanent new body of some form to represent community voices. This was viewed by many as the way to give the most direct and legitimate voice to rural communities, best harness their knowledge, and best facilitate their buy-in to CITES decisions. A number of Parties also spoke firmly in favour of this option, in general supporting the views expressed by their community representatives present. ITK suggested a further role of this body could be to welcome and shepherd participation of indigenous and rural communities into the CITES process. Communities need experienced community representatives at that level, who know a lot about how CITES works, to help ensure community input is presented in the right way to inform deliberations.

Several participants drew attention to the cost implications of this option. For example, the EU highlighted the need to ensure there was no duplication of structures, and made the point that if governments represent their peoples, it needs to be shown why it is cost-efficient to create another body to represent communities. They Chief Charumbira argued, however, that the costs involved were minimal compared to the costs of trying to implement CITES without the engagement and support of local communities. He pointed to the millions spent counting elephants, for example, arguing that one reason CITES was so expensive to implement was because it had made communities strangers to wildlife, and that it was misguided to leave out a critical component of NRM in order to bring down costs. He argued such a body would not duplicate but be mutually supportive of other structures in CITES, ensuring the right voices were at the table for effective and equitable decision making.

A number of Parties expressed concerns that such a body could undermine national authority, arguing that it is the role of States to represent their people, preferring more focus on national level consultations. Chief Charumbira argued that it would rather strengthen their role, and that states shouldn't be anxious about empowering people. Zambia highlighted how community and government in Zambia were united in supporting this body, with government supporting their communities having a voice in CITES decisionmaking.

Some participants raised difficulties of ensuring legitimacy and representation, particularly given the specificity and diversity of local communities. How could such a body be made representative? The EU raised concerns regarding having a fixed body with a fixed membership, rather than enabling those with interest in a particular issue to be involved as relevant. On the question of representation, others argued that this was always an issue for any representative process, because it is a broader issue for governance generally. If CITES did not face that, it risked effectiveness and legitimacy. However, it can be managed. Zambia and Canada, for example, both pointed out that despite having many divergent indigenous/ethnic groups, they had structures to manage this input.

With respect to no 4 *Ensuring participation of rural communities in all CITES meetings*, the EU drew comparisons to mechanisms used in UNEP and UNEA, based on the creation of a pool of accredited stakeholders/communities, who could be kept in the loop of the meetings, and could

participate according to interest. This can be facilitated by online means to enable stakeholders to participate. Others highlighted, however, that many communities do not have any email access and online mechanisms will preclude their participation, and China highlighted that for many people with online access, these consultations pose a problem due to language barriers.

One participant suggested that community input should remain focused on issues affecting their communities, and that rural communities will have little to say about most of the business conducted in Animals and Plants Committees, so embedding them in these Committees would be pointless. Uganda raised questions of practicality and legitimacy, pointing out that communities in general were not technical, and questioning who would represent them in CITES meetings.

ITK suggested the two options under discussion were not separate. Having an Advisory Body in place would greatly assist the participation of other community representatives in CITES processes.

For both options, issues around representation and community organisation re-emerged, with Nigeria questioning how a representative from a country with more than one distinct region could ensure appropriate representation. Kenya and the Zambia CBNRM Forum encouraged other countries to help organise their communities, as has been done in their countries.

In this discussion a further proposal was made, which does not require any formal CITES decision or basis, to establish a global umbrella network of wildlife user communities, in order to influence CITES processes.

Finally, it was pointed out that both options needed more clarification to assist WG members to form their views. What exactly would the objectives of a permanent body be? And for no 4, which meetings, of which bodies, would communities participate in?

#### Way forward

The Chair then established a Friends of the Chair group of EU, Brazil, China, ITK (Canada), CAMPFIRE (Zimbabwe), and Comunidad de Monte Veciñal (Spain) to flesh out these options under the supervision of the Chair and to report back to the broader RCWG.

This Friends of the Chair group met immediately and established two deadlines:

- a) Namibia must circulate an outline of the report by 09 March 2018, and
- b) the Friends will submit their input based on the Outline by 30th March 2018.

**Annex 1. Full list of responses to "What are the characteristics of a good CITES mechanism to strengthen community participation"?, sorted into topics.**

*NB: a number of responses rather proposed specific mechanisms - these were captured and included in the later discussion on mechanisms.*

**Topic: cost effectiveness**

- Rentable (Sp.) x 2
- Cost effectiveness \*4

**Topic: Not undermining National Authority**

- ensure that the mechanism does not undermine national authorities role
- not undermine national authorities
- the role of the MA not be undermined but reinforced to aid local communities

**Topic: (financially) supported**

- financially supported
- Secretariat support and regular budget

**Topic: transparency, fairness, accountability**

- accountability ,
- transparency & transparency (Unbiased representation, nominations)
- fair decision making
- openness

**Topic: simplicity**

- develop a tool that is simple
- elaborate, simplified structure to accommodate views of RC on all CITES decisions that have direct impact on RCs
- monitoring to be easy for the communities
- mechanism should be simplicity
- CITES mechanism to allow communities to understand it easily

**Topic: practical:**

- Practical
- Practical ways of communicating

**Topic : how community reps are selected**

- Increase woman participation
- Size of the party country in terms of population, geographical extent and social/ethnic diversity should be criteria for selecting representative from the region for membership of the Committee and not merely the number of parties in a region
- When deciding which are the relevant communities to be consulted, the communities of the relevant area and focused on a conservation approach (such as Registered Community Conserved Areas (ICCAs)) should be taken into account
- Legitimate office bearers
- Decisions made after due consultation with legally recognised bodies
- to encourage inclusion = avoid exclusion of indigenous people
- clearly identifiable community
- decisions made after due consultation with legally recognized bodies
- balanced representation of interests
- representativeness, covering a significant portion of the communities affected

**Topic: enabling community views and knowledge to be heard**

- formal and functional engagement of populations
- science with TK (not only science)
- to open dialogue further
- ITK (communities knowledge) to be respected and incorporated into CITES
- recognizing the economic, cultural and social concerns of affected communities

- indigenous people to be present to speak on their knowledge/advice
- help communities inform CITES decisions in order to achieve more effective management of wildlife
- not only hear the voice of community via party but to build a direct way especially while party and their communities have different opinions
- allow communities who are living at the rural areas to come together internationally to share information that be used for conservation of natural resources in a sustainable way
- communities can also talk directly to the CITES face to face about problem that they find concerning animals or plants that are in their areas e.g. legal hunting
- easy and support for communities to participate directly in the meetings of CITES (CoP/SC/AC/PC)
- indigenous peoples to be present to speak about impacts that will affect them on proposals, decisions
- strengthening the knowledge base for the best informed decision
- indigenous and local communities should be heard when CITES decisions to be adopted will affect their relevant areas and relevant managed natural resources, with a voice separated from any other kind of stakeholders such as traders, importers, NGOs, advisors etc
- decision making to be bottom up approach
- mechanism (opportunities) for the regular submission from rural communities
- that provides platform and network forum that brings out the voice of rural people to influence decisions and resolutions
- fullest information (scientific, economic...)

**Topic: must benefit communities**

- capacity
- benefits
- empowering communities – top-down approach
- raising awareness and importance of local and indigenous livelihoods by the people
- considerate of community interests in terms of benefits
- livelihood to be secured
- must benefit the rural communities and not affluent developed countries
- put in place a process support autonomy of the local communities and indigenous peoples
- can blame the benefit of people of community and wildlife in blame, the benefit of different community

**Topic: Others**

- Relevance
- Recognition of the place of indigenous people, to build trust in the process
- Parties fully supportive and recognise RC reps
- Provides incentives to rural people to protect wildlife
- Should recognise the obligations of states/parties to IPs (in the context of domestic law and UNDRIP) and support discussion of how to meet those obligations
- Be flexible, to adapt to different issues and to changing circumstances over time
- Clear mandate
- Language compatible with the stakeholders
- Good structures for communication

**Annex 2. Summary evaluations of breakout groups of specific CITES mechanisms, against agreed criteria**

(NB. Groups 1 and 2 were Parties, Group 3 was Community Representatives)

	<b>Involvement of RCs at national level</b>	<b>av.</b>	<b>Gp 1</b>	<b>Gp 2</b>	<b>Gp 3</b>
<b>Attribute</b>	1.Simple and practical	3.7	4	3	4
	2.Cost-effective	3.7	4	3	4
	3.Permanent/ongoing mechanism	4.7	5	4	5
	4.Enables [legitimate and representative] rural community voices to be directly heard	4.7	4	5	5
	5.Enables local/traditional knowledge to inform decisionmaking	4.0	3	4	5
	6.Supports and complements (does not undermine) national authority	4.5	5	4.5	4
	7.Enhances tangible benefits for rural communities from wildlife use/management	4.3	5	3	5

	<b>CITES Advisory body/Committee</b>		<b>Group 1</b>	<b>Group 2</b>	<b>Group 3</b>
<b>Attribute</b>	1.Simple and practical	3.2	2	3.5	4
	2.Cost-effective	3.2	2	3.5	4
	3.Permanent/ongoing mechanism	5.0	5	5	5
	4.Enables [legitimate and representative] rural community voices to be directly heard	3.7	4	2	5
	5.Enables local/traditional knowledge to inform decisionmaking	4.3	5	3	5
	6.Supports and complements (does not undermine) national authority	3.5	2	5	*
	7.Enhances tangible benefits for rural communities from wildlife use/management	4.0	4	3	5

	<b>Socio-economic assessment of proposals</b>	<b>Av</b>	<b>Group 1</b>	<b>Group 2</b>	<b>Group 3</b>
	1.Simple and practical	3.8	4	3.5	*
	2.Cost-effective	3.5	3.5	3.5	*
	3.Permanent/ongoing mechanism	4.5	4	5	*
	4.Enables [legitimate and representative] rural community voices to be directly heard	2.5	3	2	*
	5.Enables local/traditional knowledge to inform decisionmaking	3.5	4	3	*
	6.Supports and complements (does not undermine) national authority	5.0	5	5	*
	7.Enhances tangible benefits for rural communities from wildlife use/management	4.0	5	3	*

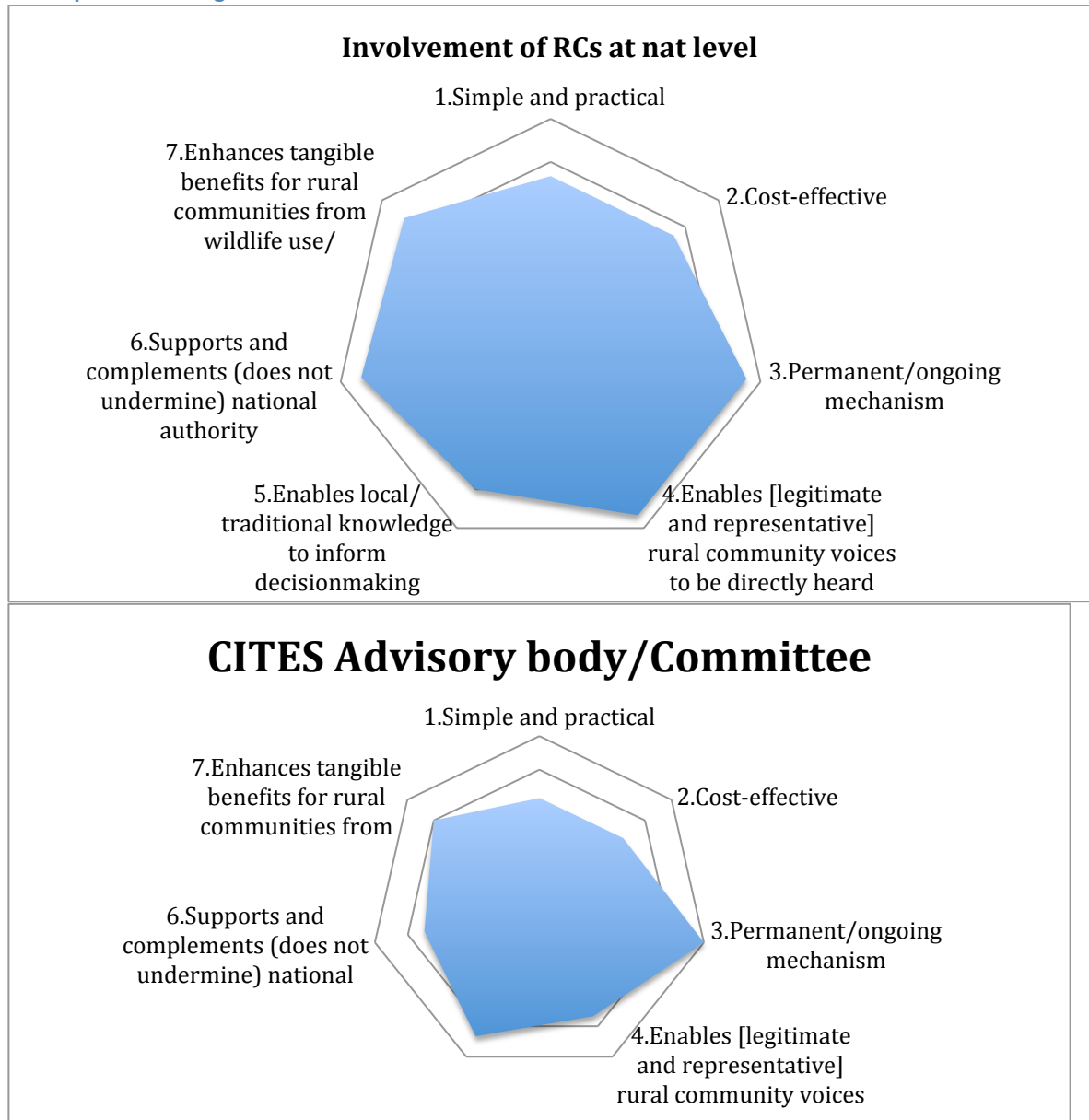
	<b>Better participation of RCs at CITES meetings</b>	<b>Av</b>	<b>Group 1</b>	<b>Group 2</b>	<b>Group 3</b>
<b>Attribute</b>	1.Simple and practical	2.5	2.5	2.5	*

	2. Cost-effective	2.3	2.5	2	*
	3. Permanent/ongoing mechanism	4.0	5	3	*
	4. Enables [legitimate and representative] rural community voices to be directly heard	4.5	5	4	*
	5. Enables local/traditional knowledge to inform decisionmaking	4.0	5	3	*
	6. Supports and complements (does not undermine) national authority	3.8	3.5	4	*
	7. Enhances tangible benefits for rural communities from wildlife use/management	3.3	4.5	2	*

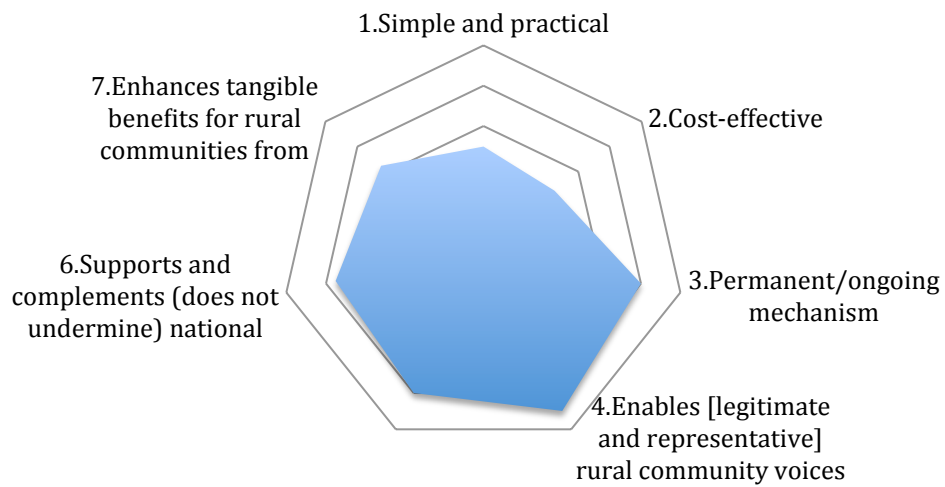
		Av	Gp 1	Gp 2	Gp 3 (
	<b>Reporting on RC consultations by States</b>				
<b>Attribute</b>	1. Simple and practical	4.0	4	4	4
	2. Cost-effective	3.7	4	3	4
	3. Permanent/ongoing mechanism	5.0	5	5	5
	4. Enables [legitimate and representative] rural community voices to be directly heard	3.5	3	2.5	5
	5. Enables local/traditional knowledge to inform decisionmaking	3.5	3	2.5	5
	6. Supports and complements (does not undermine) national authority	5.0	5	5	*
	7. Enhances tangible benefits for rural communities from wildlife use/management	3.3	3	2	5



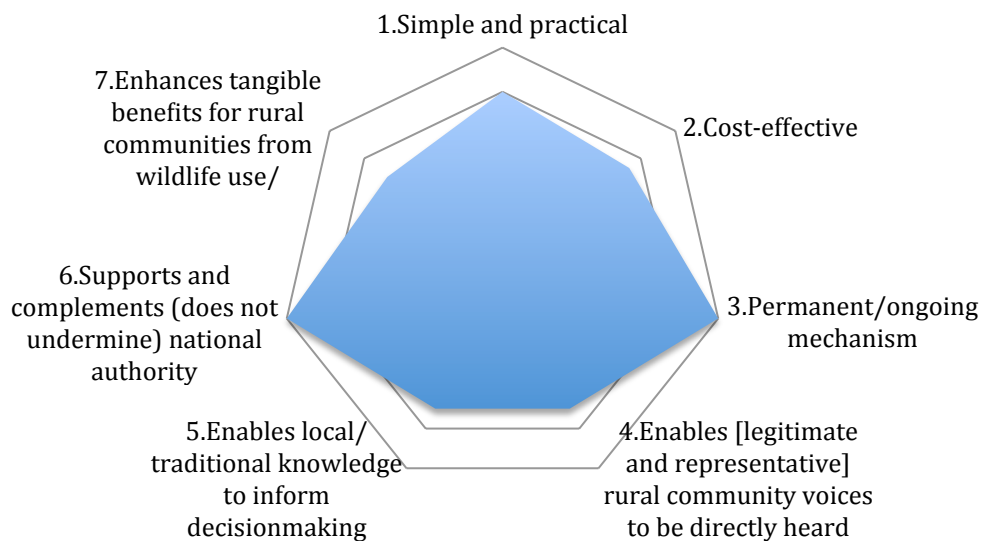
#### Radar plots of average scores



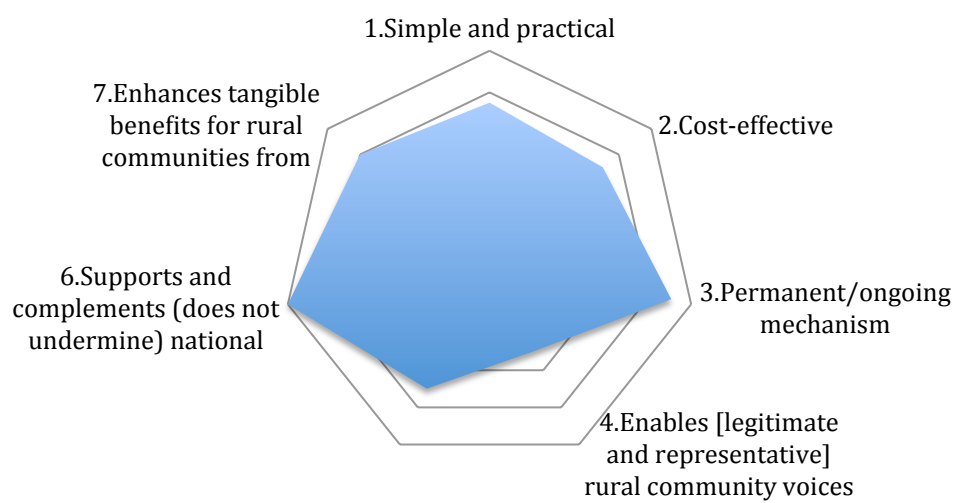
## Better participation of RCs at CITES meetings



## Reporting on RC consultations by States



## Reporting Requirement



**ANNEX 3: LIST OF PARTICIPANTS**

Type	Party / Country of Organization	Organization	Region	Gender	First Name	Last Name	email
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Party	Brazil	Government of Brazil	LatAm&C	Mr	Vinicius	Scofield Siquera	vinicius.scofield@mma.gov.br
Party	Brazil	Ministry of the Environment	LatAm&C	Mr	Ugo	Vercillo	ugo.vercillo@mma.gov.br
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Party	Uganda	Uganda Wildlife Authority	Africa	Mr	Kamukasa Adonia	Bintoora	adonia.bintoora@ugandawildlife.org
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Party	United Republic of Tanzania	Wildlife Division, Ministry of Natural Resources and Tourism	Africa	Ms	Casian Constantine	Muhundi	macaco.mahundi@ymail.com
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Party	Zimbabwe	Zimbabwe Parks and Wildlife Management Authority	Africa	Mr	Colum	Zhuwau	czhuwau@zimparks.org.zw
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RComm	Nepal	Federation of Community Forest Users Nepal	Asia	Mr	Dil Raj	Khanal	dilcommon@gmail.com
RComm	United Republic of Tanzania	Consortium of WMAs Authorised Associations	Africa	Mr	George	Wambura	elianshiwanga@yahoo.com
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RComm	Zimbabwe	CAMPFIRE Programme	Africa	Mr	Charles	Jonga	cjonga@yahoo.com
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Supp		Club of Friends of the Forest in DRC	Africa	Ms	Louise	Lo Presti	louiselopresti@gmail.com
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Party	Democratic Republic of the Congo	Ministry of the Environment and Sustainable Development	Africa	Mr	François	Mubilayi	francoismubilayi@yahoo.fr
RComm	Democratic Republic of the Congo	ANAPAC - Alliance Nationale d'Appui et de promotion des Aires du Patrimoine Autochtone et Communautaire en République Démocratique du Congo	Africa	Ms	Prescilia	Monireh Kapupu	monirehpresciliakap@gmail.com
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Party	Peru	Servicio Forestal y de Fauna Silvestre (SERFOR)	LatAm&C	Ms	Doris Mercedes	Rodriguez Guzman	drodriguez@serfor.gob.pe
Party	Peru	Servicio Forestal y de Fauna Silvestre (SERFOR)	LatAm&C	Ms	Irma Betty	Romero Rodriguez	irromero@serfor.gob.pe
RComm	Colombia	ACCABAC - Asociación de Conservacionistas del Caimán Aguja en la Bahía de Cispatá	LatAm&C	Ms	Lucia Clara	Sierra Diaz	clsierra@hotmail.com
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## **Conf. 4.6** **(Rev. CoP17)\***

## **Submission of draft resolutions, draft decisions and other documents for meetings of the Conference of the Parties**

CONSIDERING the volume of work involved in the preparation of documents to be submitted to the Conference of the Parties at its regular meetings;

AFFIRMING the obligation of the Parties to collaborate closely with the Secretariat in the organization of meetings of the Conference of the Parties;

RECOGNIZING the necessity that the Parties be informed in advance of the draft resolutions and other documents submitted by other Parties; and

OBSERVING that Article XV, paragraph 1 (a), of the Convention requires Parties to communicate the text of proposed amendments to Appendices I and II to the Secretariat at least 150 days before the meeting of the Conference of the Parties;

### THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1.bis ENCOURAGE Parties, when submitting proposal to amend the Appendices, draft resolutions, draft decisions, and other documents for consideration at meetings of the Conference of Parties and when reviewing such documents submitted by other Parties, to take account of the impact of the measure proposed on rural communities that may be effected by them.

1. AGREES that the term “the text of the proposed amendment” in Article XV, paragraph 1, of the Convention includes the substantially complete supporting statement accompanying it, and this interpretation is extended to draft resolutions, draft decisions and other documents submitted for consideration at meetings of the Conference of the Parties;
2. RECOMMENDS that:
  - a) the text of any draft resolution, draft decision or other document to be submitted for consideration at a meeting of the Conference of the Parties be communicated to the Secretariat at least 150 days before the meeting;
  - b) the Secretariat be authorized to accept draft resolutions, draft decisions and documents (other than proposals for amendment of Appendices I and II) after the 150-day deadline only in exceptional circumstances, when it is established, to the satisfaction of the Secretariat, that the draft resolutions, draft decisions or documents could not have been communicated before the deadline;
  - c) when drafting a resolution that is intended to treat a subject comprehensively, or to make significant changes in the way in which a subject is dealt with, a Party prepare the draft so that, if adopted, it will replace and repeal all existing Resolutions (or, as appropriate, the relevant paragraphs) on the same subject;
  - d) when drafting resolutions and decisions which require the gathering of information, a Party consider whether such information could be sought via reports required under the provisions of Article VIII,

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\* Amended at the 10th, 12th and 13th meetings of the Conference of the Parties; amended by the Secretariat in compliance with Decision 14.19 and with the decisions adopted at the 58th meeting of the Standing Committee; and further amended at the 15th, 16th and 17th meetings of the Conference of the Parties.

paragraph 7, of the Convention or, if a special report is needed, and generally ensure that the reporting burden is kept to a minimum;

- e) unless practical considerations dictate otherwise, draft resolutions not include:
  - i) instructions or requests to committees, working groups or the Secretariat, unless they are part of a long-term procedure;
  - ii) decisions on the presentation of the Appendices; and

# Conf. 9.24

(Rev. CoP17)\*

## Criteria for amendment of Appendices I and II

### Annex 6 Format for proposals to amend the Appendices

The following provides information and instructions for the submission of a proposal to amend the Appendices and the appropriate supporting statement. Proponents should be guided by the need to provide to the Conference of the Parties sufficient information, of sufficient quality and in sufficient detail, to allow it to judge the proposal against the criteria established for the proposed action. This means that the relevant published and unpublished sources of information should be used, although for some species the amount of scientific information will be limited. Furthermore, this means that it may not be possible to address all elements of the proposal format. Analogy with related taxonomic groups or species that are ecologically similar may be used to guide judgements. Where research has been undertaken specifically to obtain information for the proposal, it should be presented in sufficient detail to be assessed by the Parties.

Parties are reminded that proposals should normally be limited to 12 pages (exclusive of references cited). If the proposal is longer than 12 pages, the proponent should provide translations into the working languages of the Convention.

#### A. Proposal

The proponent should indicate the specific amendment to the Appendices and any relevant annotations or qualifications. The proponent should justify the basis on which the species meets the relevant criteria.

- Inclusion in Appendix I or transfer from Appendix II to Appendix I. Specify which of the criteria in Annex 1 of the Resolution are satisfied.
- Inclusion in Appendix II
  - in accordance with Article II 2 (a). Specify which of the criteria in Annex 2 a of the Resolution are satisfied.
  - in accordance with Article II 2 (b)
    - for reasons of look-alike problems (criterion A of Annex 2 b). In this case, the names of the similar species already included in the Appendices should be given in section C11, 'Additional remarks'.
    - for other reasons (such as those referred to in Annex 2 b, criterion B or Annex 3 to this Resolution).
- Transfer from Appendix I to Appendix II in accordance with a precautionary measure specified in Annex 4 to this Resolution. Specify which of the criteria in Annex 2 of this Resolution are satisfied; specify why the criteria in Annex 1 of this Resolution are no longer satisfied; specify which of the measures in Annex 4 of this Resolution are satisfied or implemented.
- Deletion from Appendix II. Specify why the criteria in Annex 2 of this Resolution are not satisfied.

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\* Amended at the 12th, 13th, 14th and 15th meetings of the Conference of the Parties; amended by the Secretariat in compliance with Decision 14.19 and with the decisions adopted at the 61st meeting of the Standing Committee; and further amended at the 16th and 17th meetings of the Conference of the Parties.



- Other action (provide explanation, e.g. amendment of a quota).

### Annotations

If a specific annotation to the listing in the Appendices is proposed, the proponent should:

- ensure that the proposed annotation is in compliance with the applicable Resolutions;
- indicate the practical intent of the annotation;
- be specific and accurate as to the parts and derivatives to be covered by the annotation;
- provide clear and simple definitions of any terms in the annotation that may not be easily understood by enforcement personnel and user groups (noting that definitions should be specific to CITES and scientifically and technically precise to the extent practicable for purposes of the annotation);
- ensure that the annotation includes those specimens that first appear in international trade as exports from range States and that dominate the trade and the demand from the wild resource;
- harmonize, to the extent practicable, new annotations with existing annotations; and
- where applicable, provide identification sheets to be included in the CITES Identification Manual that illustrate the parts and derivatives covered under the annotation.

### B. Proponent

The proponent may only be a Party to the Convention, in accordance with Article XV of the Convention.

### C. Supporting statement

#### 1. Taxonomy

The proponent should provide sufficient information to allow the Conference of the Parties to identify clearly the taxon that is the subject of the proposal.

##### 1.1 Class

##### 1.2 Order

##### 1.3 Family

##### 1.4 Genus, species or subspecies, including author and year

If the species concerned is included in one of the standard lists of names or taxonomic references adopted by the Conference of the Parties, the name provided by that reference should be entered here. If the species concerned is not included in one of the adopted standard references, the proponent should provide references as to the source of the name used.

##### 1.5 Scientific synonyms

The proponent should provide information on other scientific names or synonyms under which the species concerned may be known currently, especially if these names are used in the trade in the species.

##### 1.6 Common names (including, where appropriate, trade names)

##### 1.7 Code numbers

If the species concerned is already included in the Appendices, refer to the code numbers in the CITES Identification Manual.

## 2. Overview

Provide a brief overview of key elements of the proposal. Parties should cite key sections of the supporting statement.

## 3. Species characteristics

The information required in this section is a summary of surveys, literature searches, and relevant studies. The references used must be listed in section 12 of the proposal. It is understood that the quality of the information available will vary a lot, but these instructions indicate the type of information that is required. If the proposal relates to a geographically separate population or subspecies, it should consider, where relevant, the biological species in its entirety to provide the appropriate context.

### 3.1 Distribution

Specify the currently known range of the species. If possible, provide information to indicate whether or not the distribution of the species is continuous and, if it is not, indicate to what degree it is fragmented.

### 3.2 Habitat

Specify the types of habitats occupied by the species and, when relevant, the degree of habitat specificity and the extent of each habitat type over the range of the species.

### 3.3 Biological characteristics

Provide a summary of general biological and life history characteristics of the species (e.g. reproduction, recruitment, survival rate, migration, sex ratio, regeneration or reproductive strategies).

### 3.4 Morphological characteristics

Provide a general description of the morphological diagnostic characteristics of the species, including colour, and information on morphological features by which the species can be differentiated from taxonomically closely related species.

### 3.5 Role of the species in its ecosystem

If available, provide information about the role of this species in its ecosystem, and other relevant ecological information, as well as about the potential impact of this proposal on that role.

## 4. Status and trends

This section includes qualitative and quantitative information that allows past and present trends to be evaluated pursuant to the criteria. The sources used must be referenced in section 12 of the proposal. It is understood that the quality of the information available will vary. The instructions below indicate the type of information that should be provided if possible. If the proposal relates to a geographically separate population or subspecies, it should consider, when relevant, the biological species in its entirety to provide the appropriate context. If available, the proposal should include any relevant quantitative analyses, stock assessments, etc. The proposal should note whether conclusions are based on observations, inferences or projections.

### 4.1 Habitat trends

Give information on the nature, rate and extent of habitat change (e.g. loss, degradation or modification), noting when applicable the degree of fragmentation and discernible changes in the quality of habitat. Where appropriate, the relationship between habitat and population trends should be described.

### 4.2 Population size

Give an estimate of the current total population or number of individuals differentiated by relevant age classes where possible, or other indices of population abundance, based on the most recently available data. Provide information on the source of the data used. Where appropriate, provide the number of

subpopulations, and their estimated sizes. Population size may be estimated by reference to population density, having due regard to habitat type and other methodological considerations.

#### 4.3 Population structure

Provide basic information on the current structure of the population and any past or current changes over time in that structure (e.g. social structure, population demographics, proportion of mature individuals or sex ratio).

#### 4.4 Population trends

Basic, quantitative and qualitative information, when available, should be provided on current and past trends in the species' abundance (provide sources). The period over which these trends, if any, have been measured should be indicated. If the species naturally undergoes marked fluctuations in population size, information should be provided to demonstrate that the trend transcends natural fluctuations. If generation-time has been used in estimating the trend, state how the generation-time has been estimated.

#### 4.5 Geographic trends

Provide information, when available on current and past trends in the species' distribution, indicating the period over which these trends, if any, have been measured. If relevant, give data on the degree and periodicity of fluctuations in the area of distribution.

### 5. Threats

Specify the nature, intensity and, if possible, relative importance of human-induced threats (e.g. habitat loss or degradation; over-exploitation; effects of competition, predation or disease by introduced species; hybridization; toxins and pollutants; etc.).

### 6. Utilization and trade

#### 6.1 National utilization

Specify the types and extent of all known uses of the species, indicating trends if possible. Provide details of harvest methods. Indicate the extent to which utilization is from captive-bred, artificially propagated, or wild specimens.

Provide details of any stockpiles known to exist, and the measures that might be taken to dispose of them.

#### 6.2 Legal trade

Quantify the level of international trade, identifying the source of statistics used (e.g. Customs statistics, CITES annual report data, FAO data, industry reports, etc.). Provide justification for inferences made about trade levels. Provide information about the nature of the trade (e.g. primarily for commercial purposes, primarily live specimens, primarily parts and derivatives, primarily of captive-bred or artificially propagated specimens, etc.) and about how the proposed amendment is expected to affect the nature of the trade.

#### 6.3 Parts and derivatives in trade

To the extent possible, list parts and derivatives, including types of products in trade, Customs tariff codes specific to those parts and derivatives, and major importing and exporting countries that trade in those parts and derivatives.

#### 6.4 Illegal trade

To the extent possible, quantify the level of illegal trade, nationally and internationally, and describe its nature. Assess the relative importance of this trade in relation to legal offtake for national use or legal international trade. Provide information on how the proposed amendment is expected to affect the nature of the trade.

## 6.5 Actual or potential trade impacts

Discuss the importance of current and future exploitation for international trade relative to overall use (domestic included) as a threat to the species in question.

## 6.6 Provide information on any involvement of rural communities within the range of the species, in use of, trade in and management of, the species

## 7. Legal instruments

### 7.1 National

Provide details of legislation relating to the conservation of the species, including its habitat, either specifically (such as endangered-species legislation) or generally (such as legislation on wildlife and accompanying regulations). Indicate the nature of legal protection (i.e. is the species totally protected, or is harvesting regulated or controlled). Provide an assessment of the effectiveness of this legislation in ensuring the conservation and/or management of the species.

Provide similar information relating to legislation governing the management of trade in the species in question. Provide an assessment of the effectiveness of this legislation in controlling illegal trade in the species.

### 7.2 International

Provide details of international instruments relating to the species in question, including the nature of the protection afforded by such instruments. Provide an assessment of the effectiveness of these instruments in ensuring the conservation and/or management of the species.

Provide similar information on international instruments relating to the management of trade in the species in question. Provide an assessment of the effectiveness of these instruments in controlling illegal trade in the species.

## 8. Species management

### 8.1 Management measures

Provide details of programmes in place in the range States to manage populations of the species in question (e.g. controlled harvest from the wild, captive breeding or artificial propagation, reintroduction, ranching, quota systems, etc.). Include, where appropriate, details such as planned harvest rates, planned population sizes, procedures for the establishment and implementation of quotas, and mechanisms for ensuring that wildlife management advice is taken into account.

Where applicable, provide details of any mechanisms used to ensure a return from utilization of the species in question to conservation and/or management programmes (e.g. pricing schemes, community ownership plans, export tariffs, etc.).

### 8.2 Population monitoring

Provide details of programmes in place to monitor the status of wild populations and the sustainability of offtake from the wild.

### 8.3 Control measures

#### 8.3.1 International

Provide information on measures in place, in addition to CITES, to control the movement of specimens of the species in question across international borders. Include information about marking schemes in place, if any.

### 8.3.2 Domestic

Provide information on controls in the range States aimed at ensuring a sustainable harvest from the wild of the species in question. Include information on education, compliance and enforcement activities as appropriate, and an assessment of the effectiveness of the programmes.

### 8.4 Captive breeding and artificial propagation

Where applicable, provide details of commercial captive-breeding or artificial propagation operations, including plantations, for the species in question within the country in question, including the size of captive stocks and the production, and the extent to which these operations are either contributing to a conservation programme or meeting a demand that would otherwise be met by specimens from the wild. Discuss any management implications of captive-breeding or artificial propagation programmes. Also provide information on the extent of captive-breeding or artificial propagation outside the country or countries of origin to the extent possible.

### 8.5 Habitat conservation

Provide information, where available, regarding the number, size and type of protected areas relevant to the habitat of the species, and on habitat conservation programmes outside protected areas.

### 8.6 Safeguards

In the case of proposals to transfer species from Appendix I to Appendix II or to delete species from Appendix II, or proposals involving substantive annotations, provide information on any relevant safeguards.

If the proposed amendment is likely to lead to an increase in trade in the species concerned, explain why this would not result in unsustainable trade in similar species.

## 9. Information on similar species

Give the names of species of which specimens in trade look very similar. Provide details on how they may be distinguished, including, in particular, details on those commodities or parts and derivatives most common in trade, and explain whether or not it is reasonable to expect an informed non-expert to be able to make a firm identification. Provide details on how to resolve potential difficulties in distinguishing specimens of the species proposed for listing from those of similar species, in particular those specimens most common in trade.

## 10. Consultations

1. Provide details of the consultation undertaken to secure comments on the proposal from the range States of the species, either through direct contact or via the CITES Secretariat. Comments received from each country should be provided. Where comments were sought but not received in sufficient time to enable their inclusion in the supporting statement, this should be noted, as well as the date of the request.

In cases of proposals to transfer Appendix-II species that are subject to the Review of Significant Trade to Appendix I, the proponent should consult the affected range State(s) and, as appropriate, the Animals Committee or Plants Committee. The proponent should state the reasons to justify why the amendment proposal was made. In cases of consultation with Parties via the CITES Secretariat, information from range States and non-range States should be separated.

In the case of species that are also managed through other international agreements or intergovernmental bodies, provide details of the consultations undertaken to obtain the comments of those organizations or bodies, and indicate how those comments have been addressed in the supporting statement. Where comments were sought but not received in sufficient time to enable their inclusion in the supporting statement, this should be noted, as well as the date of the request.

2. Provide details of any consultation undertaken to secure comments on the proposal from rural communities living with the range of the species. Comments received from these communities should be provided. Where comments were sought but not received in sufficient time to enable their inclusion in the supporting statement, this should be noted, as well as the date of request.

11. Additional remarks

12. References