

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



Eighteenth meeting of the Conference of the Parties
Colombo (Sri Lanka), 23 May – 3 June 2019

Strategic matters

Capacity building and identification materials

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

1. This document has been submitted by the United States of America.*

Background

2. The CITES Parties, collectively and individually, face a significant and diverse set of capacity-building needs that limit the robust implementation of the Convention. Many Parties are grappling with ongoing compliance issues and would benefit from more targeted capacity building to help them in their implementation of the Convention. There is an urgent need for greater coordination, transparency, and accountability in capacity-building efforts, and for meaningful assistance for Parties facing challenges. In discussing capacity building, the Secretariat states that, “capacity building generally constitutes the development of activities and materials that support the acquisition of specific knowledge and skillsets to better understand and implement the provisions of the Convention.”¹ Capacity to better implement and enforce the Convention by all Parties is important for its effectiveness and is the focus of ongoing efforts, particularly in developing countries and countries in transition. However, assessing and prioritizing capacity needs, developing Party-driven interventions, securing external funding for CoP-directed activities, coordinating assistance efforts, and monitoring progress continues to be a challenge. A comprehensive framework is needed to guide coordination of capacity-building efforts that improve the effectiveness of CITES to protect species against over-exploitation due to international trade.
3. The need for capacity building has long been a concern of the Conference of the Parties. Resolution Conf. 3.4 (Rev CoP14) recognizes the special challenges of developing countries in staffing, equipping, and training Management and Scientific Authorities, calls on Parties to provide technical assistance, and asks the Secretariat to continue to seek external funding for this purpose. At the 70th meeting of the Standing Committee, the Secretariat identified 20 additional Resolutions that address capacity building in some manner ([SC70 Doc. 22.1](#), Annex 3).
4. At the 17th meeting of the Conference of the Parties (CoP17; Johannesburg, 2016), the Parties adopted Decisions 17.31 – 17.35 on *Capacity Building*. Decisions 17.32 and 17.34 direct a number of actions to the Animals and Plants Committees and the Secretariat to improve CITES capacity-building materials, provide capacity-building support to Parties, and deliver general and specialized training. Decision 17.31 encourages Parties to use the CITES implementation reports to inform the Secretariat about their capacity and needs. Decision 17.35 directs the Standing Committee to monitor the implementation of activities outlined in Decisions 17.32 and 17.34 and to make recommendations on how capacity-building activities in Resolutions

* *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.*

¹ https://www.cites.org/eng/prog/capacity_building/index.php

and Decisions can be “consolidated, rationalized, and made more coherent.” Decision 17.35 reflects the need for a comprehensive capacity-building framework.

5. As recognized by Decision 17.31, Parties receiving capacity support should have the opportunity to identify their needs and priorities. A Party-driven process for planning, coordinating, and monitoring capacity-building efforts will build commitment to strengthening implementation of CITES.
6. Capacity-building can include general informational tools and programs aimed at helping Parties develop the institutions and systems needed to implement CITES, as well as targeted activities designed to help Parties address compliance issues or have existing compliance measures lifted. At the 70th meeting of the Standing Committee (Sochi, 2018), under the direction of CoP17, the Secretariat proposed initiatives to enhance general capacity-building opportunities ([SC70 Doc. 22.1](#)) and to provide targeted and coordinated assistance with compliance issues ([SC70 Doc 27.2](#)). These approaches are closely linked, and both should be included within an overarching capacity-building framework. A coordinated approach to capacity building and targeted compliance assistance would allow for needs and gaps to be addressed holistically within the CITES system. For example, persistent compliance problems, such as those identified through the Review of Significant Trade or through the Article XIII process, might be best addressed by supporting more general capacity-building needs of CITES Authorities. A 2018 evaluation of the country-wide Review of Significant Trade process concluded that the process could be more effective if it looks at implementation of the Convention in its entirety ([SC70 Doc 29.3](#)). A comprehensive capacity-building framework can serve as a tool to guide a broader country-wide review, a review under the Article XIII process, or other assessments focused on compliance assistance.
7. At the same meeting, the United States introduced document [SC70 Doc. 22.2](#) to explore the development of a comprehensive framework for CITES capacity building, and received general support for this approach within the Standing Committee.

Discussion

8. Species that are or may be affected by international trade benefit when CITES is implemented efficiently and effectively by all Parties. To this end, we propose the draft Resolution in **Annex 1**, and accompanying draft Decisions in **Annex 2**, to demonstrate the shared commitment of Parties to create a comprehensive capacity-building framework to improve the overall effectiveness of CITES. A framework that encompasses all capacity building to help address Parties' compliance and implementation issues can assist Parties and donors in identifying shared goals and performance indicators, and can provide a foundation for better planning and prioritization, and more efficient use of resources.
9. We envision a comprehensive capacity-building framework based on a conceptual model that illustrates how various components of CITES function to support legal and sustainable trade, and combat illegal trade. The draft conceptual model, presented in **Annex 3**, is one example that can be used as a starting point for how the Parties can map key components of CITES systems and how capacity-building interventions can be targeted to improve effectiveness of the overall system. This conceptual model is adaptable, and can be expanded and revised as new CITES issues and processes emerge. It was developed using the **Open Standards for the Practice of Conservation**, a widely used tool to adaptively plan and assess the effectiveness of conservation actions.
10. Embedded within this comprehensive framework is a method to target and monitor capacity building to help address Parties' compliance and implementation issues. As illustrated by the Conceptual Resource Tracking Tool in **Annex 4**, indicators can be developed and tracked for key strategies and desired outcomes. A shared Resource Tracking Tool developed by the Parties will assist Parties and donors in prioritizing and coordinating capacity-building efforts, measuring progress toward shared goals, and demonstrating effectiveness and impact. Such a tool can benefit Parties, particularly recipients of capacity-building assistance, by providing a process for identifying future priorities and assistance opportunities. In addition, the tool can improve donor coordination by helping donors and stakeholders to identify opportunities for synergies and leveraging of resources, and while avoiding duplication of efforts. The questionnaire in **Annex 5** provides an initial list of draft questions for Parties to consider as they work together to develop a conceptual model for CITES capacity building and a resource tracking tool.

11. Capacity building can impact all aspects of the Convention. Therefore, a process to develop a comprehensive capacity-building framework would benefit from leadership and oversight of a Steering Committee that brings all major components of CITES together. The Steering Committee should ideally include: the Chairs of the Standing Committee, Animals and Plants Committees, and the Budget and Finance Subcommittee; Party representatives from every region; representatives from Parties that are typically donors and recipients of capacity support; and the Secretariat.

Recommendation

12. The Conference of the Parties is invited to adopt the draft Resolution in Annex 1 and the draft Decisions in Annex 2 of the present document.

COMMENTS OF THE SECRETARIAT

- A. The Secretariat welcomes the initiative of the United States in spearheading the discussion on how Parties – both donors and beneficiaries of capacity building – can plan, coordinate, and monitor their capacity-building efforts more effectively.
- B. The proposed draft resolution and decisions contain many valuable elements that would merit further deliberation by Parties. In the Secretariat's view, the subject of capacity-building could be considered in a comprehensive manner and therefore suggests that the Standing Committee review the proposed conceptual framework, tracking tool and the draft resolution contained in this document in combination with the proposed review of Resolution Conf. 3.4 on *Technical Cooperation* addressed in document CoP18 Doc. 21.2. The proposed collection of information therein through the Notification to the Parties and communication with other Multilateral Environmental Agreements (MEAs)², as well as the proposed workshop, would facilitate this review. The Standing Committee could then make recommendations, including possible submission of a new or revised resolution on capacity-building, as appropriate, to the Conference of the Parties at its 19th meeting.
- D. In light of the above, the Secretariat proposes that the relevant elements of the draft decisions contained in Annex 2 to the present document be considered together with the draft decisions on capacity-building submitted by the Standing Committee in document CoP18 Doc.21.2, in order to have a comprehensive set of decisions that deal with capacity-building during the next intersessional period.
- E. The Secretariat therefore proposes that Parties consider for adoption the draft decisions contained in Annex 2 to document CoP18 Doc. 21.2, where the relevant elements from the present document have been added, in place of the proposed decisions in Annex 2 to the present document.
- F. The Secretariat notes that this document uses the words "general", "targeted", and "specialized" to describe capacity-building, training, information tools and programmes in a different way from how the Secretariat attempted to define targeted and general capacity building at the 70th meeting of the Standing Committee. In order to bring clarity, the Secretariat has explained the proposed changes in the terminology and their definitions in its comments in document CoP18 Doc. 21.2.

² The Secretariat notes that the task directed to the Secretariat to liaise with other Multilateral Environmental Agreements to collect information regarding their management of capacity-building efforts should be undertaken in conjunction with the proposed decision 18.BB e) on Compliance Assistance Programme.

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES

Adopting a comprehensive framework for CITES capacity building

RECOGNIZING that the capacity to better implement the Convention by all Parties is important to its effectiveness to protect species against over-exploitation due to legal or illegal international trade;

NOTING Objective 1.8 of the CITES Strategic Vision: 2008-2020 [Resolution Conf. 16.3 (Rev. CoP17)], is for Parties and the Secretariat to have adequate capacity-building programmes in place;

RECALLING that Resolution Conf. 3.4 (Rev. CoP14), recognizes the special challenges of developing countries in staffing, equipping, and training Management and Scientific Authorities, and calls on Parties to provide technical assistance;

RECALLING that at the 17th meeting of the Conference of Parties (Johannesburg, 2016), Parties adopted Decisions recognizing the need for improving capacity-building materials, providing support to Parties, and delivering general and specialized training;

FURTHER RECALLING that at the 17th meeting of the Conference of Parties (Johannesburg, 2016), Parties adopted Decisions acknowledging the need for capacity-building activities in Resolutions and Decisions to be consolidated, rationalized, and made more coherent;

RECOGNIZING that a Party-driven process for identifying, prioritizing, and tracking capacity needs builds commitment for strengthening CITES implementation;

CONSCIOUS that many Parties would benefit from both general capacity development and targeted capacity building to help address compliance and implementation issues;

RECOGNIZING that targeted capacity building aimed at helping to address persistent compliance issues represents an important piece of an overall capacity-building framework; and

ACKNOWLEDGING that CITES capacity-building efforts benefit from external funding, and improved coordination among donors is needed to make efficient and strategic use of limited resources and that a comprehensive framework for capacity building can provide a vehicle for more effective coordination;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

1. RECOGNIZES that capacity building and compliance assistance efforts to improve the effectiveness of CITES can involve every aspect of the Convention, and need to be broadly integrated;
2. CALLS on the Parties to bring CITES capacity-building and compliance assistance efforts together under one comprehensive framework, using the draft CITES conceptual framework in Annex 3 and Conceptual Resource Tracking Tool in Annex 4 to document CoP18 Doc. 21.3 as a starting point; and
3. RESOLVES that Parties, the Standing Committee, in consultation with the Animals and Plants Committees, and the Secretariat all have a role in the development and utilization of capacity tracking tools guided by a comprehensive capacity-building framework to assess needs, identify priorities, monitor progress of capacity-building efforts, and facilitate coordination among donors.

DRAFT DECISIONS OF THE CONFERENCE OF THE PARTIES

Directed to the Parties

18.AA The Parties are urged to:

- a) respond to a Questionnaire included in a Notification to Parties issued by the Secretariat to gather Parties' ideas, experiences, and information related to development of a capacity building framework; and
- b) make recommendations on the capacity-building framework through regional representatives.

Directed to the Standing Committee

18.BB The Standing Committee is directed to:

- a) establish a Steering Committee at the 72nd meeting of the Standing Committee, in consultation with the Chairs of the Animals Committee and the Plants Committee, including participation of: the Chair of the Standing Committee, the Chairs of the Animals Committee and Plants Committee, the Chair of the Budget and Finance Sub-Committee, and the Secretariat, to advise the Standing Committee on the development of a comprehensive capacity-building framework to improve implementation of the Convention. The Steering Committee also should include a representative from each region, two representatives from Parties that are donors and two representatives from Parties that are recipients of capacity support. The Steering Committee is directed to:
 - i) prior to the 31st meeting of the Animals Committee and the 25th meeting of the Plants Committee, develop a questionnaire to be issued through a Notification by the Secretariat requesting input from Parties on a comprehensive capacity-building framework;
 - ii) prior to the 32nd meeting of the Animals Committee and 26th meeting of the Plants Committee, subject to external funding and in consultation with the Secretariat, design and lead a workshop, subject to external funding, bringing the Steering Committee and Parties together to:
 - A. develop a conceptual model for CITES capacity building, using the conceptual model presented in Annex 3 to document CoP18 Doc. 21.3 as a starting point, and taking into consideration report prepared by the Secretariat under Decision 18.DD c);
 - B. develop a resource tracking tool that can be used by Parties to assess needs, identify priorities, and monitor progress of capacity-building efforts, using the Conceptual Resource Tracking Tool presented in Annex 4 to document CoP18 Doc. 21.3 as a starting point, and taking into consideration report prepared by the Secretariat under Decision 18.DD c);
 - C. develop operational guidelines for implementing the comprehensive capacity-building framework, taking into consideration report prepared by the Secretariat under Decision 18.DD c);
- b) review the report of the Secretariat called for in Decision 18.DD along with the input and recommendations of the Animals Committee and Plants Committee called for in Decision 18.CC a), and provide input and make recommendations on the development of a comprehensive capacity building framework for consideration at the workshop described in Decision 18.BB a) ii); and
- c) drawing on the outputs of the workshop described in Decision 18.BB a) ii) and recommendations of the Animals Committee and Plants Committee in Decision 18.CC b), present a comprehensive capacity-building framework, including the conceptual model and resource tracking tool, to the Parties for consideration at the 19th meeting of the Conference of Parties.

Directed to the Animals Committee and the Plants Committee

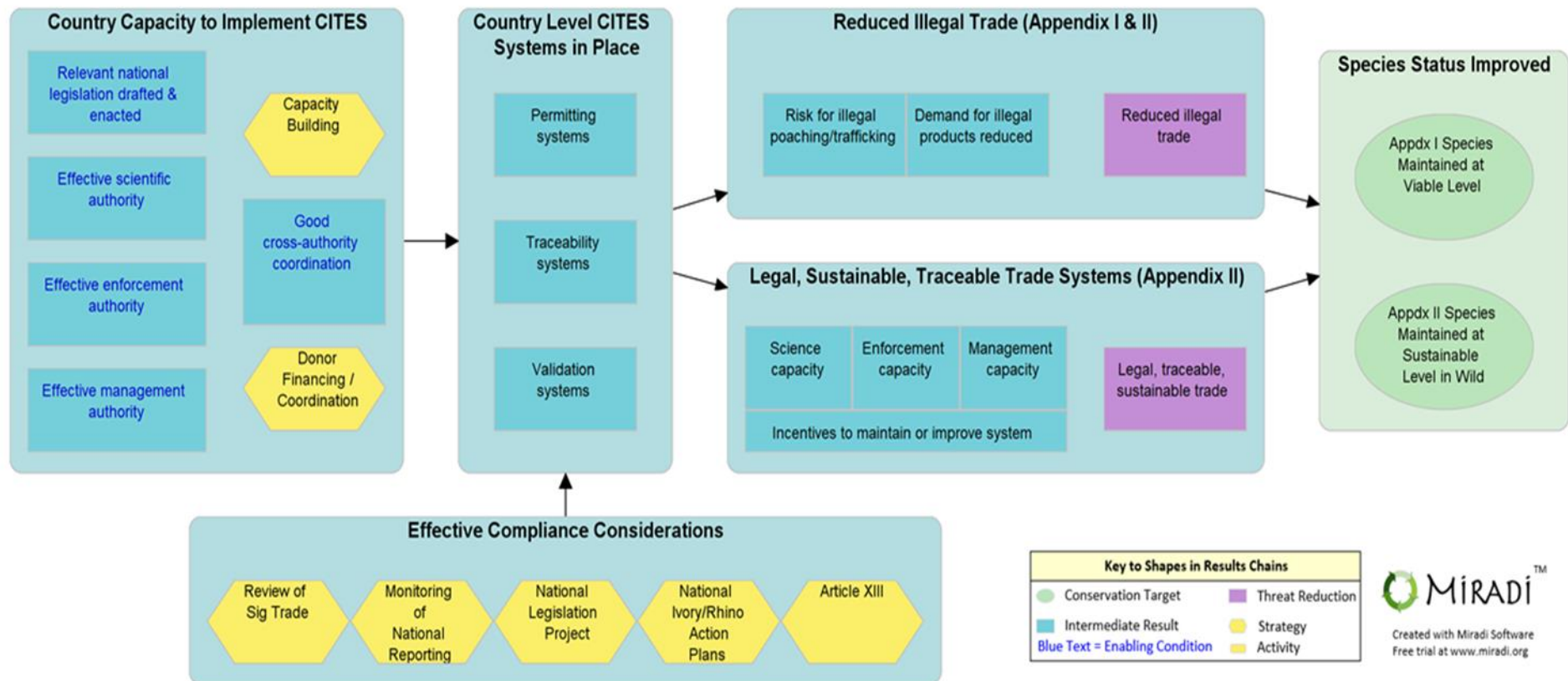
- 18.CC a) The Animals Committee at its 31st meeting and the Plants Committee at its 25th meeting are directed to review the report of the Secretariat called for in Decision 18.DD, and provide input and make recommendations to be considered along with the report at the 73rd meeting of the Standing Committee on the development of a comprehensive capacity building framework.
- b) The Animals Committee at its 32nd meeting and the Plants Committee at its 26th meeting are directed to review the outputs of the workshop described in Decision 18.BB a) ii), and make recommendations to be considered along with the outputs of the workshop at the 74th meeting of the Standing Committee.

Directed to Secretariat

18.DD The Secretariat is directed to:

- a) issue a Notification to the Parties transmitting the questionnaire developed by the Steering Committee under Decision 18.BB a) i) to gather input on the development of a comprehensive capacity-building framework;
- b) liaise with other Multilateral Environmental Agreements to understand how capacity building is targeted, accomplished, and tracked within other MEAs, and summarize results;
- c) prepare a report to be considered at the 31st meeting of the Animals Committee, the 25th meeting of the Plants Committee, and the 73rd meeting of the Standing Committee summarizing responses to the Questionnaire, as well as results of research on how capacity building is coordinated under other Multilateral Environmental Agreements; and
- d) help coordinate the workshop described in Decision 18.BB a) ii).

CONCEPTUAL FRAMEWORK FOR CITES CAPACITY BUILDING



Example of a Resource Priority Tracking Tool

CITES Capacity Building - Resource Priority Tracking Tool														
Objective	1. Country capacity to implement CITES										2. Country level CITES system i			
Indicator	1a1. Relevant national legislation drafted		1a2. Relevant national legislation		1b. Scientific authority		1c. Management authority		1d. Enforcement authority		1e. Cross authority coordination		2a. Permitting system	
Ratings	1	Insufficient legislation (Category 2 & 3)	1	Not drafted	1	No authority	1	No authority	1	No authority	1	No coordination	1	No system
Last Rating	2	Minimal legislation (= Category 1)	2	In process	2	Minimal authority	2	Minimal authority	2	Minimal authority	2	Minimal coordination	2	Inadequate system
	3	Good legislation (= Category 1)	3	Enacted	3	Adequate authority	3	Adequate authority	3	Adequate authority	3	Good coordination	3	Adequate system
	4	Strong legislation	4	Fully enacted and implemented	4	Effective authority	4	Effective authority	4	Effective authority	4	Strong coordination	4	Effective system
Country	Date	Rating	Notes	Rating	Notes	Rating	Notes	Rating	Notes	Rating	Notes	Rating	Notes	
Global		2.4		2.7		2.1		1.9		1.9		1.9		1.9
Country A	Oct 2018	4.0	Relevant CITES legislation has been drafted	4.0	Relevant CITES legislation updates passed by Parliament in 2014	4.0	Strong SA	3.0	Generally in ok shape	3.0	Authority has had some funding cuts and staff attrition recently. Need to provide technical assistance	2.0		3.0
Country B	Nov 2018	2.0	Relevant CITES legislation has been drafted	3.0	Relevant CITES legislation updates still in committee	2.0	Exist on paper	2.0		2.0	Authority staff need basic training and technical support	2.0		2.0
Country C	Oct 2018	1.0	Legislation is weak. Need to provide model legislation	1.0		2.0	Needs support, but need to ensure legislation passed first	1.0		1.0		2.0		1.0

DRAFT QUESTIONNAIRE ON DEVELOPING A CITES CAPACITY BUILDING FRAMEWORK

The Parties agreed to Resolution Conf. 18.X and Decisions 18.AA – 18.DD on developing a comprehensive framework for CITES capacity building. The framework is based on a conceptual model for CITES (see example in Annex 3 to document CoP18 Doc. 21.3) that can guide the development of a Resource Priority Tracking Tool (see example in Annex 4 to document CoP18 Doc. 21.3) to assist Parties in assessing and prioritizing needs for future capacity building support. As part of the consultation process for developing the capacity-building framework, the Parties are asked to provide ideas, experiences, information, and recommendations. The questions listed below may assist Parties in considering how the capacity-building framework should be developed and managed.

A. Contact Details

- 1) Name of country or organization
- 2) Contact details (point of contact, email, telephone)

B. Conceptual Model for CITES Capacity Building

- 1) Please provide examples of capacity building efforts such as case studies, that may inform the development of a conceptual model for CITES capacity building.
- 2) Please provide any recommendations or comments on the draft conceptual model presented in Annex 3 to document CoP18 Doc. 21.3.

C. Management of Resource Tracking Tool

- 1) Who should conduct the CITES capacity needs assessments (e.g. Parties (self-assessment), peer-review, independent third-party, or some combination of these)?
- 2) What data should be used to conduct the needs assessments?
- 3) Who should maintain the tracking tool?
- 4) How should development and management of the tracking tool, including maintaining a database, be funded?
- 5) Should the tracking tool data be publicly available? Who should have access to the data?
- 6) Please provide any other recommendations or comments on the Conceptual Resource Tracking Tool in Annex 4 to document CoP18 Doc. 21.3.

D. General Capacity Building Information

- 1) Please provide relevant information, examples, and experiences, including case studies, that can inform the development of a comprehensive capacity-building framework.
- 2) Please provide any other comments or observations.
- 3) Would you like to be involved in a working group or participate in a workshop focused on implementing the Decisions referenced above?

**TENTATIVE BUDGET AND SOURCE OF FUNDING
FOR THE IMPLEMENTATION OF DRAFT RESOLUTIONS OR DECISIONS**

According to 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 decided 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 authors of this document propose the following tentative budget and source of funding.

The authors anticipate that the workshop proposed in this document will have cost implications of approximately USD150,000.

Decision	Activity	Cost implications(USD)	Source of funding
Decision 18.BB a) ii)	workshop	150.000	External