CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES
OF WILD FAUNA AND FLORA
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Sixteenth meeting of the Conference of the Parties
Bangkok (Thailand), 3-14 March 2013

Strategic Matters

PROPOSAL CONCERNING A NEEDS ASSESSMENT FOR STRENGTHENING
THE IMPLEMENTATION OF CITES IN DEVELOPING COUNTRIES

1.   This document has been submitted by Sierra Leone, Ghana and Senegal[2].

Background

2.   Resolution Conf. 14.2, CITES Strategic Vision: 2008-2013, includes the following Goal and Objective:

Goal 1: Ensure compliance with and implementation and enforcement of the Convention

Objective 1.8: Parties and the Secretariat have adequate capacity-building programmes in place.

3.   The 15th meeting of the Conference of the Parties (Doha, March 2010) adopted Decision 15.22: "The Secretariat shall: a) seek funding to convene a capacity-building workshop and regional meeting for the Africa region before the 62nd meeting of the Standing Committee, in order to improve regional implementation of the Convention; and b) subject to availability of funds, invite the Parties of the region, non-party States, regional intergovernmental organizations and observers as may be appropriate."

4.   A USD 3,512,500 grant was provided to CITES in 2009 by the European Union for a multi-year project on "*Strengthening the CITES implementation capacity of developing countries to ensure sustainable wildlife management and non-detrimental trade.*" The CITES Secretariat led a CITES capacity needs assessment to define activities that should be led with this European Union funding. Results of this needs assessment are presented in document SC61 Inf.10.

5.   Findings from the needs assessment relevant to the African region specifically show that "*the need for equipment is highest in Africa*"; "*that African respondents consistently gave higher ratings for funding, species data, equipment and improving enforcement*"; and that "*respondents from Africa identified a greater need to improve the CITES Authorities and conduct field surveys*".

6.   The overall results of the CITES needs assessment led by the Secretariat concluded that the need for equipment is also shared by other regions: "*The findings of the CITES implementation needs assessment show a general similarity across regions of the root causes behind difficulties with CITES implementation, namely a lack of funds, equipment and manpower, difficulties with making non-detriment findings, and poor communication between the Management Authority and Customs.*"

7.   The needs assessment carried about by the Secretariat was for the purposes of the allocation of the European Union grant only, and it did not assess specific equipment, logistical and technological needs in

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[1]   *This document has been provided in these languages by the authors.*

[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.*

developing countries, nor did it result in a proposed CITES mechanism to ensure that these needs can be met in the near future to strengthen the implementation of CITES in these countries.

8. At the 62ND meeting of the CITES Standing Committee (SC62, July 2012), the Secretariat presented SC62 Doc 19, concerning capacity-building activities. The document noted, amongst other things, that funds from the European Union grant had been used to further develop CITES e-permitting systems, an initiative which could widen the gap between countries that have access to modern infrastructure, technology and equipment, and countries in need of infrastructure and equipment to implement and enforce CITES adequately.

9. The Secretariat also reported at SC62 that part of the European Union funding was used to commission a study by UNEP-WCMC on "*an analysis of recent trends in international trade in animal species included in Appendix II to better understand global trends in international wildlife trade and to support improved reporting to the Convention*", an initiative which does not seem to directly respond to the priority needs identified by developing countries in the needs assessment survey.

Recommendation

10. The Proponents sincerely welcome the grants made by the European Union and other donors for capacity-building initiatives led by the CITES Secretariat, and agree that capacity-building in developing countries must remain a very high priority for CITES to ensure adequate implementation of the Convention.

11. It is of concern to the Proponents that some of the capacity-building initiatives that have been undertaken so far do not seem to address the capacity-building priorities of developing countries while other priority needs identified as key by developing countries in the CITES needs assessment led by the Secretariat (such as the need for equipment, amongst other things), appear not to have be considered as priority for actions within the CITES capacity-building program.

12. The Proponents strongly believe that an initiative should be implemented within CITES to assess specific technological, logistical and equipment needs, which, if not met, might hinder the implementation of CITES in developing countries, and to propose measures that could be implemented to address these needs.

13. The Proponents therefore recommend the CITES Parties adopt the Draft Decisions and Draft Annexed Questionnaire.

COMMENTS FROM THE SECRETARIAT

A. The Secretariat shares the concerns expressed in the present document regarding the lack of technical and physical resources faced by some Parties in Africa required to implement the Convention effectively.

B. Under agenda item 8.4, the Secretariat has prepared a document on *Access to Global Environment Facility funding* (CoP16 Doc. 8.4), discussing whether the Global Environment Facility could or should serve as a financial mechanism for the Convention in order to provide Parties from developing countries with sufficient resources to meet their needs for the national implementation and enforcement of the Convention.

C. Document CoP16 Doc. 22 refers extensively to the European Commission capacity building project, on *Strengthening the CITES implementation capacity of developing countries to ensure sustainable wildlife management and non-detrimental trade*, which is being implemented by the Secretariat. The Secretariat notes that the project's activities are country-driven, as described in document CoP16 Doc. 21. A series of five meetings were held to determine regional needs in East and Southern Africa (Kampala, 2010), West and Central Africa (Douala, 2010), South and Southeast Asia (Makati City, 2010), West and Central Asia (Riyadh, 2011) and Central and South America (Bogota, 2010). The identified needs go well beyond what can be met through this one project.

D. Over 30 project activities are currently being implemented under the European Commission project mentioned above, the vast majority of which are related to species-specific management, science and enforcement, with most being implemented to meet needs identified by Parties in Africa.

E.   Concerning the views expressed in paragraph 8 of the present document, the Secretariat notes that an e-permitting project to support legal, sustainable and traceable trade in South America was developed in response to recommendations by Parties at the regional meeting in Bogota mentioned above. The project received co-funding from the Amazon Regional Programme BMZ (German Federal Ministry for Economic Cooperation and Development), DGIS (Netherlands Directorate General for International Cooperation) and GIZ (German Agency for International Cooperation). A number of Parties in Africa have expressed interest in these developments, and discussions are underway to use South-South cooperation to assist these Parties in developing similar systems. At the request of Asian Parties, a meeting on the same subject was organized in Guangzhou, China, from 9 to 11 May 2012 with co-funding from the host country.

F.   While it is true that modern communication systems and electronic management tools are not available in all countries, and that this could potentially create technological gaps, the Secretariat's recent experiences also show that many Parties in developing regions have made or are making significant progress in the use of new technologies. This includes the development of electronic trade documentation and systems and the implementation of Single Window environments, for example in Ecuador, Ghana and Thailand.

G.   With regard to paragraph 9 of the present document, the report *CITES trade: Recent trends in international trade in Appendix II-listed species (1996-2010)* was produced in the context of the European Commission funded project mentioned above, which has specific provisions for conducting research, and providing issue-driven toolkits, checklists and statistics.

H.   Concerning paragraphs 11 and 12 of the present document, the Secretariat believes that assessments of technical and human resource needs are best undertaken in the context of specific activities aimed at meeting national or regional requirements. Taking this approach links the assessment to the available resources and existing capacity, allows for more specificity in clarifying budget implications, and helps to determine options for each activity to be sustainable over the long term. Generic, broad-based needs assessments as proposed in this document are resource intensive and will not necessarily assist in providing on-the-ground solutions or the technical resources required by Parties in Africa.

I.   Therefore, the Secretariat recommends that the Conference of the Parties consider adopting the following draft decisions aimed at assisting Parties in developing regions to better identify needs and meet the challenges and opportunities related to access to new information and communication technologies.

Directed to the Secretariat

16.A   The Secretariat shall, subject to the availability of external resources:

a)   undertake needs assessments, as appropriate, prior to the implementation of projects that may rely upon the use of new information and communication technologies, or that are dependent on the use of such technologies; and

b)   in order to assist Parties in determining how to best access and utilize new technologies, undertake a study of: the availability of infrastructure resources and technologies needed to implement the Convention; the use of appropriate technologies that have wide penetration in developing areas, such as hand-held devices and tablets; and the provision of off-the-shelf or ready-made electronic permitting systems that are affordable, such as UNEP-WCMC's Electronic Permit Information eXchange (EPIX). The report of the study, with recommendations as appropriate, should be provided to the Standing Committee for consideration.

Directed to the Standing Committee

16.B   The Standing Committee shall review the study undertaken by the Secretariat in compliance with Decision 16.A at its 66th meeting and formulate recommendations, as appropriate, for the Parties or for consideration at the 17th meeting of the Conference of the Parties.

DRAFT DECISIONS OF THE CONFERENCE OF THE PARTIES

**Technological, Logistical and Equipment Needs-Assessment to Strengthen
the Implementation of CITES in Developing Countries**

Directed to the Secretariat

16.AA   The Secretariat shall, by 15th April 2013, issue a Notification to the Parties containing the questionnaire Annexed to this Decision entitled *'Technological, Logistical and Equipment Needs Assessment For Strengthening the Implementation of CITES in Developing Countries'.*   The Secretariat shall compile the responses received into a report for submission to SC65.

Directed to the Standing Committee

16.BB   The Standing Committee, taking into account the report presented by the Secretariat to SC65 in accordance with Decision 16.xx, shall:

a)   with assistance from the Secretariat, develop a mechanism by which the technological, logistical and equipment needs of developing countries can be regularly assessed within CITES, and propose this mechanism for adoption at the 17th meeting of the Conference of the Parties.

b)   develop a recommendation for submission to the 17th meeting of the Conference of the Parties concerning the need for Parties to consider, as a priority, the identified needs of Developing Countries when implementing capacity-building, fundraising and budget allocation programmes within CITES, in order to strengthen implementation of the Convention;

c)   fully integrate the participation of interested developing countries in the implementation of paragraphs a) and b) above, including through the creation of a Working Group and the organization of an intersessional meeting as relevant.

d)   seek the assistance of the CITES Secretariat concerning issues relating to translation and interpretation in relation to the implementation of paragraphs a), b) and c) above, and for securing funds to organize an intersessionnal meeting, as necessary.

DRAFT CITES QUESTIONNAIRE

**Technological, Logistical and Equipment Needs Assessment for Strengthening
the Implementation of CITES in Developing Countries**

This Questionnaire has been approved by the 16th meeting of the Conference of the Parties.

The deadline for submission of responses is 31st December 2013. All responses should be submitted to the Secretariat: info@cites.org

Rationale

The purpose of this Questionnaire is, in particular, to help developing countries identify their technological, logistical and equipment needs in relation to strengthening their implementation of CITES. This will enable the Secretariat, Standing Committee and other Parties to focus on the priority requirements identified by developing countries as part of the process of funding, developing and implementing CITES capacity-building programmes.

This Questionnaire is primarily directed at developing countries, however, any CITES Party is welcome to contribute information to this questionnaire if it concerns the needs of developing countries.

Questionnaire

Please indicate, as far as possible, your prioritisation of needs for each category using the section entitled "Any further comments."

1. Country and Contact Details

    Country:

    Name:

    Position:

    Email:

    Telephone:

2. Technology:

    a) Does your CITES Management Authority have the following:

        i)   Reliable electricity supply (yes/no)

        ii)   Reliable internet access (yes/no)

        iii)   Access to reliable computer technology (yes/no)

        iv)   Access to up-to-date computer software such as Microsoft Office 2010

        v)   Access to up-to-date and CITES-relevant software

        vi)   Access to relevant IT training

        vii)   Access to timely IT support (departmental or contracted)

        viii) Please identify any other information technology issues that might represent challenges to the work of the CITES Management Authority in your country

        ix)   Any further comments

b) Does your CITES Scientific Authority have the following:

    i) Reliable electricity supply (yes/no)

    ii) Reliable internet access (yes/no)

    iii) Access to reliable computer technology (yes/no)

    iv) Access to up-to-date computer software such as Microsoft Office 2010

    v) Access to up-to-date and CITES-relevant software

    vi) Access to relevant IT training

    vii) Access to timely IT support (departmental or contracted)

    viii) Please identify any other information technology issues that might represent challenges to the work of the CITES Scientific Authority in your country

    ix) Any further comments

c) Do your customs and enforcement officers responsible for implementation of CITES have the following

    i) Reliable electricity supply (yes/no)

    ii) Reliable internet access (yes/no)

    iii) Access to reliable computer technology (yes/no)

    iv) Access to up-to-date computer software such a Microsoft Office 2010

    v) Access to up-to-date and CITES-relevant software such as the Green Parrot software

    vi) Access to CITES specimens identification technology (microchips technology; tagging technology, etc.)

    vii) Please identify any other technology issues that might represent challenges to the work of the CITES customs and enforcement officers responsible for implementation of CITES in your country:

    viii) Any further comments

3. Logistics

a) Does your CITES Management Authority have adequate resources to address the logistical challenges it may face in implementing CITES? For example:

    i) Does your CITES Management Authority have reliable and available transport to permit staff to attend relevant sites related to the implementation of the Convention such as :

      – international import and export centres;

      – sites where live animals may be bred or captured from the wild;

      – sites related to the evaluations needed for non-detriment findings

      – control sites for permitting and registration

    ii) Does your Management Authority have the resources that are necessary to potentially care for or inspect confiscated animals or to store confiscated specimens?

iii) Does your Management Authority have the resources that are necessary to contact the Management Authorities of other CITES Parties to collaborate or consult as relevant?

iv) Any further comments:

b) Does your CITES Scientific Authority have adequate resources to address the logistical challenges it may face in implementing CITES? For example:

i) Does your CITES Scientific Authority have reliable and available transport to permit staff to attend relevant sites related to the implementation of the Convention such as:

– international import and export centres;

– sites where live animals may be bred or captured from the wild;

– sites related to the evaluations needed for non-detriment findings

– control sites for permitting and registration

i) Does your Scientific Authority have the resources that are necessary to potentially care for or inspect confiscated animals or store confiscated specimens?

ii) Does your Scientific Authority have the resources that are necessary to contact the Scientific Authorities of other CITES Parties to collaborate or consult as relevant?

iii) Any further comments:

c) Do your customs and enforcement officers have adequate resources to address the logistical challenges they may face in implementing CITES? For example:

i) Do your customs and enforcement officers have reliable and available transport to permit staff to attend relevant sites related to the implementation of the Convention such as :

-possible buildings where confiscated goods are stored ;

-possible rescue centers

-control sites

ii) Do your customs and enforcement officers have the resources that are necessary to potentially care for or inspect confiscated animals or to store confiscated specimens?

iii) Do your customs and enforcement officers have the resources that are necessary to reliably contact the CITES Management Authority and/or the CITES Scientific Authority to seek their advice during controls if relevant?

iv) Any further comments:

4. Equipment

a) Does your CITES Management Authority have adequate equipment in order to carry out its responsibilities?

i) Office

ii) Office supplies and equipment

iii) Communications equipment

iv) CITES identification manuals

v) Outreach and education materials (posters, booklets, etc.)

vi) Any further comments:

b) Does your CITES Scientific Authority have adequate equipment in order to carry out its responsibilities?

i) Office

ii) Office supplies and equipment

iii) Communications equipment

iv) CITES identification manuals

v) Outreach and education materials (posters, booklets, etc.)

vi) Any further comments:

c) Do your customs and enforcement officers have adequate equipment in order to carry out its responsibilities?

i) Office

ii) Office supplies and equipment

iii) Communications equipment

iv) CITES identification manuals

v) Manuals explaining the CITES procedures (permit controls, confiscations, etc.)

vi) Outreach and education materials (posters, booklets, etc.)

vii) Protective gear for the manipulation of confiscated specimens (gloves, goggles, over-garments or aprons, first aid kits, etc.)

viii) Equipment linked to the confiscation of live animals (cages, nets, tranquilizers, veterinary supplies and equipment, etc.)

ix) Equipment used to store confiscated specimens (containers, cold storage, etc.)

x) Equipment necessary to forensics investigations (DNA analyses, etc.)

xi) Equipment necessary to arrests and imprisonment

xii) Any further comments: