

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



Sixteenth meeting of the Conference of the Parties
Bangkok (Thailand), 3-14 March 2013

Strategic matters

CITES AND LIVELIHOODS

1. This document has been prepared by the Chair of the Working Group on CITES and Livelihoods (Peru) on behalf the Standing Committee*, with assistance from Colombia, UNEP-WCMC, the consultant Alejandro Larriera and the CITES Secretariat. It is submitted in response to Decision 15.6 of the Conference of the Parties.
2. At its 15th meeting (CoP15, Doha, 2010), the Conference of the Parties adopted Decisions 15.5 to 15.7 on livelihoods as follows:

Directed to the Standing Committee

Decision 15.5

The Standing Committee shall continue the operation of its Working Group on CITES and Livelihoods so that it can:

- a) revise the draft resolution contained in Annex 1 to document CoP15 Doc. 14 and make specific recommendations at the 16th meeting of the Conference of the Parties;
- b) finalize the toolkit for the rapid assessment at the national level of the positive and negative impacts of implementing CITES listing decisions on the livelihoods of the poor, in conformity with Resolution Conf. 8.3 (Rev. CoP13);
- c) finalize the voluntary guidelines for Parties to address the negative impacts, in order to assist Parties in developing local, national and regional initiatives that take account of the impacts of implementing CITES listing decisions on the livelihoods of the poor; and
- d) prepare a final version of the tools and guidelines for review and endorsement by the Standing Committee at its 62nd meeting.

The Working Group shall continue to work electronically through a forum available on the CITES website. If funding is available, consideration may be given to holding one or more meetings, if possible in regions more likely to be affected by the outcome.

The process shall not include consideration of the criteria for amendment of the Appendices or the requirement to make non-detriment findings.

* *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.*

Decision 15.6

The Standing Committee shall present a report at the 16th meeting of the Conference of the Parties on the progress made with regard to the implementation of Decision 15.5.

Directed to the Secretariat

Decision 15.7

On completion of the draft guidelines and toolkit by the Working Group, the Secretariat shall make the draft documents available on its website for comments by Parties, stakeholders and interested organizations, and shall invite such comments via a Notification to the Parties. The comments shall be made available to the Working Group for consideration in the development of revised draft documents to be submitted for approval at the 61st meeting of the Standing Committee.

Composition of the Working Group

3. The members of the Working Group as agreed at the 61st meeting (SC61, Geneva, August 2011) are: Argentina, Australia, Austria, Botswana, Brazil, Canada, China, Colombia, Costa Rica, the Democratic Republic of the Congo, Kenya, India, Indonesia, Israel, Mali, Nicaragua, Nigeria, the Plurinational State of Bolivia, South Africa, Suriname, the United Kingdom of Great Britain and Northern Ireland, Zimbabwe, the UNEP World Conservation Monitoring Centre (UNEP-WCMC), the International Union for Conservation of Nature (IUCN), Conservation Force, FAN Bolivia, Humane Society International, IFAW, IWMC – World Conservation Trust, Pro Wildlife, Safari Club International, SSN, TRAFFIC, WWF and the CITES Secretariat.

Progress made with regard to the implementation of Decision 15.5.

4. In order to fulfil the task requested under paragraphs a), b) and c) of Decision 15.5, members of the Working Group worked through electronic means and met in two occasions thanks to the technical and financial support of the Ministry of Agriculture of Peru, the European Commission and the Secretariat of the Amazonian Cooperation Treaty Organization (ACTO).

With regard to paragraph a) of Decision 15.5

5. The draft resolution contained in Annex 1 to document CoP15 Doc. 14 was revised during a regional meeting on CITES and Livelihoods organized by the ACTO Secretariat and held in Peru from 11 to 13 July 2012 and thereafter submitted to SC62 for endorsement. The draft Resolution endorsed by the Standing Committee is contained in Annex 1 to this document.
6. Further amendments to the draft resolution were suggested at a meeting of the working Group held in Nazca, Peru, from 26 to 28 September 2012. These amendments relate to:

- a) Inserting an amendment in the text of the Resolution as follows:

Regarding the impact of the application of inclusions on the CITES appendix on the livelihood of the poor rural communities.

RECOMMENDS that Parties utilize the steps described in Annex 1 to this Resolution and the toolkit for the rapid assessment produced by the Standing Committee Working Group on CITES and Livelihoods;

- b) including, as an annex of the draft Resolution, the main steps for rapidly assessing the impact of implementing CITES-listing decisions on the livelihoods as described in the final version of the toolkit, as well as the key elements of the guidelines validated by the Working Group in Nazca.
- c) harmonizing the use of terminology, so as to refer to “poor rural communities”, rather than “ the poor”; and
- d) including an operative paragraph to refer to the toolkit and guidelines.

7. It was further recommended that the Conference of the Parties continue the Standing Committee Working Group on CITES and Livelihoods until the 17th meeting of the Conference of the Parties, so it can monitor progress and provide additional guidance on issues related to CITES and livelihoods, develop relevant case studies, and track Parties' use of the toolkit and the guidelines. It was recommended that Parties which participate in the Working Group include representatives from poor rural communities and relevant stakeholders on the livelihoods.

With regard to paragraphs b), and d) of Decision 15.5

8. Tools for rapidly assessing the impact of CITES listing decisions on the livelihoods of the poor and guidelines for addressing such impacts were provided to the 59th meeting of the Standing Committee (Doha, March 2010) in English. The two documents were translated into French and Spanish in October 2011 and circulated to the Parties for comments. The Chair received comments from Austria, Colombia and WWF and incorporated them in a new version of the toolkit and voluntary guidelines that were discussed at the ACTO meeting in paragraph 5 above.
9. Peru, as Chair of the working group, reported on progress at the SC62 and requested permission to extend the mandate of the Working Group to allow it to complete the pending tasks mandated in paragraphs b) and c) of Decision 15.5. SC62 adopted a new calendar of activities for the Working Group, as follows:
 - a) Send to the members of the Working Group revised versions of the toolkit for the rapid assessment at the national level of the positive and negative impacts of implementing CITES-listing decisions on the livelihoods of the poor and the voluntary guidelines for Parties to address the negative impacts, for their comments to be provided by 31 August 2012;
 - b) Organize a meeting of the Working Group in Peru to validate the final versions and submit them at CoP16; and
 - c) Organize a side-event at CoP16 to showcase some of the best experiences involving CITES-listed species and poor rural communities.
10. No further comments were received from members of the Working Group by 31 August 2012. The toolkit and the voluntary guidelines were therefore finalized at the Nazca meeting mentioned in paragraph 6 above. Representatives from Argentina, Botswana, China, Colombia, Costa Rica, the Democratic Republic of the Congo, Indonesia, Kenya, Nicaragua, the Plurinational State of Bolivia, South Africa, as well as experts from the Organization of American States, UNEP World Conservation Monitoring Centre (UNEP-WCMC) and the World Wildlife Fund attended the meeting. Representatives of the Lucanas rural community also contributed to the discussions and explained how they protect the vicuñas and, in return, benefit from shearing and selling their fiber. The field visit to the Lucanas rural community in Ayacucho, Peru, showcased positive impacts for conservation of a species that was declared extinct in Bolivia and Ecuador in the 60s and for the livelihoods of poor rural communities resulted from the successful implementation of CITES listing decisions.
11. The complete versions of the two final documents will be published on the CITES website, in the three working languages of the Convention, as the "Toolkit for the rapid assessment at the national level of the positive and negative impacts of implementing CITES listing decisions on the livelihoods of the poor rural communities" and the "Nazca guidelines for Parties to address the negative impacts of implementing CITES listings".

Side event on CITES and livelihoods

12. At SC62, the Standing Committee endorsed the recommendation by the Working Group for a side event on CITES and Livelihoods to be organized at the present meeting. At the time of writing (October 2012), offers to showcase programmes on CITES and Livelihoods or other experience that could be useful to understand the impacts of the implementation of CITES-listing decisions on the livelihoods of the poor rural communities, had been received from Peru (Vicuña); South Africa (Plants); Botswana (elephants), and Kenya (elephants). Candidate countries interested in participating in the side event were asked to provide short descriptions of their proposals to the Chair of the Working Group before the end of October 2012 at which time a final decision on those selected for participation would be taken.

Recommendations

13. It is recommended that the Conference of the Parties adopt the draft Resolution contained in Annex 1 to this document and the draft Decisions contained in Annex 2 to this document.

COMMENTS FROM THE SECRETARIAT

- A. The Secretariat supports the report of the Working Group on CITES and livelihoods, and recommends adoption of the draft resolution and draft decisions contained in Annexes 1 and 2. It also supports the Group's proposed changes to the draft resolution (see paragraph 6 of the present document). Those changes are aimed at ensuring that the draft resolution includes a reference to the rapid assessment toolkit and is otherwise aligned with final versions of both the toolkit and the related voluntary guidelines.
- B. The Secretariat considers that Decisions 15.5 - 15.7 have been implemented and can be deleted.

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES

CITES and livelihoods of poor rural communities

RECALLING Resolution Conf. 8.3 (Rev CoP13), adopted at the 13th meeting of the Conference of the Parties (Bangkok, 2004) where the Conference recognized that implementation of CITES-listing decisions should take into account potential impacts on the livelihoods of the poor;

RECALLING ALSO Decision ~~44.3~~ 15.5 requesting the Standing Committee to ~~develop draft~~ continue the operation of its Working Group on CITES and Livelihoods and to finalize the toolkit for the rapid assessment at the national level of the positive and negative impacts of implementing CITES-listing decisions on the livelihoods of the poor, as well as voluntary guidelines for Parties to address these the negative impacts, particularly in developing countries;

RECOGNIZING that CITES-listing decisions are neither the sole cause nor the sole solution to the livelihood problems of the poor rural communities, but that the effective implementation of such decisions can form part of a strategy to provide sustainable livelihoods for the poor ~~and accelerate achievement of the Millennium Development Goals;~~ rural communities, in accordance with paragraph 203 of the outcome document of the Rio+20 Conference *The Future We Want*.

RECOGNIZING that poor rural communities attach economic, social, cultural and ceremonial importance to some CITES-listed species;

RECOGNIZING that the implementation of CITES is better achieved with the engagement of poor rural communities;

RECOGNIZING that the proper implementation of CITES listings may enhance livelihoods by delivering long-term species conservation and reducing unsustainable and illegal trade;

RECOGNIZING ALSO that implementation of some listings (particularly Appendix-I listings) may impact livelihoods of the poor by restricting access to income, employment and other resources such as food, materials and medicines, but that it need not always do so if appropriate implementation strategies are adopted;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

AGREES that the following principles be considered when Parties address livelihood issues:

Regarding empowerment of the poor rural communities

ENCOURAGES all Parties to work with key stakeholder groups to design, implement and monitor effective strategies ~~for~~ with regard to the implementation of CITES listings recognizing that:

- a) Solutions are likely to be case and situation specific;
- b) Although amendments to the CITES Appendices must, unless indicated otherwise in an annotation, come into effect 90 days after their adoption by the Conference of the Parties, developing appropriate solutions to mitigate negative impacts on the livelihoods of the poor may require more time to ~~incorporate significant~~ implement relevant policy changes;
- c) Developing guidelines ~~may~~ must be an ongoing process as more knowledge is gained about specific impacts and successful as well as ~~failed~~ unsuccessful experiences; ~~and~~
- ~~e)~~ Monitoring which means that the monitoring and evaluation of strategies will be an important aspect of priority aspects in the development of appropriate implementation strategies and policies; and
- d) Community and traditional knowledge should be considered in the implementation of CITES;

AGREES that:

- a) Empowerment of the poor rural communities should be encouraged through measures that include, as appropriate:
 - i) Promoting transparency in the development and implementation of policies regarding poverty and the use of natural resources, and in the value chains concerned;
 - ~~ii) Developing harvesters associations;~~
 - ii) Maximizing the benefit share for poor rural communities in the value chains concerned;
 - iii) Developing associations of harvesters, managers, growers or any primary users of wildlife, however they are defined;
 - iv) Developing socially responsible trade associations with clear obligations for benefit sharing; and
 - i v) Recognizing of resource tenure and cultural and intellectual property rights for indigenous and tribal and poor rural communities and the poor;
- b) Support for the implementation of CITES listings should be enhanced by public awareness and education, including education of programmes for poor people rural communities, to ensure that:
 - i) The positive aspects of CITES and CITES-related legislation are understood;
 - ~~ii) The need to take measures to conserve CITES-listed species are conserved, and the potential benefits, particularly to poor people, that can accrue from doing so, are appreciated to poor rural communities realized~~; and
 - ii i) Poor communities support policies and activities designed to reduce or eliminate illegal trade in specimens of CITES-listed species; and
- c) As implementation of some listings may have short-term negative impacts on the poor rural communities, mitigation strategies should be adopted as appropriate. These strategies may include:
 - i) Developing interim aid packages plans to provide assistance to the collectors and harvesters, managers, growers or any primary users of wildlife, however they are defined, most severely affected by the implementation of the CITES-listing decisions; and
 - ~~ii) Waiver of permit fees during the first six months of a listing so that local harvesters and producers can internalize the transaction costs generated by the implementation of the CITES listing decisions~~;
 - ii) Providing alternative means of livelihoods.

Regarding enabling policies

INVITES Parties to initiate or strengthen collaborative partnerships among local, regional, national and international development and conservation agencies to enhance:

- a) Financial support for wildlife conservation and poor rural communities; and
- b) The complementarity of their work and CITES implementation;

RECOMMENDS that Parties explore the use of registered marks of certification and origin for products obtained legally and sustainably by poor rural communities, to indicate that the products are obtained legally and sustainably;

ENCOURAGES international financial institutions and cooperation agencies to assist Parties in the development of supportive policies and institutions at the regional, national and local levels to address negative impacts of the implementation of listings on poor rural communities.

Regarding compensatory mechanisms for the shift from in situ to ex situ production

AGREES that:

- a) Implementation of some CITES-listings may encourage *ex situ* production, which may lead to delocalization loss of profits. ~~Mechanisms may be required to:~~
 - i) ~~Develop market for poor rural communities. Market-based incentives may then be required to encourage benefit sharing;~~
 - ii) ~~Remove and to remove~~ barriers to the development of *in situ* production systems;
- b) Consumer countries may work with producer countries to develop effective strategies to support positive impacts and minimize negative impacts of the implementation of CITES listings. These ~~could~~ can include:
 - i) Working with *in situ* and *ex situ* producers and trade associations;
 - ii) Developing supportive strategies through bilateral conservation and development projects; and
- e) ~~Mitigation strategies may explore the use of alternative production systems such as ranching, artificial propagation or captive breeding.~~

Regarding RECOMMENDS that Parties adopt mitigation strategies ***for human-wildlife conflict***

RECOMMENDS THAT mitigation strategies, where appropriate, to provide alternatives or:

- a) compensation schemes (e.g., such as payment for ecosystem services, employment in eco-tourism or as game wardens; ~~provision of tourist or local~~ and
- b) Licences or concessions for tourism, hunting and collection permits; , fishing and harvesting; the development of alternative products); and

Regarding enabling policies

~~INVITES Parties to initiate or strengthen collaborative partnerships between development and conservation agencies to enhance aid effectiveness for wildlife conservation; and eliminate duplication of efforts (e.g. CITES authorities making cross-sectoral links to seek assistance in mainstreaming wildlife trade policies into poverty reduction strategies and wider development plans).~~

~~ENCOURAGES international financial institutions and cooperation agencies to assist Parties in the development of multilateral and bilateral measures, supportive policies and institutions at the regional, national and local levels to address negative impacts of the implementation of CITES listings on the livelihoods of the poor.~~

RECOMMENDS ALSO that mitigation activities not be based on CITES-listed species only but on the whole ecosystem that contains them.

DRAFT DECISIONS FOR THE CONFERENCE OF THE PARTIES

Directed to Parties

- 16.A Exporting and importing countries are encouraged to carry out voluntary rapid assessments of the Impact of implementation of CITES listing decisions on the livelihoods of poor rural communities and to mitigate any negative impacts that are identified through the use of the voluntary guidelines provided in Resolution Conf. 16.xx on *CITES and livelihoods of poor rural communities*.
- 16.B Parties should facilitate exchange visits between relevant stakeholders from the different ongoing conservation and sustainable use programmes which address issues related to CITES and livelihoods in order to stimulate the exchange the lessons learnt from positive and negative experiences on CITES-listed species living in similar environments and/or social conditions.
- 16.C Parties, intergovernmental and non-governmental organizations and public and private donors/investors that are major consumers of wild fauna and flora are encouraged to provide financial assistance in support of rapid assessments of the impact of the implementation of CITES-listing decisions on the livelihoods of the poor rural communities, the implementation of activities which mitigate any negative impacts and cooperation agreements between relevant national government agencies and poor rural communities.

Directed to the Standing Committee

- 16.D The Standing Committee shall review at its 66th meeting, Parties' progress in the implementation of Resolution Conf. xx.
- 16.E The Standing Committee shall continue the operation of its Working Group on CITES and Livelihoods so that it can additionally provide guidance, develop and share case studies and monitor progress in addressing livelihoods issues.
- The Working Group shall continue to work electronically through a forum available on the CITES website. If funding is available, consideration may be given to holding one or more meetings, if possible in most concerned regions.
- 16.F The Standing Committee shall present a report to the 17th meeting of the Conference of the Parties on the results of this work.

Directed to the Secretariat

- 16.G Subject to the availability of external funds, the Secretariat shall, in collaboration with interested importing and exporting Parties and relevant international and regional organizations:
- a. Publish, in the three working languages of the Convention, the final versions of the "toolkit for the rapid assessment at the national level of the positive and negative impacts of implementing CITES listing decisions on the livelihoods of the poor rural communities" and the "Nazca guidelines for Parties to address the negative impacts of implementing CITES listings".
 - b. facilitate the organization of Workshops, meetings of the Working Group and side-events to showcase of livelihood successful experiences, develop case studies on the application of the toolkit and guidelines and create a section on the CITES Website to publish good practice experiences related to CITES and livelihoods in order to make them accessible to interested Parties and stakeholders.

STEPS TO RAPIDLY ASSESS THE IMPACT OF THE IMPLEMENTATION OF CITES LISTINGS ON LIVELIHOODS OF POOR RURAL COMMUNITIES

(extracted from the “toolkit for the rapid assessment at the national level of the positive and negative impacts of implementing CITES listing decisions on the livelihoods of the poor rural communities”)

Proposed steps for rapidly assessing impacts for use by CITES Parties

The interested Parties could consider the following general steps when implementing a rapid assessment to identify how CITES listings affect the livelihoods of economically poor local communities.

- Step 1: Define the current situation regarding livelihoods of poor rural community(ies) concerned and evaluate existing biological and trade data on relevant CITES-listed species.
- Step 2: Conduct a desk study to obtain further information on selected species
- Step 3: Identify communities which are potentially impacted and collect relevant information for field work
- Step 4: Conduct field-based participatory livelihoods assessment in potentially-impacted communities
- Step 5: Undertake final assessments and develop recommendations
- Step 6: Monitor implementation of recommendations and changes and impacts over time

KEY ELEMENTS OF THE GUIDELINES TO ADDRESS THE IMPACTS OF IMPLEMENTING CITES-LISTING DECISIONS ON THE LIVELIHOODS OF POOR RURAL COMMUNITIES

(extracted from the “Nazca guidelines for Parties to address the impacts of implementing CITES listings”)

The following are the key elements identified in the Nazca Guidelines for Parties to use in addressing the impacts of implementing CITES-listing decisions on the livelihoods of economically poor rural communities. In using these Guidelines, it is important that:

- Principles included in Resolution Conf. 16.XX are taken into account;
- National agencies work with stakeholders at all levels;
- Activities are integrated with existing relevant implementation practices; and
- Transparent procedures be followed.

1. Preliminary activities - identify priority species in order to test the Guidelines

1.1 Identify priority species in order to put the Guidelines to the test, including:

- 1.1.1 Species that are used directly by the rural poor communities for commercial and subsistence purposes (e.g. medicinal plants) and which represent one of their main source of cash income.
- 1.1.2 Species subject to regular or significant international trade.

1.2 Analyze the outcome of rapid assessments to report on the actions described below.

2. Empowerment of economically poor rural communities

2.1 Equity

- 2.1.1 Develop policies to ensure that the benefits obtained from CITES trade are allocated to economically poor rural communities and are distributed fair and equitably.
- 2.1.2 Develop policies to ensure that those affected by the implementation of the listing are supportive of and assist with enforcement efforts directed at illegal trade.
- 2.1.3 Promulgate and encourage the use of standards for sustainability and fair trade.

2.2 Tenure

- 2.2.1 Recognize resource tenure for indigenous and economically poor local communities.
- 2.2.2 Promulgate and foster the use of standards in issues relating to tenure.
- 2.2.3 Promote the use of certification marks or marks of origin for products obtained legally and in a sustainable manner by rural communities.

2.3 Empowerment

- 2.3.1 Promote transparency in all policy-making.
- 2.3.2 If necessary, consider postponing the effective date of the CITES listings to allow time for the development of strategies to mitigate any negative effects.

- 2.3.3 Encourage primary users of wildlife to form socially responsible associations or similar representative structures, for example for harvesters, growers, managers and other users groups
- 2.3.4 Ensure that these Guidelines are regularly updated, so that the information is available on economically poor rural communities.

2.4 Education and Public Awareness

- 2.4.1 Support public awareness campaigns and the dissemination of information among economically poor local communities on the value of their natural resources and on the potential benefits they can obtain by participating in community programmes for long-term management of natural resources.
- 2.4.2 Ensure that the positive aspects of CITES and CITES-related policy and legislation are fully explained, thereby enhancing an understanding of CITES as a tool for promoting sustainable use.
- 2.4.3 Develop aid plans to provide assistance to primary user groups severely affected by the implementation of a CITES-listing decision.
- 2.4.4 Promote the use of registered marks of certification and origin for products obtained legally and sustainably by poor rural communities.

3. Incentives to promote *in situ* production and compensatory mechanisms

- 3.1 Prevent economically poor rural communities from being deprived of benefits due to the development of *ex situ* production that does not provide for benefit-sharing.
- 3.2 Develop market-based incentives to encourage the sharing of benefits from *ex situ* production with economically poor rural communities.
- 3.3 Eliminate barriers to *in situ* production systems and promote the development of these systems'.
- 3.4 Ensure that consumer countries work with *in situ* and *ex situ* traders and trade associations to foster positive effects and minimize any negative impact.
- 3.5 Develop supportive strategies through bilateral projects for conservation and development focused on CITES-listed species'.
- 3.6 Explore alternative production systems.

4. Mitigation strategies for human-wildlife conflicts

- 4.1 Promote mitigation strategies that should take into consideration incentives for economically poor rural communities related not only to the CITES-listed species but to the whole ecosystem to which such species belong.

5. Empowerment Policies

- 5.1 Ensure cross-technical support from government agencies responsible for land issues, agriculture, conservation, environment, rural development, trade and industry, etc.
- 5.2 Identify increased costs and requirements arising from CITE listings and develop appropriate measures accordingly.
- 5.3 Encourage market mechanisms and access to micro-financing to enable economically poor rural communities to participate in the development of *ex situ* production systems.
- 5.4 Establish or build on collaborative partnerships between development and conservation agencies in order to enhance aid effectiveness for wildlife conservation and eliminate duplication of efforts.

- 5.5 Encourage international financial institutions and cooperation agencies to assist Parties in the development of multilateral and bilateral measures, and policies to support institutions at the regional, national and local levels, in order to address any negative impact of the implementation of CITES-listings on the livelihoods of the poor rural communities.
- 5.6 Foster an efficient exchange of knowledge relating to programmes on community-based management of natural resources, between national stakeholders and professionals, and the international community of conservation and development agencies.