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

PROPOSED FRAMEWORK TO FACILITATE COORDINATION, TRANSPARENCY,
AND ACCOUNTABILITY OF CITES CAPACITY BUILDING EFFORTS

This document has been submitted by the United States
in relation to agenda item 22.2.

* 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.
Background

• This Information document presents the draft framework to more systematically plan, implement and measure CITES capacity building efforts referred to in **SC70 Doc. 22.2, Proposed Framework to Facilitate Coordination, Transparency, and Accountability of CITES Capacity Building Efforts**, submitted by the United States.

• Capacity to implement and enforce the Convention by all Parties is fundamental to its effectiveness and has been the focus of ongoing efforts, particularly in developing countries and economies in transition. In light of the global donor focus on and additional resources for **combating wildlife trafficking**, new opportunities for CITES capacity building are available.

• This framework was developed using the [Open Standards for the Practice of Conservation](https://www.openstandards.org/), a widely used tool to adaptively plan and assess the effectiveness of conservation actions.

Points to Consider

• The draft framework was developed to illustrate conceptually **how components of CITES function** to support the legal and sustainable trade and combat the illegal trade. Mapping out the theory of change allows stakeholders to **identify strategic intervention points** for capacity building needs of Parties. The current draft framework addresses both **general capacity needs** for successful implementation of CITES and **targeted capacity building efforts** tied to specific compliance measures.

• This methodology offers the opportunity to **track needs, resources, and progress** (See Needs Assessment/Resource Tracking Tool). The tool is anchored in the Theory of Change itself, and can be used by Parties and others to prioritize capacity needs and activities. The Tool can then be used over time to monitor the impact of capacity building efforts and progress on both specific and general capacity for implementation. This Tool can be adapted for use by Parties, the Secretariat, donors, and others. The Tool is **not another compliance measure**, but rather a concise way to most effectively and efficiently **prioritize needs and activities to address those needs**. The examples presented in this INF document, including the Tool, are purely for illustrative purposes.
Overview of this Proposal

1. Our collective challenge
2. Draft theory of change for strengthening CITES
3. Needs assessment / resource tracking tool
4. Next steps to move this forward
Our Collective Challenge

How can we take advantage of the global donor focus on combating wildlife trafficking to strengthen CITES capacity in:

• Reducing illegal trade in Appendix I & II species
• Promoting sustainable trade in Appendix II species

The United States is proposing a theory of change based framework to:

• Facilitate Party and donor coordination, transparency & accountability
• Identify capacity needs & investments
• Measure progress towards shared capacity goals
High Level Theory of Change

Capacity building is key to entire theory of change

Country Capacity to Implement CITES

Assessment of capacity & gaps across countries

Political will in place in countries

Good governance / Levels of corruption

Need to meet key enabling conditions

Global CITES Convention

Global CITES Systems in Place

Species Assessments/Plans Completed (Global & National)

CITES Enables Legal Accountable Trade System for Appendix 2 Species in Relevant Supply, Transit & Consumer Countries

Sustainable trade of Appendix 2 species "

CITES Reduces Illegal Trade for Appendix 1 & 2 Species in Relevant Supply, Transit & Consumer Countries

Illegal trade in Appendix 1 & 2 species reduced

Need to support sustainable trade...

...and reduce illegal trade

Targets represent our goal

CITES Target Species

Appdx 2 Species Maintained at Sustainable Level in Wild

Traded Species Not Currently Listed But Candidates

Appdx 1 Species Maintained at Viable Level

Key to Shapes in Results Chains
- Conservation Target
- Threat Reduction
- Intermediate Result
- Strategy
- Activity

Use full screen view to animate
High Level Theory of Change

Yellow hexagons are high level strategies for investment in CITES.
Detailed Theory of Change

Country Capacity to Implement CITES
- Develop national legislation
- Relevant legislation
- Scientific authority
- Management authorities
- Enforcement authority
- Political will in place in countries
- Good governance / Levels of corruption
- Diplomatic engagement

Invest in Global CITES Systems
- Provide basic training
- Countries implement CITES resolutions
- Permits systems
- Monitoring of trade flows
- Tracability systems
- Validation systems
- Provide technical & financial assistance

Species Assessments/Plans Completed
- Needs / gaps for key taxa identified
- Periodic species assessments completed
- Species & related taxa “appropriately” listed over time
- Appendix 1
- Appendix 2
- Do assessments
- Maintain assessment standards
- Track & coordinate assessments

Global CITES Convention
- CITES brings together supply & demand countries
- CITES has sufficient funding
- Provide technical funding
- Support secretariat capacity
- CITES is in place / living convention
- Participate in CITES

Global CITES Systems in Place
- Develop tech to streamline processing & reduce fraud
- Permitting systems
- Tracability systems
- Validation systems
- Provide technical & financial assistance

CITES Enables Legal Accountable Trade System for Appendix 2 Species in Relevant Supply, Transit & Consumer Countries
- "Sustainable" harvest & trade determined & used to inform rules
- Science, mgmt, enforcement capacity in place
- Violations are detected & enforced
- Key stakeholders comply with harvest levels/rules
- Credible threat of sanctions keeps legal trade honest
- Stakeholders have incentives to maintain system
- Sustainable trade benefits key stakeholders
- Need M&E / adaptive feedback

CITES Reduces Illegal Trade for Appendix 1 & 2 Species in Relevant Supply, Transit & Consumer Countries
- Key stakeholders have incentives to counter illegal trade
- Key stakeholders help counter illegal trade
- Illegal trade in Appendix 1 & 2 species reduced
- Key stakeholders have capacity to counter illegal trade
- Demand for illegal products reduced

CITES Target Species
- Appdx 2 Species Maintained at Sustainable Level in Wild
- Threat of listing forces action
- Traded Species Not Currently Listed But Candidates
- Appdx 1 Species Maintained at Viable Level

Key to Shapes in Results Chains
- Conservation Target
- Threat Reduction
- Intermediate Result
- Strategy
- Enabling Condition
- Activity
Conceptual Mockup of Needs Assessment / Resource Priority Tracking Tool

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<th>Objective</th>
<th>Indicator</th>
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<th>Notes</th>
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<td>1. Country capacity to implement CITES</td>
<td>1a. Relevant national legislation drafted</td>
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<td>1b. Scientific authority</td>
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<td>1c. Management authority</td>
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<td>1d. Enforcement authority</td>
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Objectives & indicators tie to key results in theory of change

Shows & prioritizes key capacity building support needs as well as investments
Key Principles Behind this Approach

The proposed framework would:
• Identify the support needed by each country
• Helping countries get the resources they need
• Ensure coordination, transparency, and accountability
• Improve CITES capacity
Proposed Process Moving Forward

7-9 Oct 2018  Introduce framework at Sochi Standing Committee
Oct – Nov 2018 Get feedback from co-proponents & key stakeholders
Dec 2018 Submit document for CoP consideration
Jan – Mar 2019 Build support and prepare for side event at CoP
May 2019 Hold side event at Colombo CoP Meeting

• What do we collectively need to do to move this forward?
• What’s your advice?
• Would you be willing to partner with us on this?
To Provide Feedback or Learn More

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