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

Seventeenth meeting of the Conference of the Parties
Johannesburg (South Africa), 24 September – 5 October 2016

Strategic matters
CAPACITY BUILDING

1. This document has been prepared by the Secretariat.

Background

2. At its 16th meeting (CoP16, Bangkok, 2013), the Conference of the Parties adopted Decisions 16.28 to 16.31 as follows:

Directed to the Parties

16.28 Parties are encouraged to:

a) support and provide financial and in-kind resources for capacity-building activities, particularly those in support of Goals 1 and 3 of the CITES Strategic Vision;

b) use the CITES Virtual College to support capacity-building activities;

c) participate in reviewing the contents of the CITES Virtual College through their Management and Scientific Authorities, as appropriate; and

d) translate the contents of the CITES Virtual College into national languages.

Directed to the Secretariat

16.29 The Secretariat shall, subject to the availability of external funding, where needed:

a) undertake a review of capacity-building activities found in Resolutions and Decisions to assess whether and how they could be rationalized and consolidated, and report its findings and recommendations at the 66th meeting of the Standing Committee, and report on proposed revisions to Resolutions and Decisions, and, if considered appropriate, present a draft resolution on capacity building at the 17th meeting of the Conference of the Parties;

b) collaborate with the Animals and Plants Committees on relevant capacity-building activities, inter alia to improve and expand the Secretariat’s training materials on the making of non-detriment findings, including those available through the CITES Virtual College;

c) within the mandate of Goals 1 and 3 of the CITES Strategic Vision, provide targeted capacity-building support to CITES Management and Scientific Authorities, Customs and law enforcement entities, the judiciary, legislators and other stakeholders, particularly in new Parties and Small Island Developing States;
d) assist and support the Parties’ own capacity-building efforts to implement the Convention at the national level;

e) deliver general and specialized training though regional workshops and the CITES Virtual College;

f) develop and further enhance partnerships with institutions and organizations providing Parties with capacity-building assistance of relevance to CITES, for example through the International Consortium on Combating Wildlife Crime, the International Tropical Timber Organization and the International University of Andalusia;

g) provide guidance to Parties on accessing financial resources to support the implementation of CITES (such as the Global Environment Facility and the African Elephant Fund); and

h) undertake needs assessments and gap analyses to improve CITES capacity-building effort

Directed to the Secretariat

16.30 The Secretariat shall, before the 65th meeting of the Standing Committee (SC65):

a) issue a Notification to the Parties containing a questionnaire on the needs identified in the Annex to document CoP16 Doc. 22 (Rev. 1), entitled Technological, Logistical and Equipment Needs Assessment to Strengthen the Implementation of CITES in Developing Countries. The Secretariat shall seek input from all Parties, revise the questionnaire, and report its findings at SC65;

b) subject to the availability of external resources, and in order to assist Parties in determining how best to access and utilize new technologies, undertake a study of new and appropriate information and communication technologies needed to implement the Convention, including but not limited to, the use of hand-held devices and tablets, and off-the-shelf or ready-made electronic permitting systems that are affordable, such as UNEP-WCMC’s Electronic Permit Information eXchange (EPIX); and

c) report the results of the study, with recommendations as appropriate, for consideration at SC65.

Directed to the Standing Committee

16.31 The Standing Committee shall, taking account of the results of the questionnaire and the report on the Technological, Logistical and Equipment Needs Assessment to Strengthen the Implementation of CITES in Developing Countries:

a) with assistance from the Secretariat, using information provided by the Secretariat in accordance with Decision 16.30, and subject to the availability of external resources, develop a mechanism by which the technological, logistical and equipment needs of all Parties to implement the Convention can be assessed on a regular basis, and prepare a draft decision on such a mechanism for consideration at the 17th meeting of the Conference of the Parties; and

b) establish a working group on the development of the mechanism, and organize, subject to the availability of external resources, an intersessional meeting to discuss development of the mechanism and the challenges faced by non-English speaking countries regarding translation and interpretation.
3. At the same meeting, the Conference of the Parties also revised Decision 12.91 (Rev. CoP16) on *Capacity-building programme for science-based establishment and implementation of voluntary national export quotas for Appendix-II species* as follows:

**Directed to the Secretariat**

**12.91 (Rev. CoP16)** The Secretariat is encouraged to continue to develop and refine its capacity-building programme dealing with the scientific basis for development, establishment and implementation of voluntary national export quotas for Appendix-II species.

4. The following sections summarize a number of activities in the implementation of the above-mentioned Decisions. This is not an exhaustive list of all of the capacity building activities conducted during the current intersessional period, but is indicative of the nature and scale of the support provided to Parties, in which the Secretariat was involved. The Secretariat also notes that a definition of ‘capacity-building’ has not been agreed within the framework of the Convention.¹

**Implementation of Decisions 16.28 and 16.29**

5. With regard to Decision 16.28, paragraph a), the Secretariat would like to express its gratitude to the following Parties that provided extrabudgetary financial support for capacity-building activities during the intersessional period: Australia, China (and Hong Kong Special Administrative Region), the European Union, Japan, Netherlands, Norway, Sweden, the United Kingdom of Great Britain and Northern Ireland, and the United States of America. Substantial financial and 'in kind' support was also provided by Parties for the activities undertaken under the CITES MIKE and ITTO-CITES projects, both of which are designed to building capacity among Parties.

6. With regard to Decision 16.28 paragraph b), the Amazon Cooperation Treaty Organization (ACTO) has developed a new course on *CITES e-permitting in the Amazon Region*, which has been made available as one of the online courses available on the CITES Virtual College. The courses were translated into Chinese during the intersessional period. Various additional tools were also added to the reference materials section. The CITES Virtual College has had an average of about 400 visitors a month, from 166 countries, with over 7,000 sessions during the entire intersessional period (15 March 2013 – 20 April 2016. It has had 45,000 page views, which is relatively high considering that many online courses in the CITES Virtual College are password-protected.²

![Graph of sessions and page views](http://cites.unia.es)


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² The data were obtained through Google analytics on [https://cites.unia.es/](https://cites.unia.es/)
7. No specific outputs were produced to implement Decision 16.28, paragraphs c) and d) during the current intersessional period (also see paragraph 10 below).

8. In implementation of Decision 16.29, paragraph a), the Secretariat prepared a document gathering CITES Resolutions and Decisions with references to capacity building and provided an assessment at the 66th meeting of the Standing Committee (SC66, Geneva, January 2016), along with a draft decision on capacity building. The Standing Committee noted the recommendations of the Secretariat in paragraph 12 of document SC66 Doc. 20.1 (Rev. 1) related to the draft decisions and invited the Secretariat to submit its draft decisions for consideration at the 17th meeting of the Conference of the Parties, taking into account the comments and proposals made by Parties during SC66.

9. With regard to Decision 16.29, paragraph b), the Animals and Plants Committees established a working group on capacity building at the joint sessions of their 27th and 21st meetings respectively (Veracruz, 2014). At the 28th meeting of the Animals Committee (Tel Aviv, 2015) and the 22nd meeting of the Plants Committee (Tbilisi, 2015), they recommended that the joint working groups on identification and guidance material (pursuant to Decisions 16.59 – 16.61) and on capacity building work jointly in the future, considering the possible overlap of the mandates of these two working groups.

10. The working group on capacity building provided guidance and inputs to the Secretariat to revise the 'non-detriment findings' page on the CITES website, also contributing to the process of consolidating the information that had previously been available in a scattered manner. The working group also embarked on reviewing the contents of the CITES Virtual College in order to update them, which contributed to the implementation of Decision 16.28 paragraph c). However no outputs have been produced from this review.

11. In implementing Decision 16.29, paragraph c), d), and e), the Secretariat provided targeted capacity-building support for Angola, Lebanon and the Maldives as new Parties to the Convention.

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4 The mandate and the members of the working group is available in the executive summary of AC27/PC21, at https://cites.org/sites/default/files/common/com/ac-pc/ac27-pc21/sum/E-AC27-PC21-ExSum01_0.pdf
6 https://cites.org/eng/prog/ndf/index.php
member having entered into force in or after 2013. The Secretariat also assisted Bangladesh\(^7\) and Pakistan in their own capacity-building efforts to improve implementation of the Convention, and provided various technical training for wildlife law enforcement officers through the International Consortium on Combating Wildlife Crime (ICCWC)\(^8\).

12. At the regional level, a number of regional and subregional capacity assessment and capacity building workshops\(^9\) took place under the auspices of the EU-funded project to support the implementation of the new shark listings that were adopted at CoP16. These include workshops organized jointly by CITES and FAO, as well as those organized by other stakeholders where the Secretariat provided technical and financial support. Further details on the capacity-building work related to sharks are available in document CoP17 Doc. 56.1.

13. A general capacity building workshop for the Oceania region, made possible through generous support from Australia, was attended by CITES Parties as well as non-Parties with potential interest in acceding to the Convention. The workshop organized by the Secretariat of the Pacific Regional Environment Programme (SPREP) and held in conjunction with the IUCN Pacific Species Forum. The CITES Secretary-General also participated in an event hosted by the South Pacific Regional Environment Programme (SPREP) in Apia, Samoa, in April 2016. The event was attended by the Deputy Prime Minister of Samoa, the Deputy Prime Minister of Tonga, the Director General of SPREP and many other representatives of States, UN organizations and non UN organizations to promote CITES and to further discuss the capacity building needs in the Pacific region, especially for new Parties. The Secretariat is most grateful to SPREP for organizing this meeting\(^10\).

14. Capacity building support is also provided to a number of Parties through the CITES National Legislation Project\(^11\). In April 2016, in response to Decision 16.38 b), the Secretariat, in collaboration with UNEP, co-organized a legislative capacity building workshop, in Nairobi, for African Parties requiring attention as a priority as well as African Parties with legislation in category 3. Discussions are underway about providing further capacity-building support to Parties that have requested technical assistance, as well as organizing a similar regional workshop on legislative capacity-building in the future.

15. At the time of writing (April 2016), the CITES Secretariat is joining forces with the Secretariat of the Convention on Biological Diversity (CBD) to organize four regional capacity-building workshops in preparation for CITES CoP17 and CBD CoP13. These workshops will be held in Africa, Asia, Central and South America and the Caribbean, and Oceania. The main objectives will be: to build the capacity of CITES and CBD Parties by strengthening their effective participation in the discussions and decision-making processes during the CoPs; and to catalyse a more coordinated approach among biodiversity-related convention secretariats in their programmatic and technical areas. It is hoped that this may, in turn, encourage more coordinated implementation at the national level. These workshops are made possible through the generous financial support of the European Union.


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7. [https://cites.org/eng/news/targeted_training_for_Bangladesh_law_enforcement_authorities_on_CITES_and_special_investigative_techniques_to_combat_wildlife_and_forest_crime](https://cites.org/eng/news/targeted_training_for_Bangladesh_law_enforcement_authorities_on_CITES_and_special_investigative_techniques_to_combat_wildlife_and_forest_crime)


9. [https://cites.org/eng/prog/shark/calendar.php](https://cites.org/eng/prog/shark/calendar.php)

10. [https://cites.org/eng/news/pr/cites_sg_visits Samoa promote stronger representation pacific island countries 07042016](https://cites.org/eng/news/pr/cites_sg_visits Samoa promote stronger representation pacific island countries 07042016)

11. [https://cites.org/legislation](https://cites.org/legislation)
17. In particular, the ICCWC partnership has resulted in many different capacity-building efforts. The ICCWC Wildlife and Forest Crime Analytic Toolkit, which was developed by UNODC has been used by many Parties to undertake the national analysis, and efforts are ongoing to implement the finding of the analyses to build capacity\textsuperscript{12}. ICCWC has also developed: \textit{Guidelines on methods and procedures for ivory sampling and laboratory analysis}\textsuperscript{13} to support the deployment of forensic technology to combat elephant poaching; and an indicator framework to assist Parties to monitor their capacity to respond to wildlife crime. These products are promoted as useful capacity building tools. Further details on ICCWC are available in document CoP17 Doc. 14.2.

18. In implementation of Decision 16.29, paragraph g), the Secretariat provides technical advisory support to the new global wildlife programme, the Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development\textsuperscript{14}, which was approved at the 48th meeting of the Council of the Global Environment Facility (GEF). This new programme, funded by GEF and partner organizations and currently overseeing around twenty projects and project concepts, draws upon existing programmes and is aimed at promoting wildlife conservation, wildlife crime prevention and sustainable development in order to reduce the impacts of poaching and illegal trade on protected species. The CITES Secretariat is a non-implementing member of the Programme Steering Committee, and provides technical advice on the status of CITES implementation in selected Parties, shares its knowledge and experience, and brings its network through the MIKE programme and ICCWC Partnerships.

19. In compliance with Decision 14.78 (Rev. CoP16), updated information on the African Elephant Fund (AEF) and the activities of the African Elephant Fund Steering Committee were provided to the CITES Standing Committee at SC65 and SC66.\textsuperscript{15} The CITES Secretariat, as an \textit{ex officio} member of the AEF Steering Committee, attended its various meetings and acted as a resource for assessing proposals emanating from African elephant range States and guiding the allocation of funding. Information on how the African Elephant Fund works, what projects it supports, how to apply for funding, etc., is contained in a dedicated website.\textsuperscript{16}

20. It should also be noted that the ITTO-CITES programme operated a small grants scheme, under which Parties can submit proposals for management and research activities concerning CITES-listed tropical tree species.

\textbf{Implementation of Decisions 16.30 and 16.31}

21. With regard to Decision 16.30, paragraph a), a questionnaire on \textit{logistical, technological and equipment needs assessment to strengthen the implementation of CITES} was issued through Notification to the Parties No. 2014/013 on 26 March 2014 and Notification No. 2014/035 on 4 August, 2014. Forty-six Parties responded to the questionnaire. The interim\textsuperscript{17} and final\textsuperscript{18} outcomes of the needs assessment survey were reported at SC65 and SC66, respectively.

22. At SC65, the Standing Committee established a working group on the development of a mechanism to assess the needs of Parties based on the information provided through the needs assessment survey. External financial resources have not been obtained to complete the study referred to in Decision 16.30, paragraph b), nor for the development of the mechanism referred to in Decision 16.31, paragraph a). Given the absence of funding and the low response rate to the questionnaire, particularly from developing countries, the working group has concluded that it would be burdensome to set up an ongoing mechanism to seek information from Parties on their capacity and needs and that it would probably fail to achieve its remit.

\begin{itemize}
  \item [12] See \url{https://cites.org/sites/default/files/eng/com/sc/66/Inf/SC66-Inf-09.pdf}
  \item [13] \url{https://cites.org/eng/ICCWC_guidelines}
  \item [14] \url{https://cites.org/eng/gef_wildlife_prog_2015}
  \item [16] \url{http://www.africanelephantfund.org}
\end{itemize}
23. In connection with this, at SC66, the Standing Committee agreed that, mindful of the mandate of the Working Group on Special Reporting Requirements, as well as the ongoing efforts to avoid establishing additional reporting requirements, existing reporting mechanisms should be utilised where possible, and the implementation report, recommended to be introduced in 2018, be utilised as a mechanism by which the Secretariat regularly gathers information about Parties' capacity and needs.

24. At the same meeting, the Standing Committee also requested the Secretariat to issue a Notification to the Parties inviting developing countries and countries with economies in transition to provide to the Secretariat precise information on their capacity-building needs; and to report to the Standing Committee at its 69th meeting on the answers received.

Implementation of Decisions 12.91 (Rev. CoP16)

25. No specific activities have been undertaken with regard to Decision 12.91 (Rev. CoP16) during the current intersessional period.

26. Considering the possible overlap of this decision with the tasks of the joint working group on capacity-building and identification materials, The Secretariat recommends that Decision 12.91 (Rev. CoP16) be incorporated into the mandate of the proposed joint working group.

Recommendations

26. The Conference of the Parties is invited to adopt the draft decisions contained in Annex 1 to the present document, which has taken into account the comments and proposals made by Parties during SC66.

27. The Secretariat believes that Decisions 16.28 to 16.31 have been implemented or will be superseded by the adoption of the draft decisions contained in Annex 1, and recommends that they be deleted.

28. The Secretariat recommends that Decision 12.91 (Rev. CoP16) be deleted, since it will be incorporated into the mandate of the proposed joint working group on capacity-building and identification materials.
Directed to Parties

17.AA Parties are encouraged to:

a) Provide financial and in-kind resources for capacity-building activities, particularly activities to achieve Goal 1 (Ensure compliance with and implementation and enforcement of the Convention) and Goal 3 (Contribute to significantly reducing the rate of biodiversity loss and to achieving relevant globally-agreed goals and targets by ensuring that CITES and other multilateral instruments and processes are coherent and mutually supportive) of the CITES Strategic Vision, as well capacity building activities required in the implementation of Resolutions and Decisions;

b) use the CITES implementation reports, recommended to be introduced in 2018, to inform the Secretariat regularly about their capacity and needs;

c) utilize the CITES Virtual College to support capacity-building activities and provide the Secretariat with inputs and financial support to update and improve its services, including translation of the contents into national languages.

Directed to the Animals and Plants Committees

17.BB The Animals and Plants Committees shall establish a joint working group on capacity-building and identification materials to undertake the following tasks, in consultation with the Secretariat:

a) provide assistance to Parties in identifying CITES-listed taxa and in undertaking capacity-building activities that contribute to the enhanced implementation of the Convention;

b) determine the current availability of capacity building materials, including identification guides and other tools, and enhance their accessibility;

c) review selected capacity building and identification materials, and assess the need for their revision and improvement, taking into account the materials that are being developed or have already been developed by Parties and materials requested in Decisions;

d) undertake, or provide scientific guidance to the Secretariat’s undertaking of the revision and development of selected capacity building and identification materials, including materials on the development, establishment and implementation of voluntary national export quotas;

e) review Resolution Conf. 3.4 on Technical Cooperation and Resolution Conf. 11.19 (Rev. CoP16) on Identification Manual, and make recommendations, including possible amendments to these Resolutions if appropriate, to promote accuracy and availability of capacity building and identification materials; and

f) report on progress with these activities at the 29th meeting of the Animals Committee, the 23rd meeting of the Plants Committee and the 18th meeting of the Conference of the Parties.

17.CC The Animals and Plants Committees shall inform the Standing Committee, as necessary, on the progress made in implementing the above Decision.
Directed to the Secretariat

17.DD The Secretariat shall, subject to the availability of external funding where needed:

a) continue to develop and enhance the CITES website as well as the CITES Virtual College as an electronic means of providing capacity-building support to Parties, including the incorporation of the following information:

i) a list of references to capacity building found in the current Resolutions and Decisions, as well as the relevant sections of the CITES implementation reports, so as to enhance the continued monitoring of capacity-building activities; and

ii) a list of possible financial resources and mechanisms to support the implementation of CITES (such as the Global Environment Facility and the African Elephant Fund);

b) within the scope of Goals 1 and 3 of the CITES Strategic Vision, provide targeted technical capacity-building support and deliver general and specialized training, to: CITES Management and Scientific Authorities, Customs and law enforcement entities, the judiciary, legislators and other stakeholders, particularly in new Parties, developing country Parties, Parties identified through the compliance mechanism and Small Island Developing States.

c) in consultation and cooperation with the Animals and Plants Committees, undertake the revision and development of selected capacity building and identification materials, including materials related to the development, establishment and implementation of voluntary national export quotas;

d) issue a Notification to the Parties inviting developing countries and countries with economies in transition to provide to the Secretariat precise information on their capacity-building needs, and report to the Standing Committee at its 69th meeting on the answers received; and

e) further cooperate with institutions and organizations to provide Parties with joint capacity-building assistance of relevance to CITES, for example through the Food and Agricultural Organization of the United Nations, the Intergovernmental Platform on Biodiversity and Ecosystem Services, the International Consortium on Combating Wildlife Crime (including each of its partners), the International Trade Centre, the International Tropical Timber Organization, the International University of Andalusia, the United Nations Conference on Trade and Development, the United Nations Development Programme and The World Organisation for Animal Health (OIE).

Directed to the Standing Committee

17.EE The Standing Committee shall:

a) monitor the implementation of activities related to capacity building found in the current Resolutions and Decisions through information provided by the Secretariat in accordance with Decision 17.DD a) i);

b) review the results of the survey initiated through the Notification to the Parties referred to in Decision 17.DD d) above, as well as information submitted in the relevant sections of the CITES implementation reports;

c) review the work of the Animals and Plants Committees in the implementation of Decision 17.BB above, and provide guidance, as necessary; and

d) make recommendations to the Conference of the Parties, as appropriate, on how capacity-building activities specified in Resolutions and Decisions may be consolidated, rationalized and made more coherent.
In Resolution Conf. 4.6 (Rev. CoP16) on Submission of draft resolutions, draft decisions and other documents for meetings of the Conference of the Parties, the Conference of the Parties decides that any draft resolutions or decisions submitted for consideration at a meeting of the Conference of the Parties that have budgetary and workload implications for the Secretariat or permanent committees must contain or be accompanied by a budget for the work involved and an indication of the source of funding. The Secretariat proposes the following tentative budget and source of funding for the work indicated in the present document.

**Secretariat:**

Normal levels of capacity-building support work can be accommodated within existing staffing, but large capacity building projects would require additional support staff. Capacity-building projects funded by the European Union have benefited from a half-time project assistant as well as a large part of the time of the marine species officer, who is a Junior Professional Officer supported by Germany.

**Committees:**

The joint working group of the Animals and Plants Committees on capacity building and identification materials would require substantial efforts by its members, in particular, to:

- provide inputs on additional identification material needs, support and lead the development of any new identification materials, and collect existing identification materials;
- lead and undertake the review and revision of capacity building materials, in particular those available in the CITES Virtual College; and
- provide inputs to discussions on whether a revision of Resolution Conf. 3.4 on Technical Cooperation could better reflect its guiding role in capacity building and, if so, how.

**Direct costs:**

In order to implement draft Decision 17.DD paragraphs a) and c), the revision and development of selected capacity building and identification materials would incur direct costs for the Secretariat. For example, the online courses available in the CITES Virtual College, which remain popular as a self-guided capacity-building tool, are dated and are in an urgent need of a major review and overhaul, as well as a transition into a more modern format. The activity would require the hiring of a technical expert or an organization. The task may vary depending on the complexity of the subject area, degree of revision and the size of the material, and it is therefore difficult to provide a suggested budget – from past experience this could cost anywhere between USD 10,000 – 50,000 per material.

Work to improve the CITES website in compliance with draft decision 17.DD a) i) and ii) would require the hiring of an expert web consultant to develop a dedicated page on capacity building with relevant information. The cost for this is estimated at USD 10,000 – 20,000.

For implementation of draft decision 17.DD, paragraph b), targeted technical capacity building support, as well as general and specialized training would require funds to cover, for example: cost of the Secretariat to deliver general and specific capacity building support at workshops, or, alternatively, hiring of expert individuals or organizations to undertake such support work. The indicative cost range for undertaking such work on an ad hoc request-basis would be USD 40-60,000 for the intersessional period, and would depend also on the availability of Secretariat staff/experts. An alternative no- or low-cost option would be to provide such support through virtual conference systems.

For implementation of draft decision 17.DD, paragraph e), supporting the capacity-building efforts of partners, through provision of technical support as well as the delivery of general and specialized training, would necessitate funds to cover the cost of travel for the relevant Secretariat staff or other experts selected as resource persons.