

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



Sixty-sixth meeting of the Standing Committee  
Geneva (Switzerland), 11-15 January 2016

Strategic matters

Capacity-building

NEEDS ASSESSMENT FOR STRENGTHENING THE IMPLEMENTATION OF CITES  
REPORT OF THE WORKING GROUP

*This document has been revised to incorporate corrections made to Annex 1, pages 5, 10 and 15 as announced by the author (Australia) at the 6th session of SC66.*

1. This document has been submitted by Australia, as Chair of the Standing Committee Working Group on Needs Assessment for Strengthening the Implementation of CITES.\*

Background

2. At its 16th meeting (Bangkok, 2013), the Conference of the Parties adopted a number of interrelated Decisions on capacity building, notably Decisions 16.30 and 16.31 which focus on *Needs assessment for strengthening the implementation of CITES* as follows:

***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.*

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\* *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.*

### **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. In light of the above, the Secretariat revised the questionnaire contained in the Annex to document CoP16 Doc. 22 (Rev. 1) and, on 26 March 2014, issued Notification 2014/013 on *Needs assessment for strengthening the implementation of CITES*, inviting Parties to complete the questionnaire and to return it to the Secretariat.
4. At the 65<sup>th</sup> meeting of the Standing Committee, the Secretariat reported 31 responses to the questionnaire, and the Standing Committee agreed to a three-month extension of the deadline for more Parties to submit their responses to the questionnaire. The Standing Committee also created a working group on the development of a mechanism to assess the needs of Parties.
5. At the time of writing (October 2015), the Secretariat reported that 15 additional responses have brought the total number of responses to the questionnaire to 46. The following Parties responded: Algeria, Australia, Austria, Bahamas, Bangladesh, Bolivia (Plurinational State of), Brazil, Burkina Faso, Chad, Chile, China, Comoros, Croatia, Fiji, Gabon, Greece, Guinea, Guinea-Bissau, Guyana, Japan, Kenya, Liberia, Madagascar, Mali, Mauritania, Montenegro, Namibia, New Zealand, Norway, Pakistan, Papua new Guinea, Philippines, Samoa, Senegal, Solomon Islands, South Africa, Switzerland, Thailand, Tunisia, United Arab Emirates, United Kingdom of Great Britain and Northern Ireland, United States of America, Uruguay, Vanuatu, Viet Nam, and Zambia.

### Needs assessment questionnaire results

6. The summary of responses to the needs assessment questionnaire is provided in the Annex to this document. To facilitate the evaluation of responses, they were divided into two groups: responses from Parties that are developed countries; and responses from Parties that are developing countries or countries with economies in transition.
7. Although the limited response rate means the results of the questionnaire must be interpreted with caution, the responses indicate some common trends and needs including in relation to staffing, training, infrastructure and technologies.
8. Staffing was highlighted in the questionnaire as a significant need amongst both developing and developed countries. Fewer than 25 per cent of responding developing countries and fewer than 50 per cent of responding developed countries reported that their Enforcement Authorities have staff in numbers adequate to effectively implement the Convention. Interestingly, responses of both developing and developed countries were similar in relation to staffing levels of Scientific Authorities –around 30 per cent of respondents with a permanent Scientific Authority in place, and around 40 per cent of respondents with non-permanent experts or a committee of experts in place, reported that staffing numbers were sufficient to fulfil that Authority's responsibilities.
9. Fourteen per cent of responding developing countries (compared to more than 60 per cent of developed countries) reported that their Management Authority has access to the resources necessary to effectively house, inspect and store confiscated specimens.

10. Around 30 per cent of responding developing countries indicated that their Scientific Authority has access to resources necessary to undertake population surveys and other activities to make non-detriment findings or establish quotas. Less than 50 per cent have transportation to conduct field work and consult stakeholders, or the expertise and resources to collect, analyse and store data in relation to non-detriment findings.
11. While most respondents indicated they had access to computers to undertake their work, technical specifications of workstations are highlighted by developing countries as being inadequate. Only around a third of developing country Management and Scientific Authority respondents, and a quarter of developing country Enforcement Authority respondents, reported use of a database system to maintain relevant data on CITES. Microsoft Excel spreadsheets were reported as the most widely used database software for permit forms by both developed and developing countries. Notably, tablets are used at a much higher rate by developing as compared to developed countries.
12. For further details on the responses to the questionnaire, see the summary document at Annex I.
13. As Oceania representative to the Standing Committee, Australia intends to analyse the information that has been provided by Oceania Parties in response to the questionnaire, as well as trade information from the CITES Trade Database and information that was generated through a workshop on implementation of CITES in the region, with a view to working with Parties and non-Parties in the region, as well as regional organisations such as the Secretariat of the Pacific Regional Environment Programme (SPREP) to develop a region-wide profile of capacity and needs which can then guide development of project proposals to support effective implementation of CITES in the region, should resourcing become available.

#### Development of a mechanism to regularly assess needs of Parties

14. External financial resources have not been provided 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).
15. Given the absence of financial support and the low response rate to the questionnaire, particularly from developing nations, the Working Group has concluded that an ongoing mechanism set up specifically to seek information from Parties on their capacity and needs might be burdensome and is likely to fail to achieve its remit.
16. The Working Group was also mindful of the mandate of the Special Reporting Requirements Working Group, such that additional reporting requirements should be avoided and where possible existing reporting mechanisms should be utilised, in order to streamline information requests and reduce administrative burden on Parties.
17. As such, the Working Group proposes that the CITES implementation report, recommended to be introduced in 2018, be the key source of ongoing information regarding Parties' needs and capacity in relation to implementation of the Convention.

#### Recommendations

18. The Working Group invites the Standing Committee to:
  - a) Take note of the Secretariat's summary of Parties' responses to the questionnaire on *Needs assessment for strengthening the implementation of CITES*;
  - b) Agree that the implementation report (which will replace the current biennial report) be utilised as a mechanism by which the Secretariat regularly gather information about Parties' capacity and needs.

## **Logistical, Technological and Equipment Needs Assessment to Strengthen the Implementation of CITES**

The Conference of the Parties, in Decision 16.30, directed the Secretariat to seek information from the Parties related to 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*. It further directed the Secretariat to report its findings at SC65.

Information from Parties was requested through a questionnaire circulated with Notification 2014/013 to CITES Management Authorities, Scientific Authorities and Enforcement Authorities.

This document presents a review of the information submitted by Parties in response to the questionnaire. It is intended to provide a guide to discussions on strengthening the capacity of Parties to implement CITES.

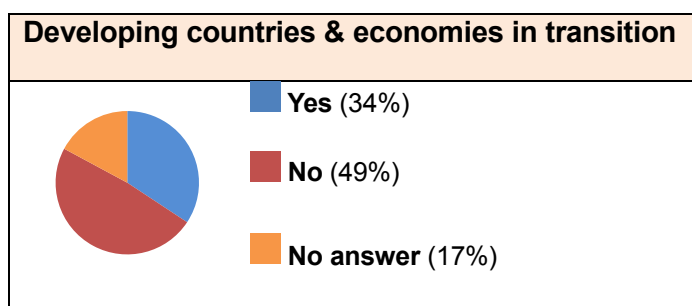
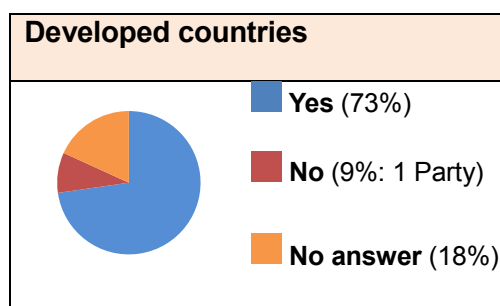
It has not been possible to complete a detailed and comprehensive analysis of the logistical, technological and equipment needs of CITES Parties as information was provided by a relatively small number of Parties. Little information was submitted by Parties in the Asia, Central and South America, and the Caribbean regions. However sufficient information has been provided to allow broad insight into the challenges faced by Parties in implementing CITES and to identify measures to address implementation of needs.

## Summary of submissions by Parties in response to questionnaire to Management Authorities

Region (number of Parties)	Parties responded	Number of respondents	Response rate	% of total submissions
Africa (52)	Algeria, Burkina Faso, Chad, Comoros, Gabon, Guinea, Guinea-Bissau, Kenya, Liberia, Madagascar, Mali, Mauritania, Namibia, Senegal, South Africa, Tunisia, and Zambia	17	33%	37%
Asia (38)	Bangladesh, China, Japan, Pakistan, Philippines, Thailand, United Arab Emirates, and Viet Nam	8	21%	17%
Central and South America and the Caribbean (31)	Bahamas, Bolivia, Brazil, Chile, Guyana and Uruguay	6	19%	13%
Europe (48)	Austria, Croatia, Greece, Montenegro, Norway, Switzerland, and the United Kingdom of Great Britain and Northern Ireland	7	15%	15%
North America (3)	United States of America	1	33%	2%
Oceania (8)	Australia, Fiji, New Zealand, Papua New Guinea, Samoa, Solomon Islands, and Vanuatu	7	88%	15%
<b>Total (180)<sup>1</sup></b>		<b>46</b>	<b>26%</b>	<b>100%</b>

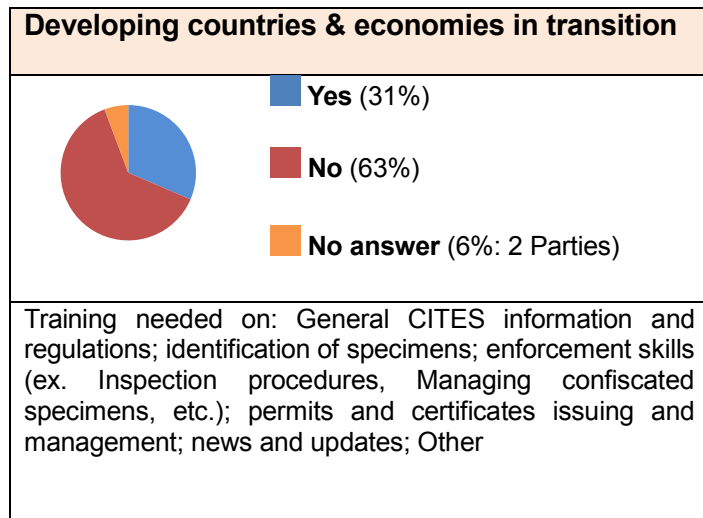
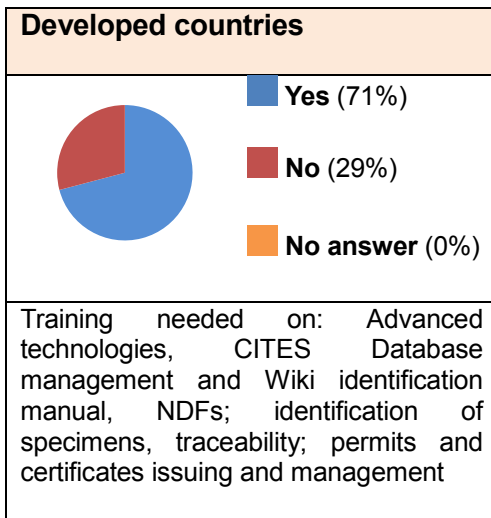
### 1. Logistics and infrastructure

i. Does your Management Authority have sufficient numbers of staff to fulfill its responsibilities?

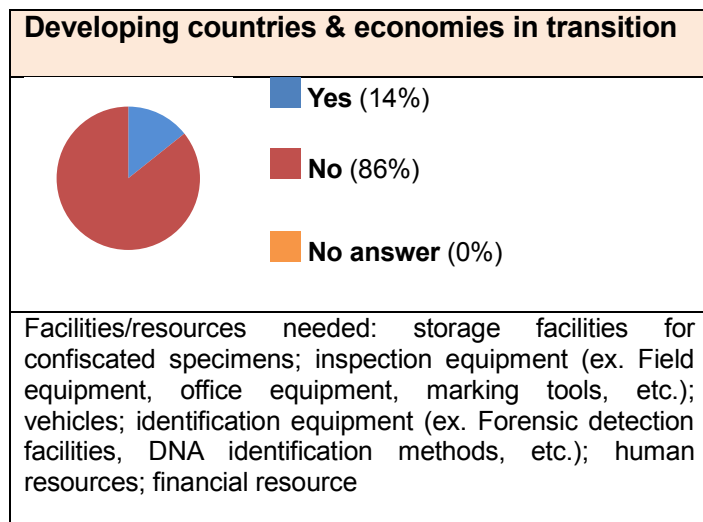
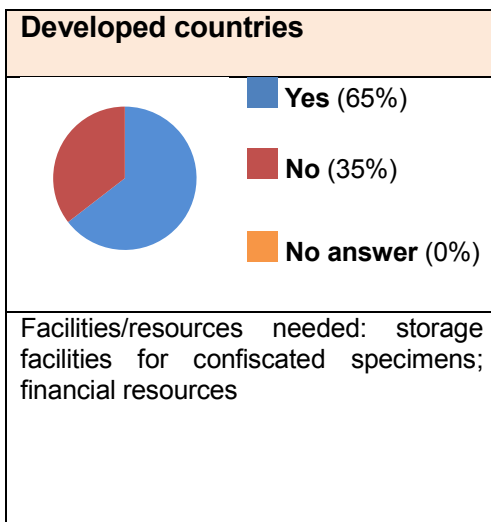


<sup>1</sup> The total number of Parties excludes the European Union, who was not yet Party to CITES at the time of the Notifications.

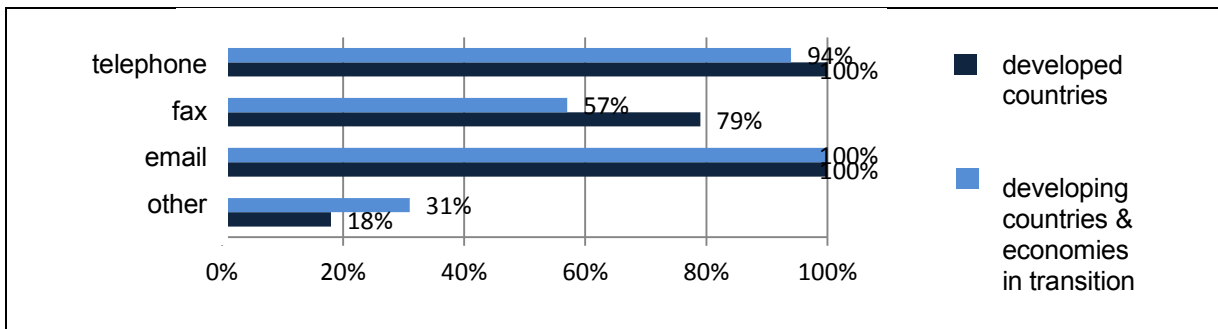
ii. Are the training levels of staff sufficient? If no, type of training needed:



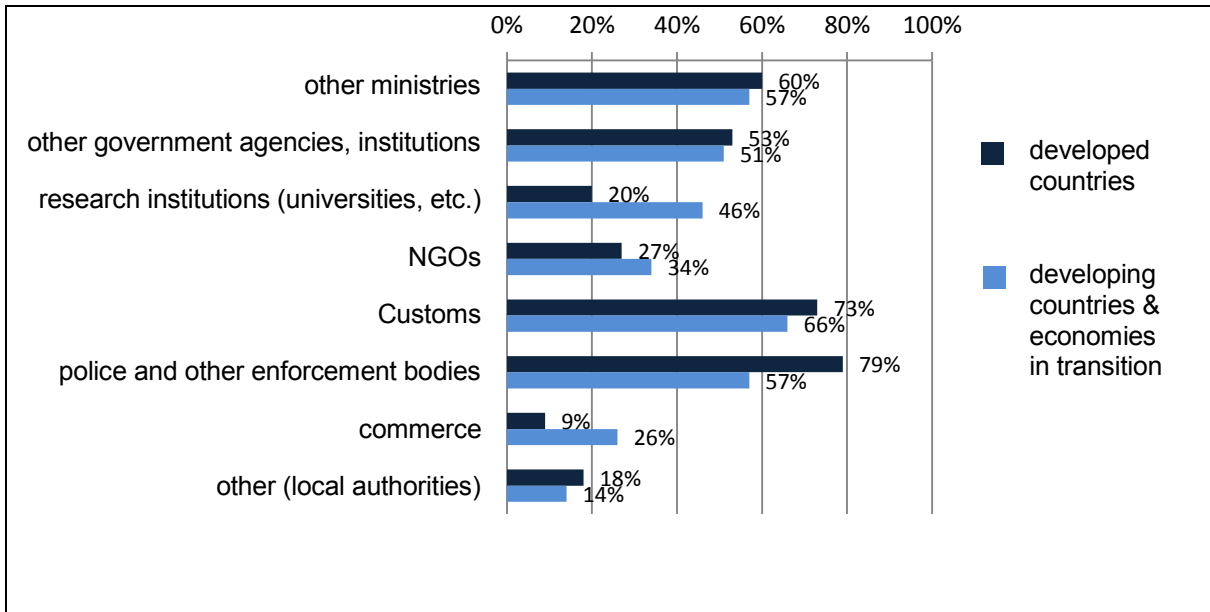
iii. Does your Management Authority have the necessary resources to potentially inspect, house and store confiscated specimens? If no, type of facility/resource needed:



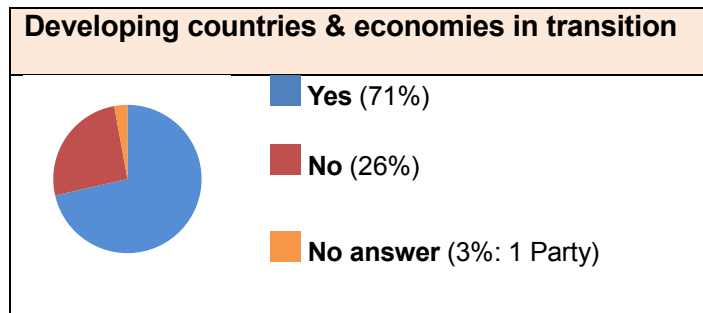
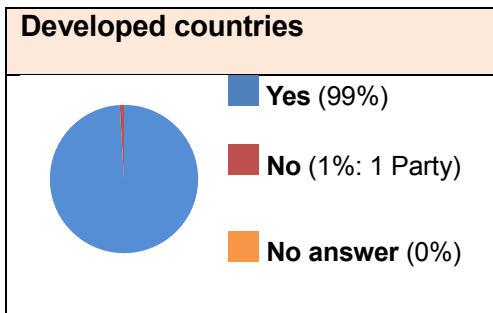
iv. Does your Management Authority have a well-functioning system of communication with other CITES Authorities and relevant government officials at the national and international level? (check all applicable boxes)



v. Does the Management Authority share permit and other relevant data on CITES with other government ministries and departments? (check all applicable boxes)

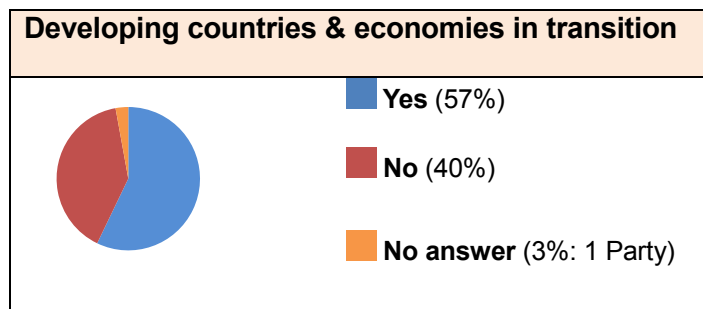
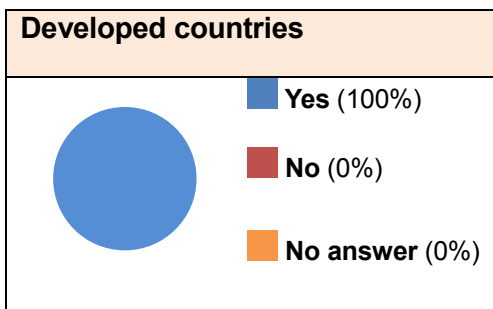


vi. Does your Management Authority have sufficient resources to ensure timely and secure CITES permit/certificate issuance?

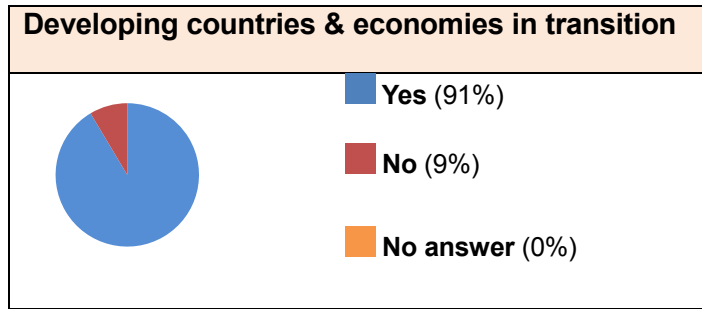
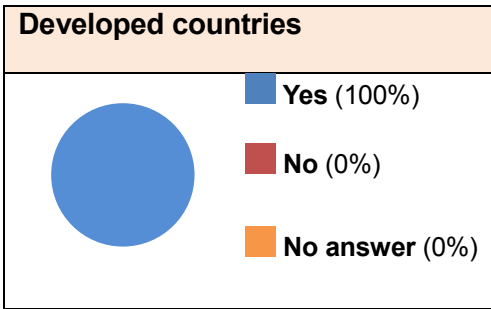


## 2. Technologies and equipment

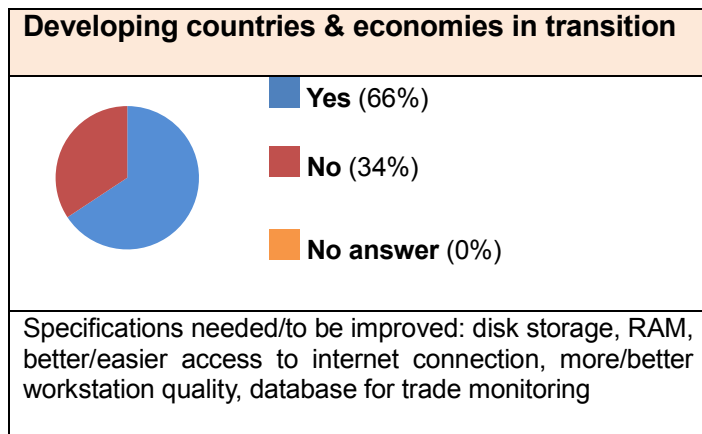
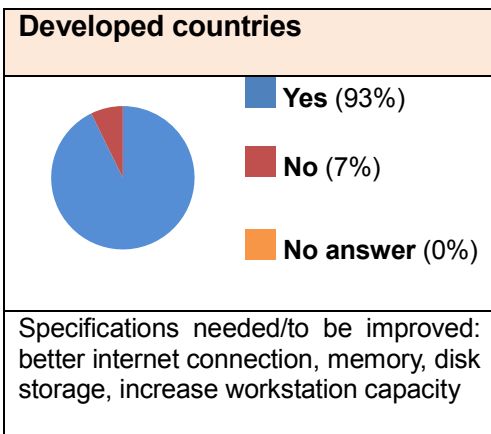
i. Does your Management Authority have adequate computer and networking technologies and equipment to carry out its responsibilities?



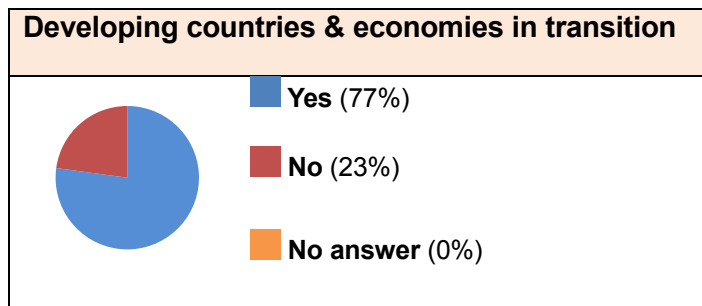
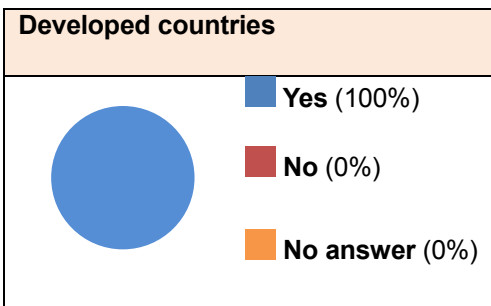
ii. Does your staff have access to office computers?



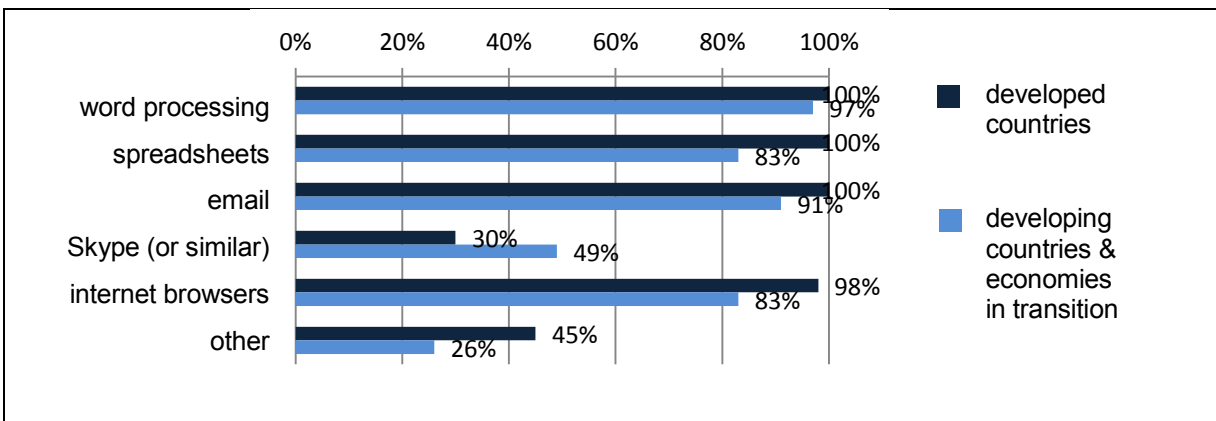
a. Are the technical specifications of the workstations sufficient to meet your work needs (memory, disk storage, speed, etc.)? If no, what specifications need to be improved?



b. Do staff have access to the Internet?



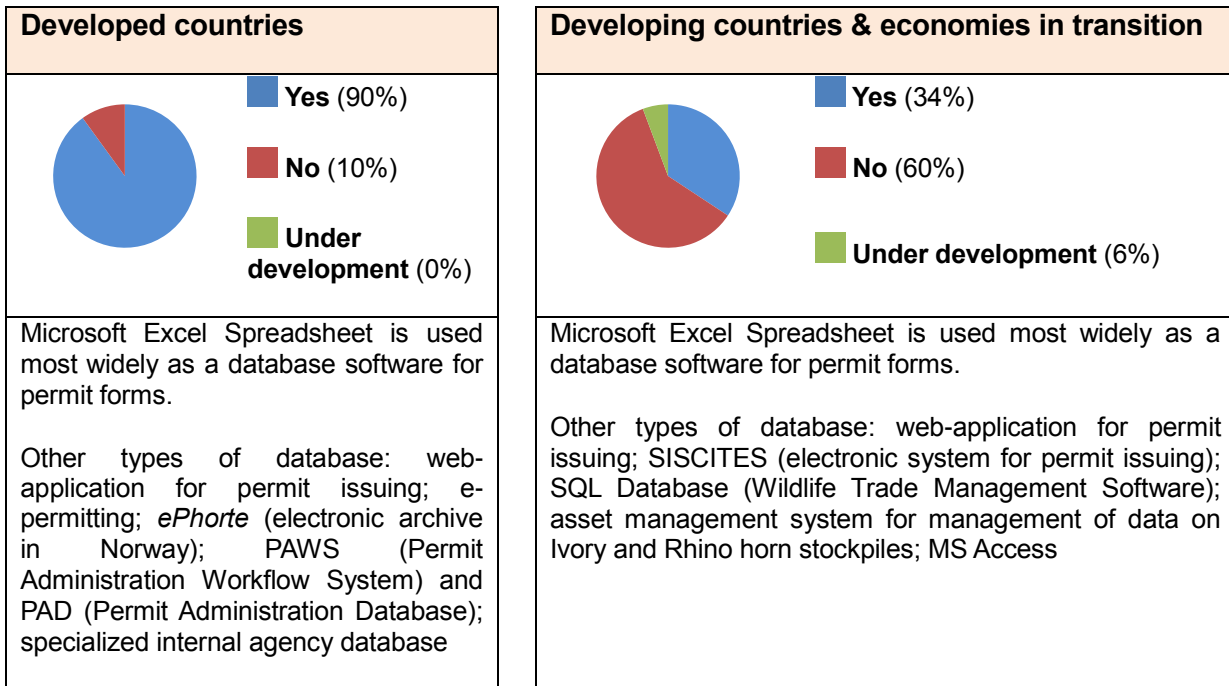
c. Are the computers configured with the necessary software to allow you to complete your tasks? (check all that apply)



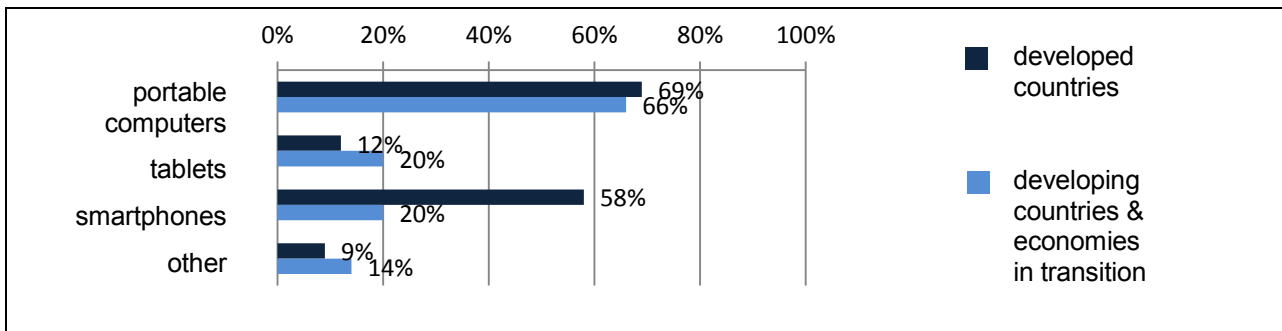


iii. Is a database system used to maintain relevant data on CITES meet the CITES requirements, including electronic management tools and electronic trade documentation?

If yes, what type of database:



iv. Does staff have access to new information and communication devices?



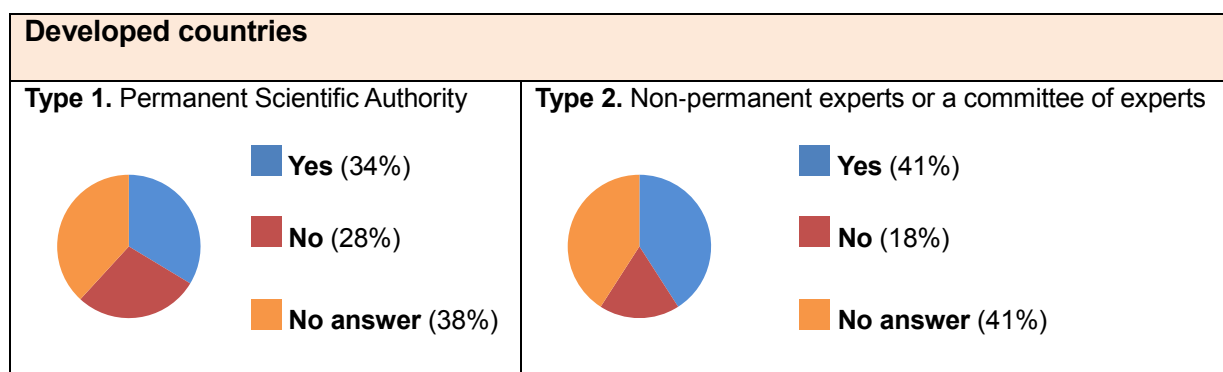
## Summary of submissions by Parties in response to Questionnaire to Scientific Authorities

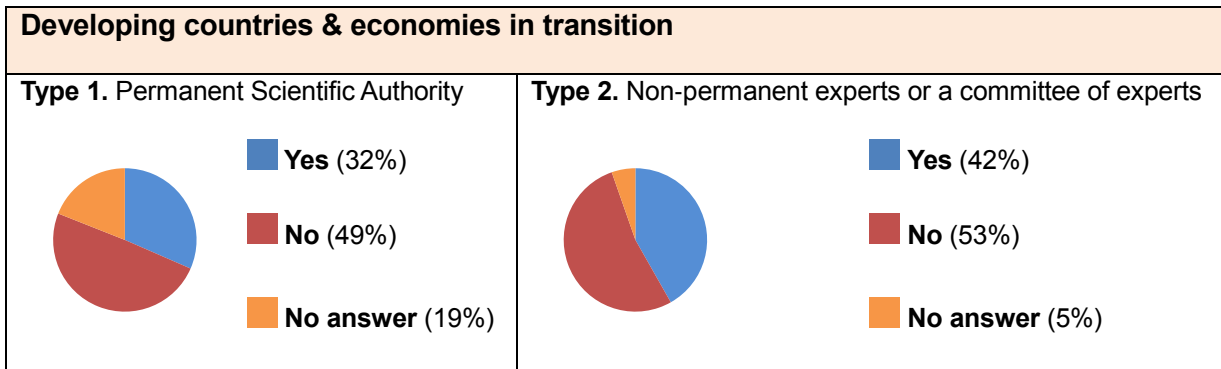
Region (number of Parties)	Parties responded	Number of respondents	Response rate	% of total submissions
Africa (52)	Algeria, Burkina Faso, Comoros, Guinea, Kenya, Liberia, Madagascar, Mali, Mauritania, South Africa, Tunisia, and Zambia	12	23%	32%
Asia (38)	Bangladesh, China, Japan, Pakistan, Philippines, Thailand, United Arab Emirates, and Viet Nam	8	21%	21%
Central and South America and the Caribbean (31)	Bahamas, Bolivia, Brazil, Chile, Guyana and Uruguay	6	19%	16%
Europe (48)	Austria, Croatia, Greece, Norway, Switzerland and the United Kingdom of Great Britain and Northern Ireland	6	13%	16%
North America (3)	United States of America	1	33%	3%
Oceania (8)	Australia, Fiji, New Zealand, Samoa, and Solomon Islands	5	63%	13%
<b>Total (180)</b>		<b>38</b>	<b>21%</b>	<b>100%</b>

### 1. Logistics and infrastructure

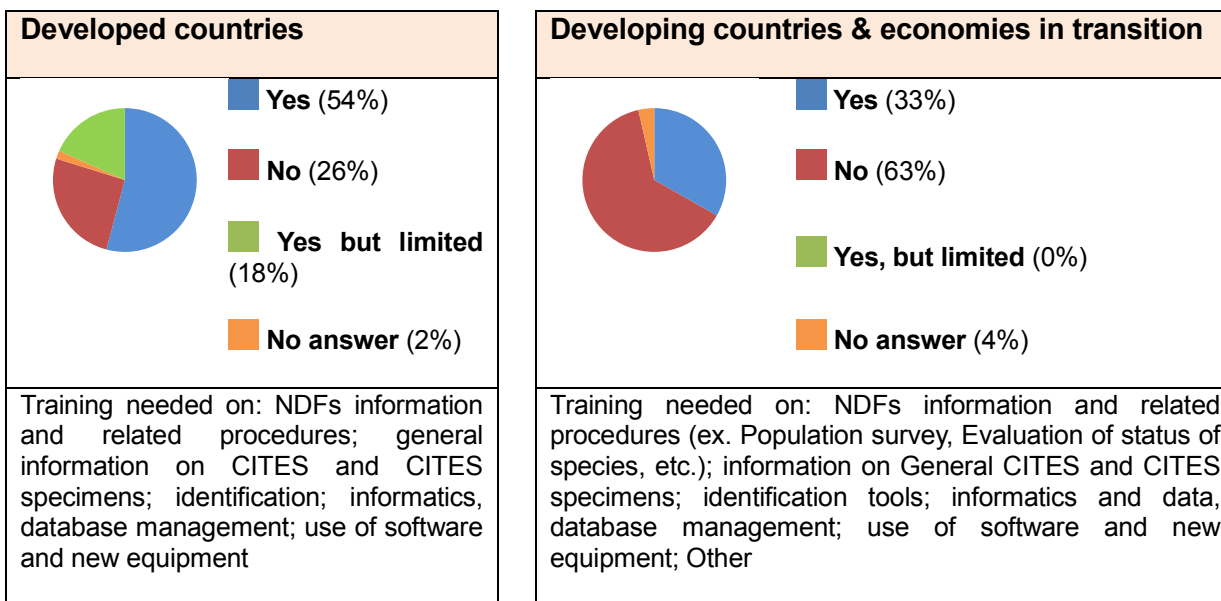
i. **[Type 1]** In case you have a permanent Scientific Authority with dedicated staff, does it have sufficient numbers of staff to fulfill its responsibilities?

**[Type 2]** In case your Scientific Authority consists of non-permanent experts or a committee of experts, do the members of the Scientific Authority have the expertise and resources to function and advise effectively?

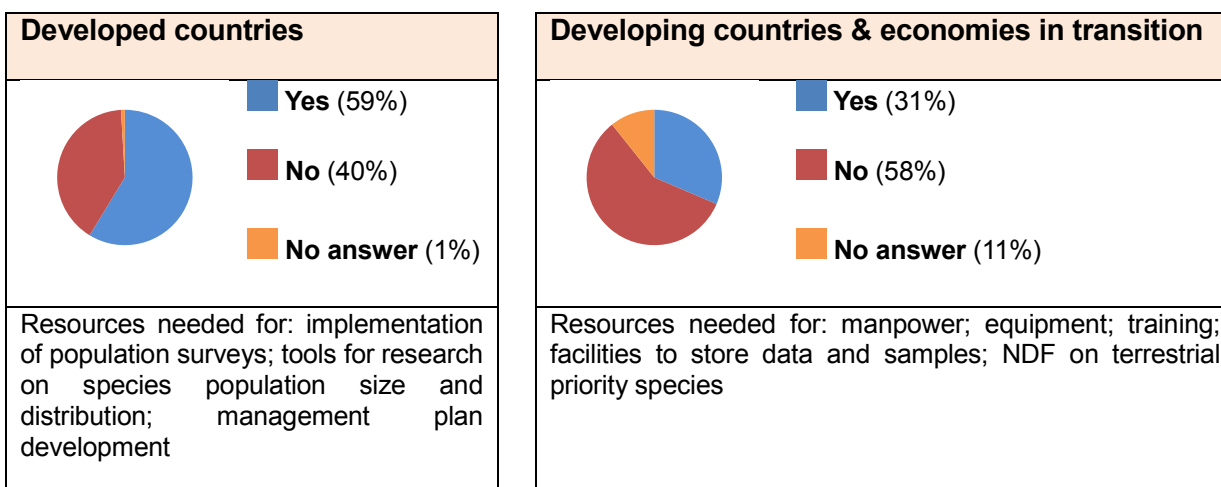




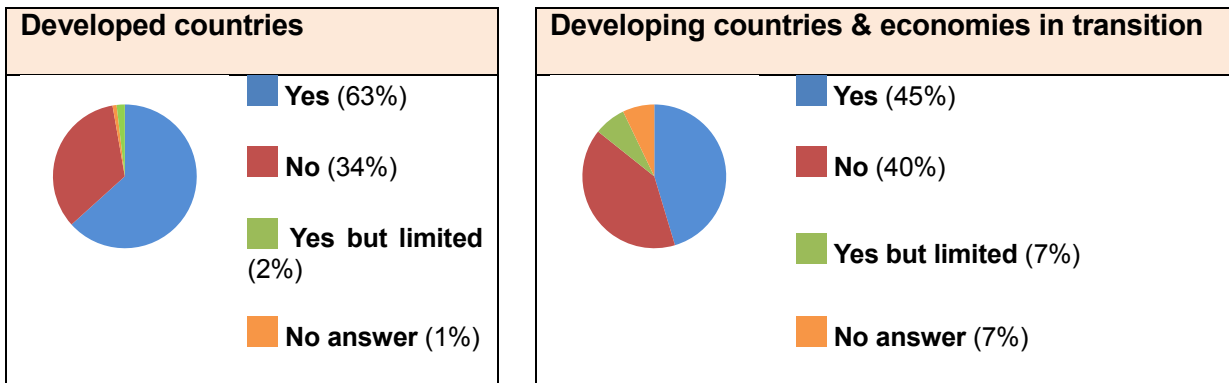
ii. Do members of your Scientific Authority have access to scientific training programmes to update their skills and to introduce them to new methodologies and equipment?



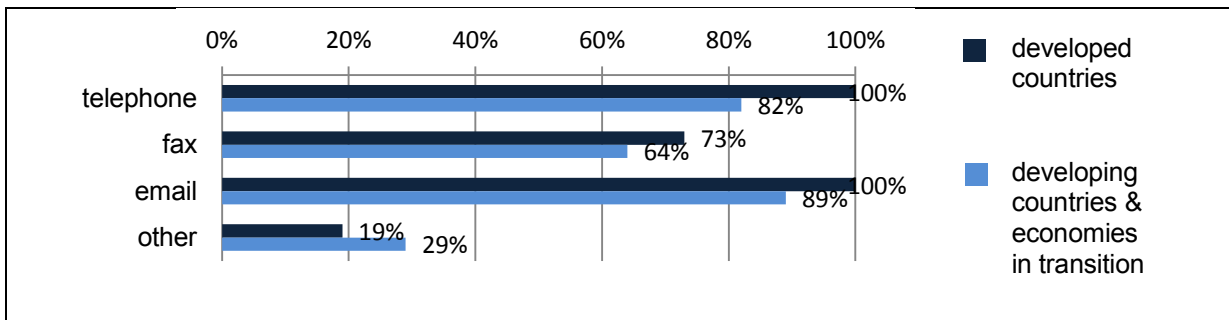
iii. Does your Scientific Authority have the necessary resources to organize and undertake studies on population surveys and other activities to make non-detriment findings or establish quotas?



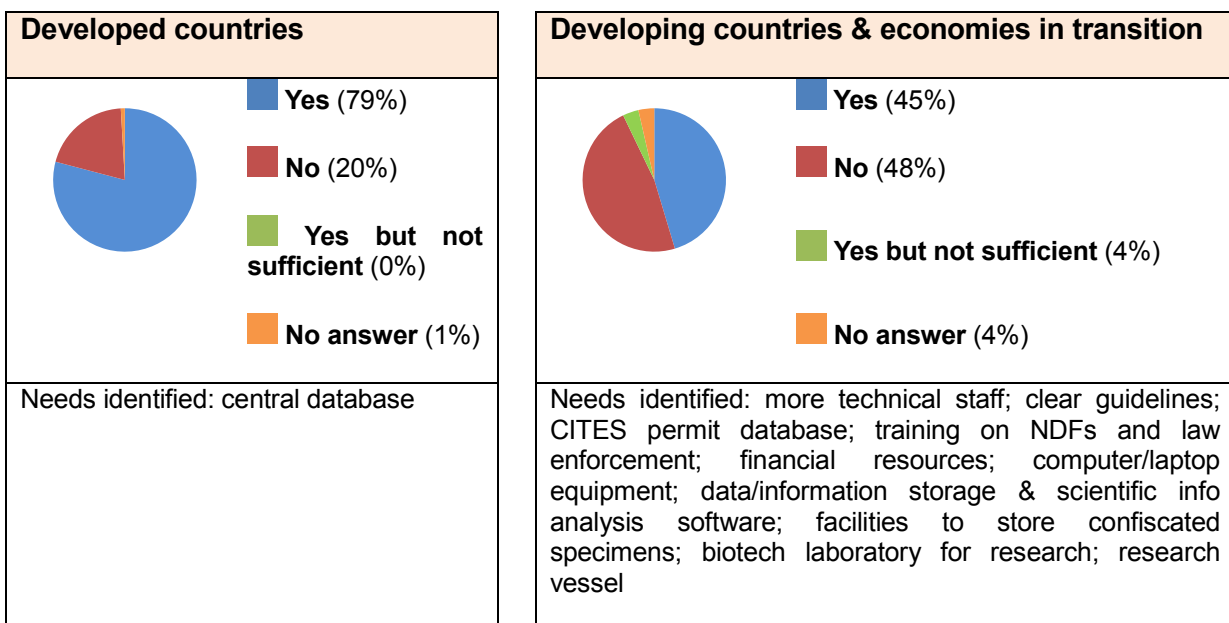
iv. Does your Scientific Authority have the means of transportation to conduct population surveys or other relevant field work, visit or consult stakeholders, and other activities associated with non-detriment findings?



v. Does your Scientific Authority have a well-functioning system of communication with CITES Authorities and relevant government officials at the national and international levels? (check all applicable boxes)

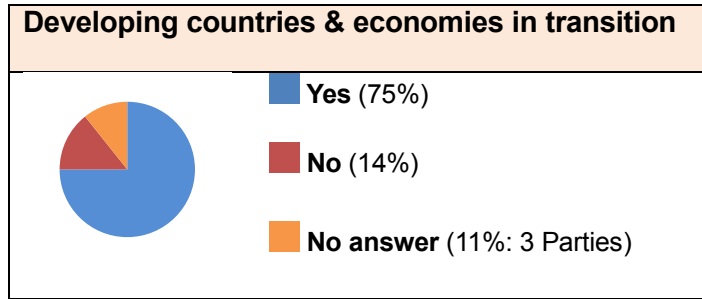
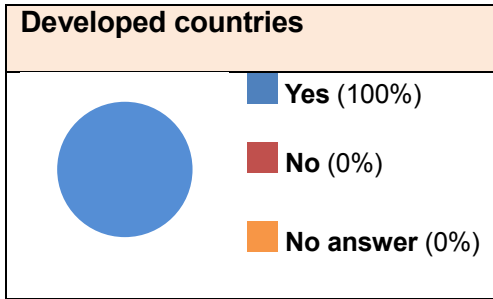


vi. Does your Scientific Authority have the necessary expertise and resources to collect, analyse and store data and information used for and derived from non-detriment findings?

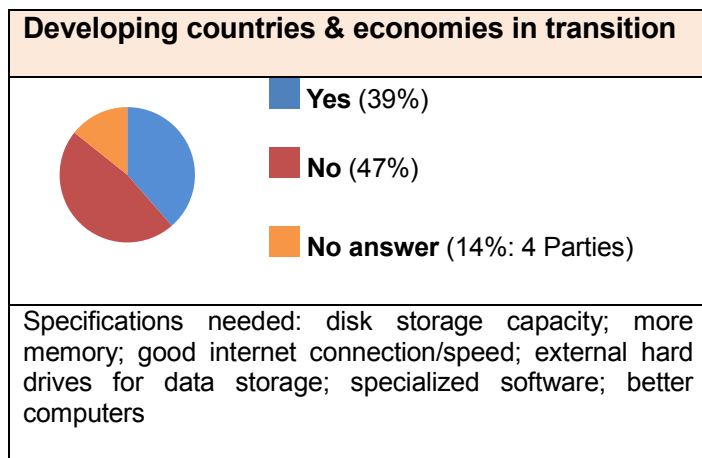
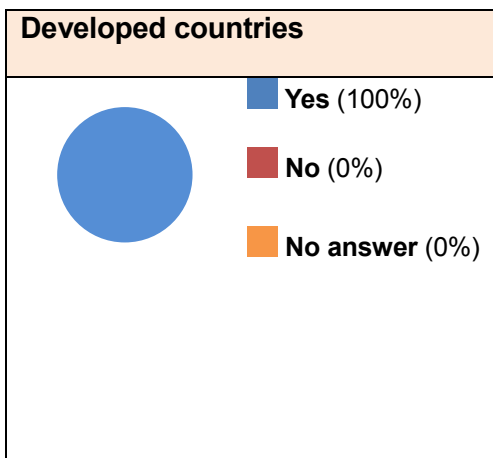


## 2. Technologies and equipment

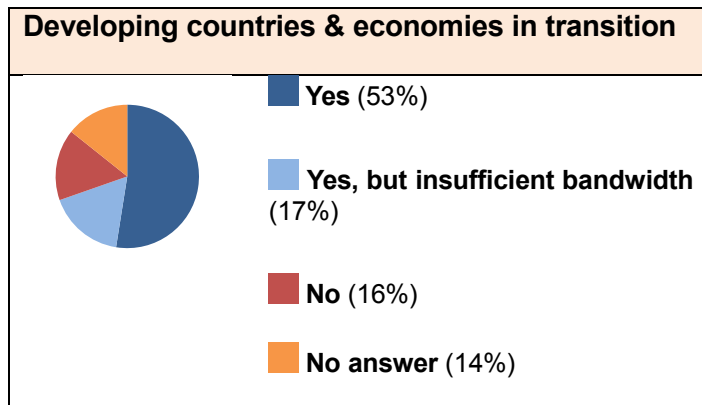
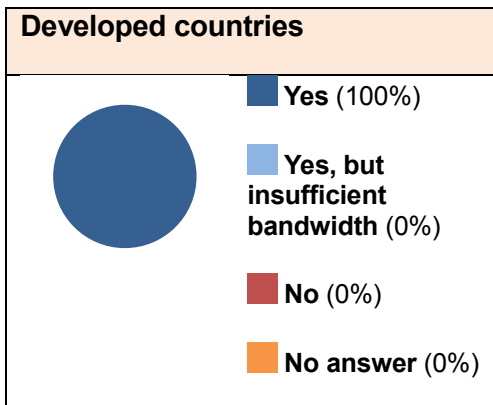
i. Does your Scientific Authority have access to computers in the office?



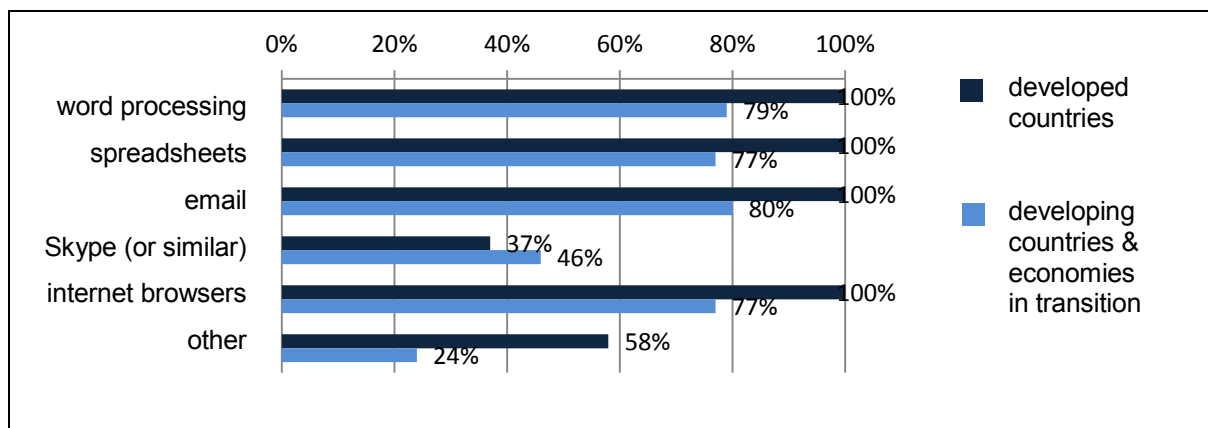
a. Are the technical specifications of the workstations sufficient to meet your Scientific Authority's work requirements (memory, disk storage, speed, etc.), particularly with regard to manipulating and analysing data, downloading and storing information, using modelling software and other software applications that may require specific computer specifications?



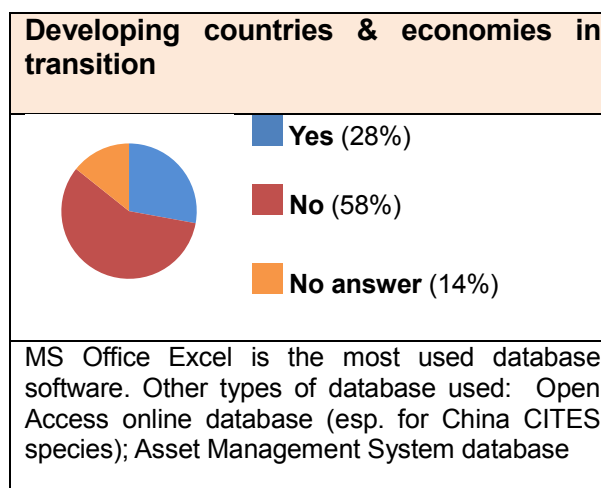
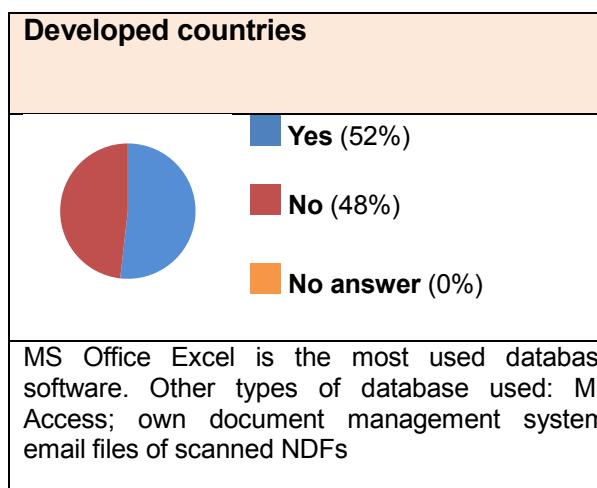
b. Do staff have access to the Internet? If yes, is the bandwidth sufficient for your needs?



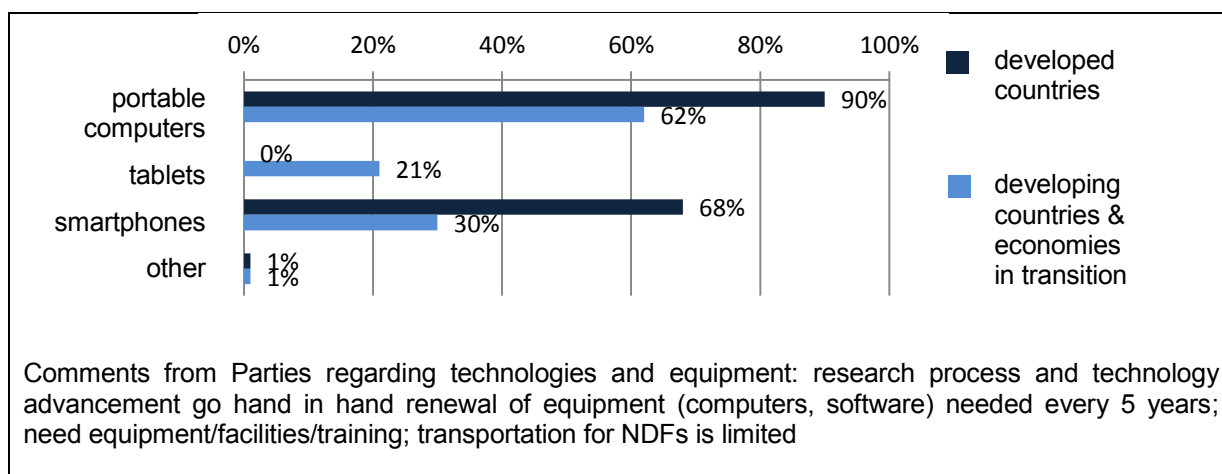
c. Are the computers configured with the necessary software to allow you to complete your tasks?  
(check all that apply)



ii. Do you have a database system to store and maintain relevant data on CITES and does it meet your department's needs with respect to electronic management tools and electronic trade documentation? If yes, what type of database:



iii. Do members of your Scientific Authority have access to new electronic information and communication devices such as :

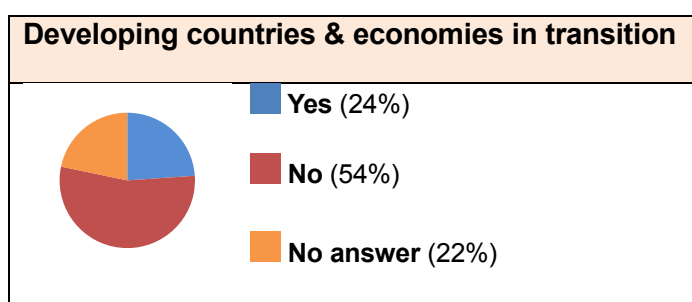
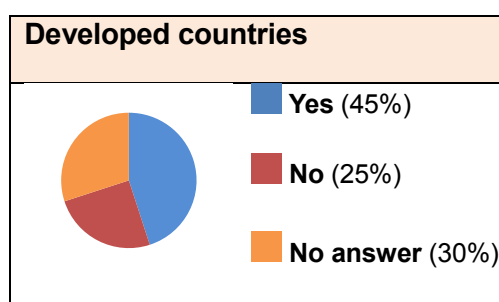


## Summary of submissions by Parties in response to questionnaire to Enforcement Authorities

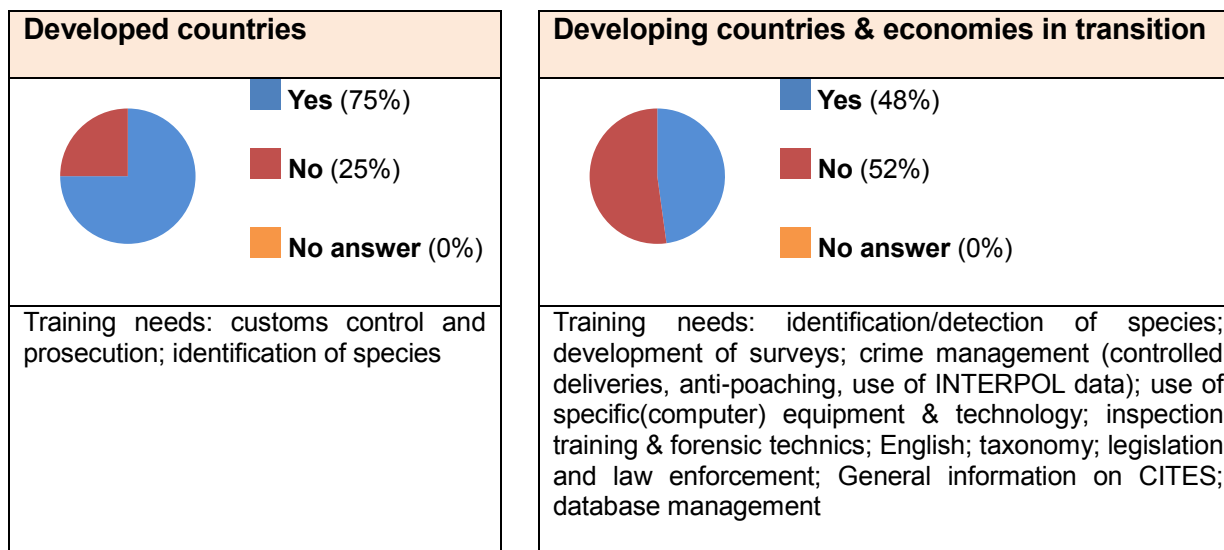
Region (number of Parties)	Parties responded	Number of respondents	Response rate	% of total submissions
Africa (52)	Algeria, Chad, Comoros, Guinea, Guinea-Bissau, Kenya, Madagascar, Mali, Namibia, Mauritania, South Africa, and Zambia	12	23%	38%
Asia (38)	Bangladesh, China, Japan, Pakistan, Philippines, and United Arab Emirates	5	13%	16%
Central and South America and the Caribbean (31)	Bahamas, Brazil, Chile and Uruguay	4	13%	13%
Europe (48)	Austria, Croatia, Greece, Norway and Switzerland	5	10%	16%
North America (3)	United States of America	1	33%	3%
Oceania (8)	Australia, Fiji, New Zealand, Papua New Guinea, Samoa	5	63%	16%
<b>Total (180)</b>		<b>32</b>	<b>18%</b>	<b>100%</b>

### 1. Logistics and infrastructure

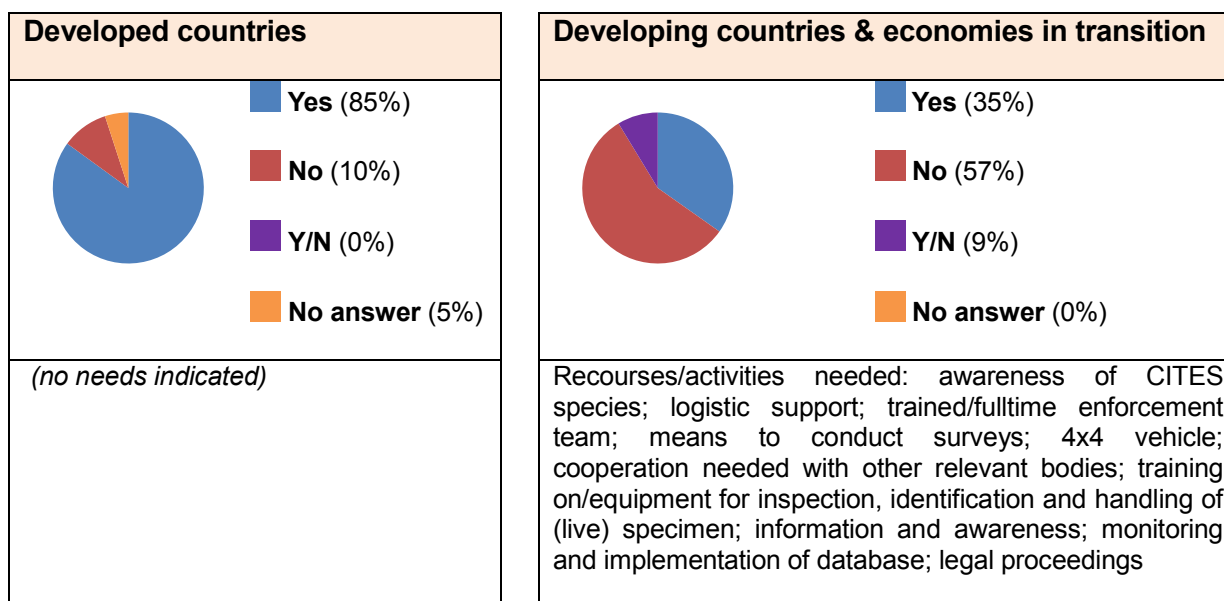
i. Do you have sufficient numbers of staff to fulfill your responsibilities?



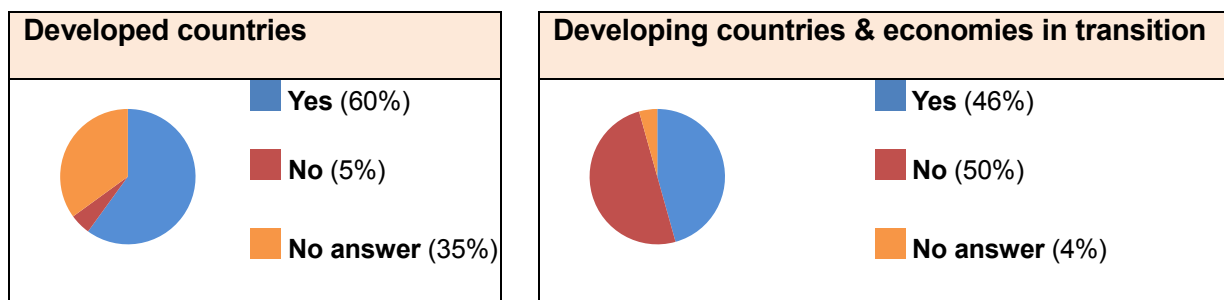
ii. Does your staff have access to enforcement training programmes specifically related to illegal wildlife trade to update skills and to introduce new methodologies and equipment?



iii. Does your Enforcement Authority have the necessary resources to undertake inspections, border controls, seizures, investigations, and other enforcement-related activities?

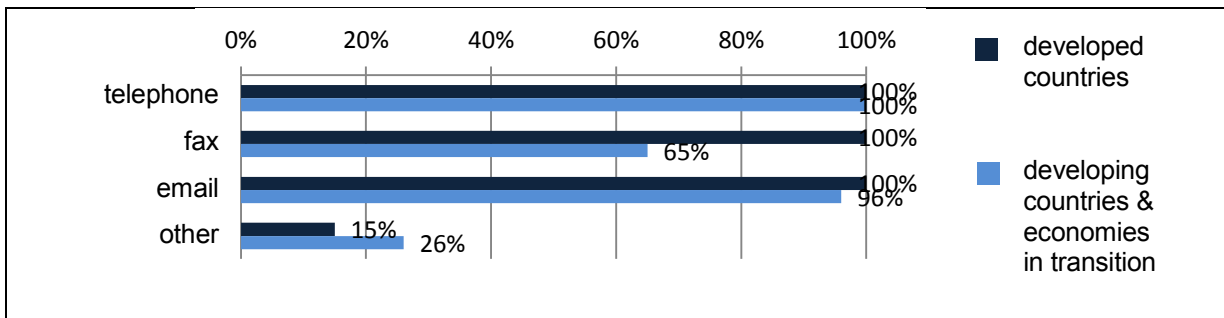


iv. Does your Enforcement Authority have the means or transportation to reach areas to conduct inspections, border controls, seizures, investigations, and other enforcement-related activities?

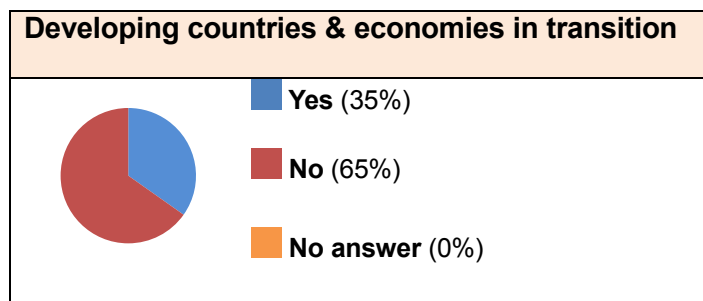
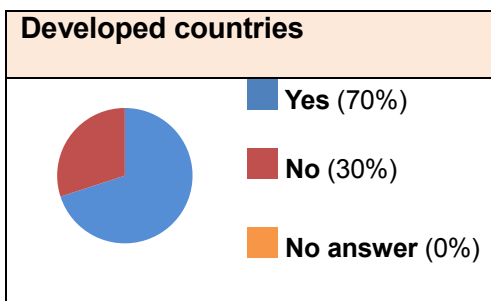




v. Does your Enforcement Authority have a well-functioning system of communication with other CITES Authorities and relevant government officials at the national and international level? (check all applicable boxes)

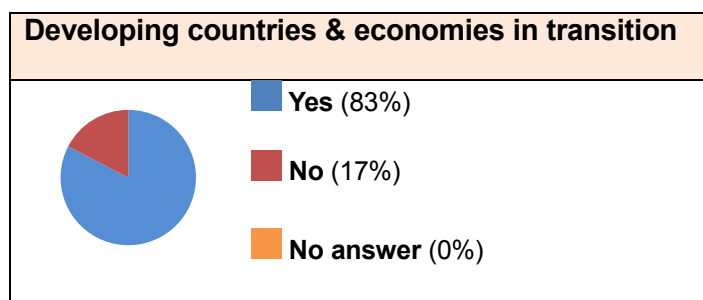
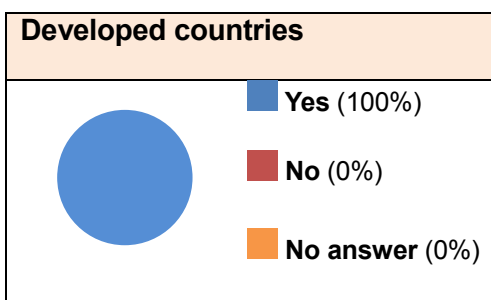


vi. Does your Enforcement Authority have the necessary expertise and resources to collect, analyse and store data and information used for and derived from enforcement-related activities?

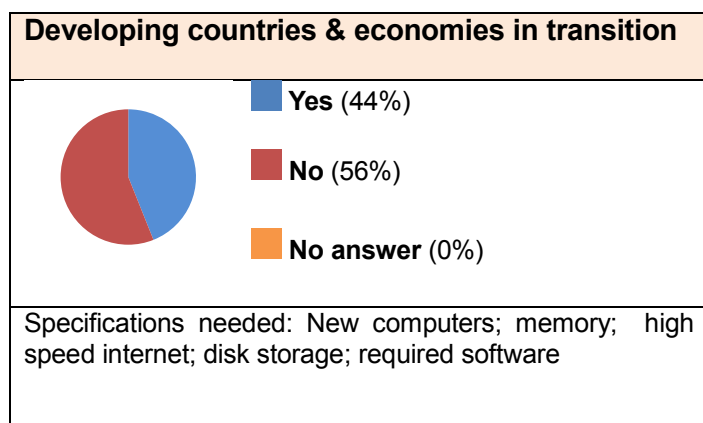
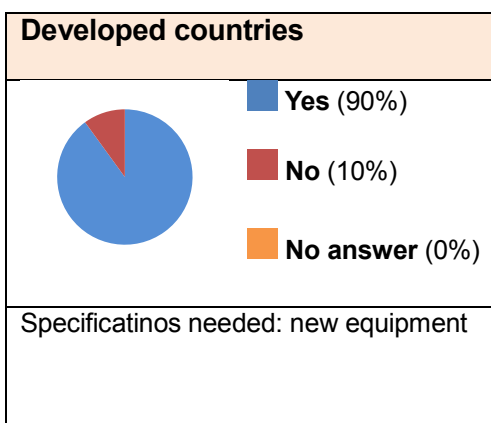


## 2. Technologies and equipment

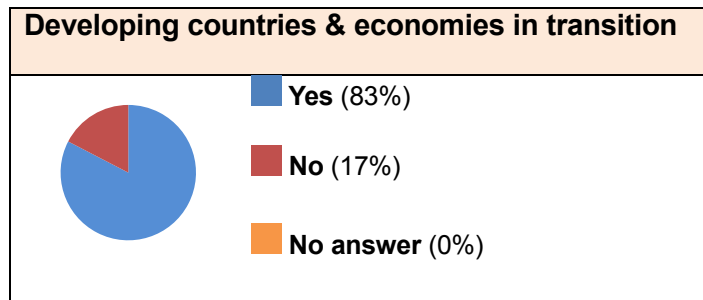
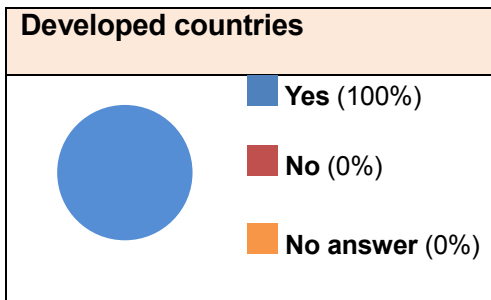
i. Does your staff have access to office computers?



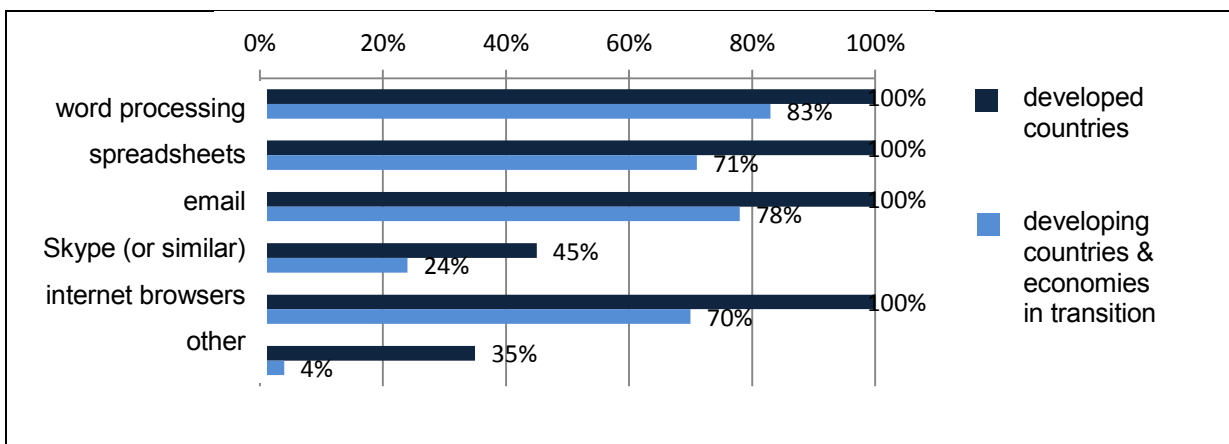
a. Are the technical specifications of the workstations sufficient to meet your work requirements?



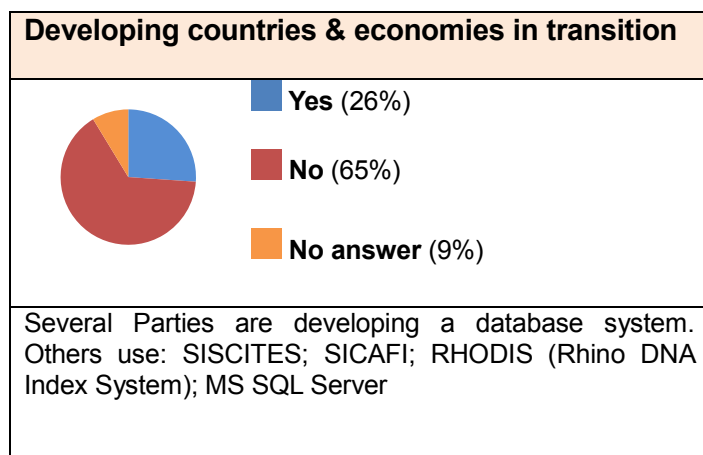
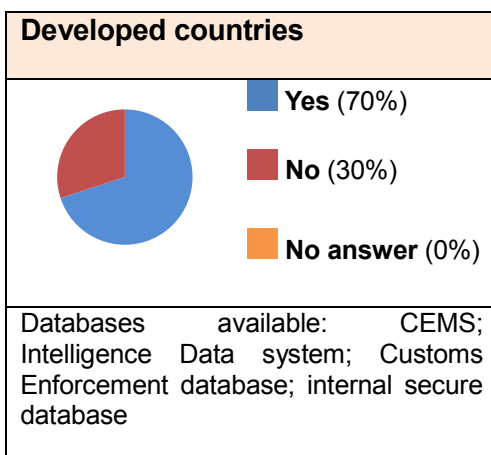
b. Does your staff have access to the Internet?



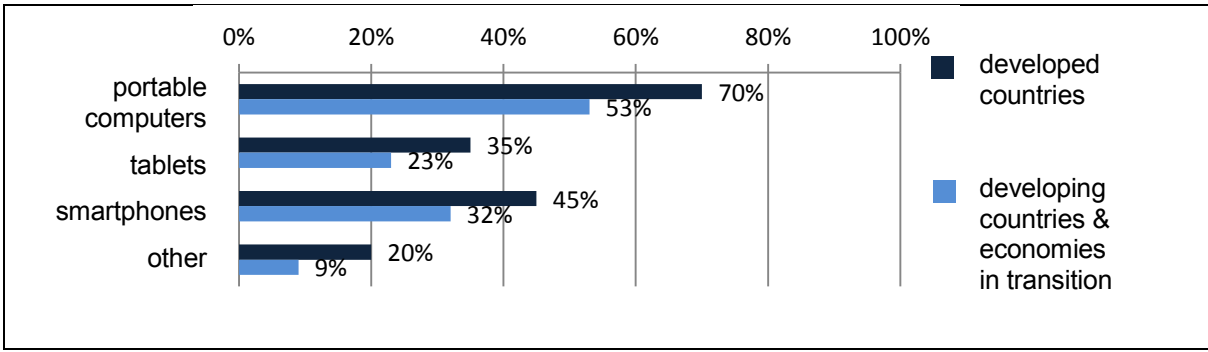
c. Are the computers configured with the necessary software to allow you to complete your tasks?  
(check all that apply)



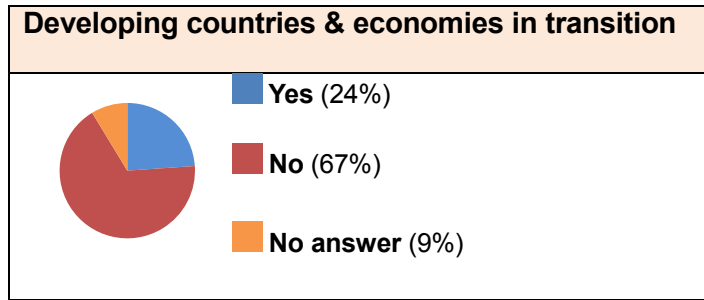
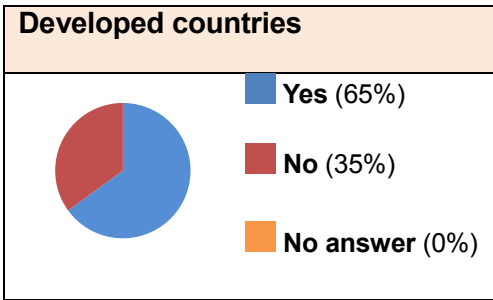
ii. Do you have a database system to store and maintain relevant data on CITES and does it meet your requirements, including ease of use and access and security? If yes, what type of database:



iii. Does your staff have access to new electronic information and communication devices such as:



iv. Does your Enforcement Authority have access to DNA technologies and laboratories to assist in the prosecution of wildlife crimes?



v. Does your Enforcement Authority have a system through which intelligence can be shared with the police or other enforcement authorities in your country?

