

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**, 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

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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

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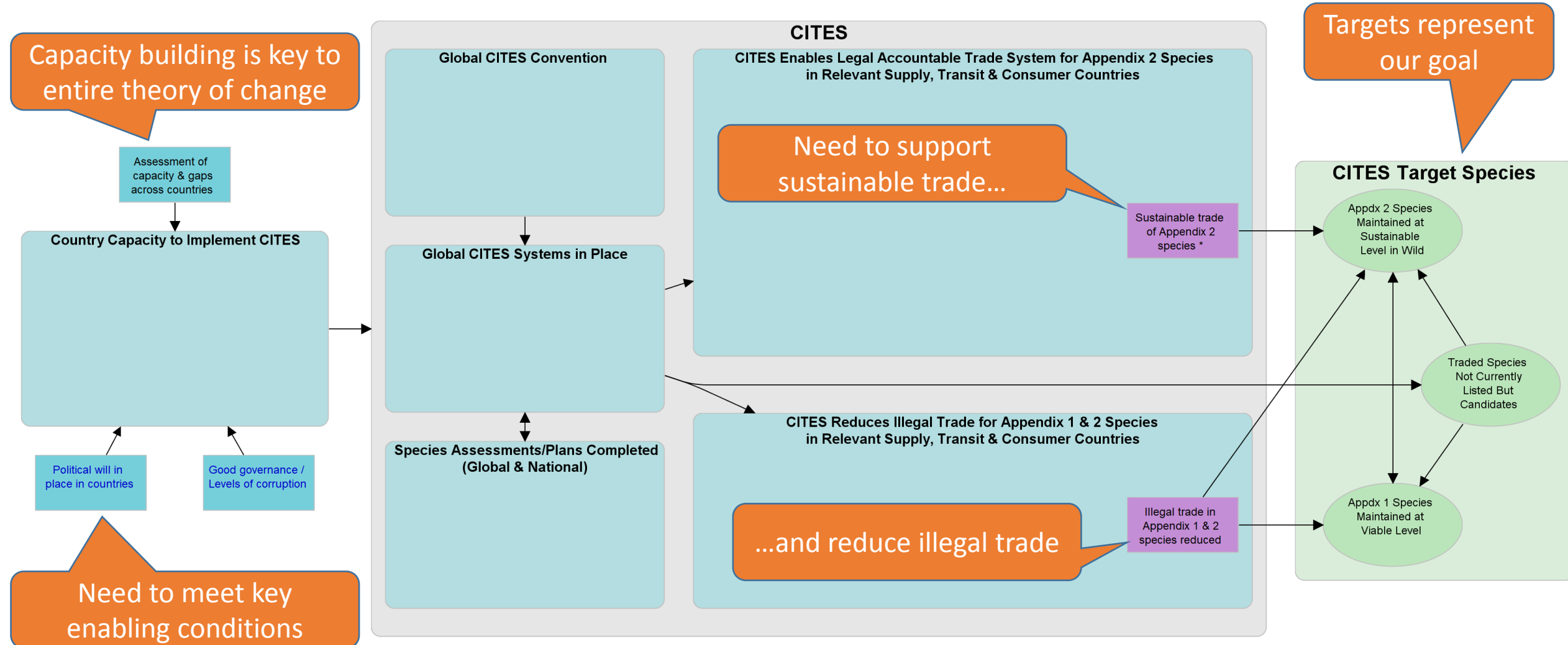
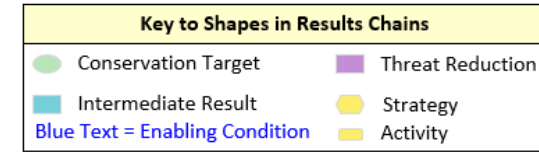
How can we take advantage of the global donor focus on combating wildlife trafficking to strengthen CITES capacity in:

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

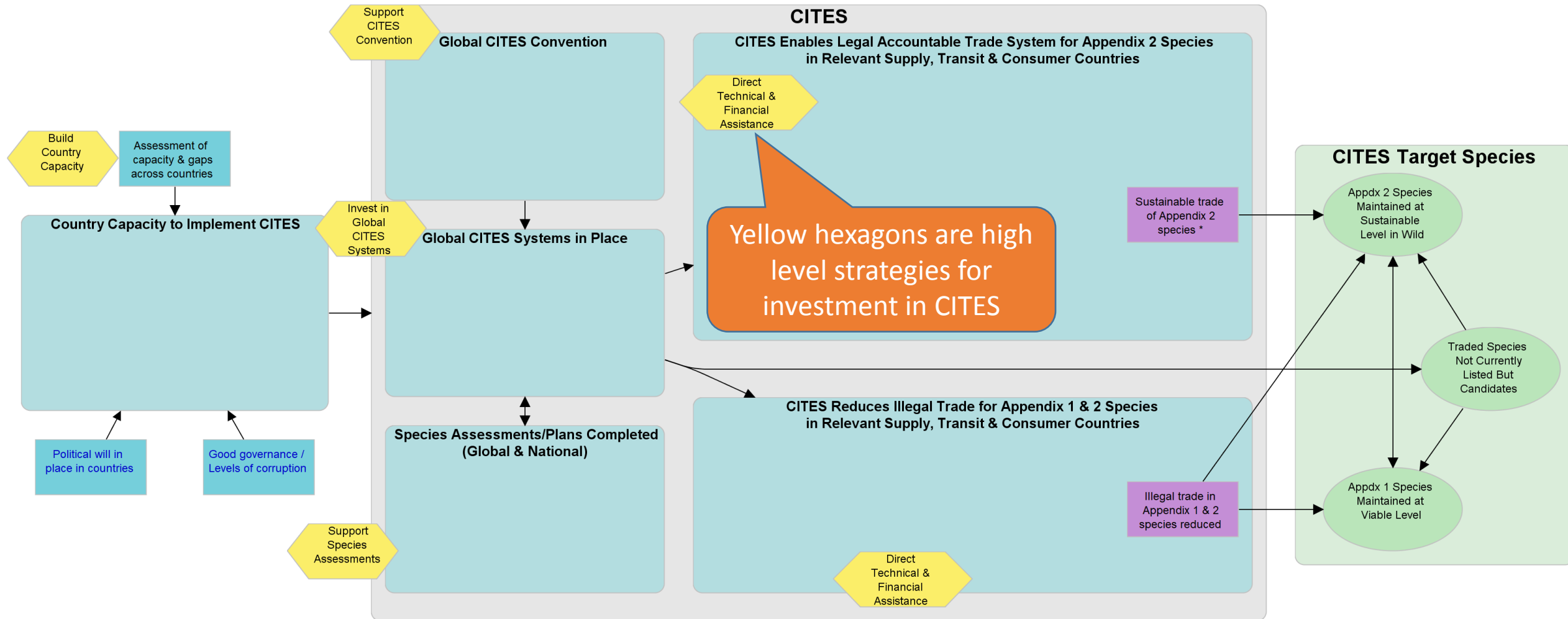
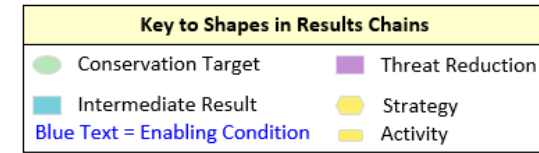
The United States is proposing a theory of change based framework to:

- Facilitate Party and donor coordination, transparency & accountability
- Identify capacity needs & investments
- Measure progress towards shared capacity goals

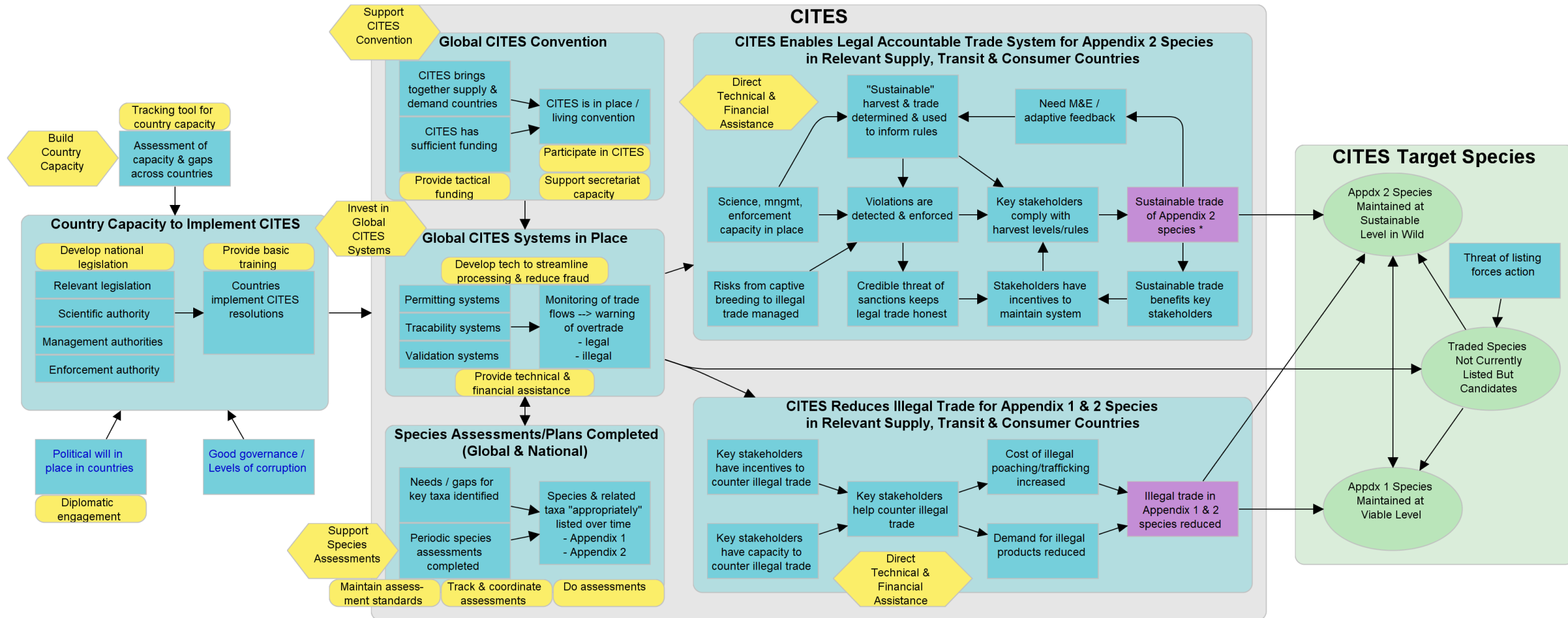
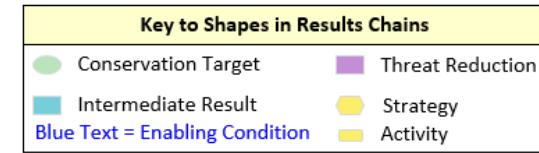
# High Level Theory of Change



# High Level Theory of Change



# Detailed Theory of Change



# Conceptual Mockup of Needs Assessment / Resource Priority Tracking Tool

Objectives & indicators tie to key results in theory of change

CITES Capacity Scorecard											
Objective	Last Rating Date	1. Country capacity to implement CITES									
Indicator		1a1. Relevant national legislation drafted		1a2. Relevant national legislation		1b. Scientific authority		1c. Management authority		1d. Enforcement authority	
Ratings		1	1 - Insufficient legislation (Category 2 & 3)	1	1 - Not drafted	1	1 - No authority	1	1 - No authority	1	1 - No authority
		2	2 - Minimal legislation (= Category 1)	2	2 - In process	2	2 - Minimal authority	2	2 - Minimal authority	2	2 - Minimal authority
		3	3 - Good legislation (= Category 1)	3	3 - Enacted	3	3 - Adequate authority	3	3 - Adequate authority	3	3 - Adequate authority
		4	4 - Strong legislation	4	4 - Fully enacted and implemented	4	4 - Strong authority	4	4 - Strong authority	4	4 - Strong authority
Country	Rating	Notes		Notes	Rating	Notes	Rating	Notes	Rating	Notes	
Global		2.7			2.0		1.9		1.6		
Country A	Oct 2018	4.0	Relevant CITES legislation has been drafted	3.0	Relevant CITES legislation updates passed by Parliament in 2014	3.0	National science department is expanding outreach	3.0	Generally in ok shape	2.0	Authority has had some funding cuts and staff attrition recently. Need to provide technical assistance
Country B	Nov 2018	4.0	Relevant CITES legislation has been drafted	2.0	Relevant CITES legislation updates still in committee	2.0	Science institute needs technical assistance and training in species identification	2.0		1.0	Authority staff need basic training and technical support
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	

Shows & prioritizes key capacity building support needs as

Shows & prioritizes key capacity building support needs as well as investments



# Key Principles Behind this Approach

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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

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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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