

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



Fourteenth meeting of the Conference of the Parties
The Hague (Netherlands), 3-15 June 2007

CITES AND LIVELIHOODS WORKSHOP

The attached document has been prepared by Fauna & Flora International and is submitted by the CITES Secretariat.

Workshop Report

CITES and Livelihoods Workshop

**Centre for Biodiversity Conservation,
Kirstenbosch Botanical Garden, Cape Town, South
Africa**

5-7 September 2006

Contents

Executive Summary	1
1. Introduction	4
2. Workshop Recommendations	5
3. Issue Presentations	6
4. Country Presentations	11
5. Working Groups	16
Annex 1 – Workshop Participants	26
Annex 2 – Workshop Programme	30
Annex 3 – Background papers	34
Annex 4 – Workshop Rationale	52

**For queries relating to the workshop please contact Barney Dickson, Fauna & Flora
International, Gt Eastern House, Tenison Rd, Cambridge, CB1 2TT, UK
barney.dickson@fauna-flora.org ; +44 1223 571 000; +44 7795 337 325 (mobile)**

Executive Summary

The CITES and Livelihoods Workshop took place on 5-7 September 2006. It was hosted by the South African National Biodiversity Institute, at the Centre for Biodiversity Conservation, Kirstenbosch Botanical Garden, Cape Town, South Africa. There were 43 participants from 27 countries.

At CITES COP 13, in 2004, an amendment was agreed to Resolution Conf 8.3 ('Recognition of the benefits of trade in wildlife'). A new paragraph was added to the resolution. This states that the Conference of the Parties

RECOGNIZES that implementation of CITES-listing decisions should take into account potential impacts on the livelihoods of the poor.

The new paragraph represents an explicit recognition by the Parties that the impact of the implementation of listing decisions on the livelihoods of the poor is an appropriate concern. This impact should be taken into account in the implementation of such decisions. The emphasis is on how CITES listing decisions are to be implemented, rather than on whether to list species on the appendices. The new paragraph is short and non-specific. The Workshop considered how to operationalise this new paragraph.

The objective and four goals of the workshop were:

- Objective* To identify practical measures that will contribute to the operationalisation of the new paragraph of CITES Resolution Conf 8.3 (Rev. CoP13)
- Goal 1* To assess options for recognising and addressing the livelihood impacts of CITES trade regulations
- Goal 2* To assess tools for the rapid assessment of the potential livelihood impacts of implementation of CITES trade regulation
- Goal 3* To assess options for linkages with other CITES processes
- Goal 4* To assess options for linkages with processes outside CITES

The organisation of the workshop took place under the guidance of the workshop Steering Group. This group was made up of representatives of Argentina, Germany, Ghana, Namibia, South Africa, Botanic Gardens Conservation International, CRIAA SA-DC (Namibia), Fauna & Flora International, International Institute for Environment and Development, IUCN, TRAFFIC International, UNEP-WCMC and WWF International.

Fauna & Flora International provided the secretariat for the Steering Group and worked with other steering group members to prepare the workshop.

Workshop Recommendations

The workshop agreed on the following recommendations:

- i. Guidance should be developed for Parties on how to implement CITES in way that mitigates negative impacts and supports positive impacts on livelihoods

- ii. Rapid assessment tools for livelihoods impacts should be developed
 - that can address both potential impacts of possible measures and actual impacts of existing measures;
 - that strike a balance between workability and reliability;
 - that ensure meaningful stakeholder consultation; and
 - that look at the actors in the value chain and at others outside the value chain
- iii. Case studies of the livelihood impacts of the implementation of listing decisions should be carried out
- iv. Countries should determine whether livelihoods assessment tools are appropriate for their needs and priorities, and assess their capacity building needs on livelihoods issues
- v. Where livelihood concerns arise, the carrying out or facilitation of livelihood impact assessments should be under the control of national authorities
- vi. When appropriate tools and methodologies are available, integration of livelihood impact assessment into the capacity building programmes of CITES should be considered
- vii. Integration of work on livelihoods into ongoing CITES linkages, MoUs and MoCs with other agreements and organisations (e.g.FAO, ITTO, ICCAT, CBD, CMS) should be considered, including through review of workplans
- viii. Development of linkages, synergies and MOUs between CITES and other organisations and agreements which address and/or have expertise in relevant livelihood issues (e.g. UNFCCC, UNCCD) should be considered and explored
- ix. Consideration of livelihoods issues should be included in the Wildlife Trade Policy Review framework
- x. Ways of incorporating livelihoods issues into relevant CITES processes should be explored
- xi. CITES Strategic Vision for 2008-2013 should address livelihoods issues, making use of workshop outcomes
- xii. CITES implementation should be linked to other national initiatives focussing on poverty alleviation and livelihoods
- xiii. Research on livelihood impacts of implementation of CITES decisions should be carried out and mechanisms to address impacts should be explored
- xiv. Funding and resources should be mobilised to support implementation of these Recommendations

1. Introduction

The CITES and Livelihoods Workshop took place on 5-7 September 2006. It was hosted by the South African National Biodiversity Institute, at the Centre for Biodiversity Conservation, Kirstenbosch Botanical Garden, Cape Town. There were 43 participants from 27 countries. The participant list is in Annex 1 to this report.

Workshop rationale

At CITES COP 13, in 2004, an amendment was agreed to Resolution Conf 8.3 ('Recognition of the benefits of trade in wildlife'). A new paragraph was added to the resolution. This states that the Conference of the Parties

RECOGNIZES that implementation of CITES-listing decisions should take into account potential impacts on the livelihoods of the poor.

The new paragraph represents an explicit recognition by the Parties that the impact of the implementation of listing decisions on the livelihoods of the poor is an appropriate concern. This impact should be taken into account in the implementation of such decisions. The emphasis is on how CITES listing decisions are to be implemented, rather than on whether to list species on the appendices. The new paragraph is short and non-specific. The Workshop considered how to operationalise this new paragraph. (The full Workshop Rationale is found in Annex 4).

Objective and goals

The objective and four goals of the workshop were:

- | | |
|------------------|--|
| <i>Objective</i> | To identify practical measures that will contribute to the operationalisation of the new paragraph of CITES Resolution Conf 8.3 (Rev. CoP13) |
| <i>Goal 1</i> | To assess options for recognising and addressing the livelihood impacts of CITES trade regulations |
| <i>Goal 2</i> | To assess tools for the rapid assessment of the potential livelihood impacts of implementation of CITES trade regulation |
| <i>Goal 3</i> | To assess options for linkages with other CITES processes |
| <i>Goal 4</i> | To assess options for linkages with processes outside CITES |

Workshop steering group

The organisation of the workshop took place under the guidance of the workshop Steering Group. This group was made up of representatives of Argentina, Germany, Ghana, Namibia, South Africa, Botanic Gardens Conservation International, CRIAA SA-DC (Namibia), Fauna & Flora International, International Institute for Environment and Development, IUCN, TRAFFIC International, UNEP-WCMC and WWF.

Fauna & Flora International provided the secretariat for the Steering Group and worked with other steering group members to prepare the workshop.

Funding

The Steering Group would like to acknowledge the generous support for the workshop from the following organisations:

- SwedBio (The Swedish International Biodiversity Programme)
- UK Department of Environment, Food and Rural Affairs
- Botanic Gardens Conservation International
- Fauna & Flora International
- International Institute for Environment and Development
- South African National Biodiversity Institute
- WWF International

In addition, the following countries and organisations funded their own participation in the workshop, thus making it possible to fund more representatives from developing countries: Germany, Netherlands, Norway, Durrell Institute for Conservation & Ecology, Humane Society International, IUCN, Natural Resources Institute, PhytoTrade Africa, TRAFFIC International, UNCTAD BioTrade Initiative, UNEP-WCMC and USAID.

2. Workshop recommendations

The workshop agreed on the following recommendations:

- i. Guidance should be developed for Parties on how to implement CITES in way that mitigates negative impacts and supports positive impacts on livelihoods
- ii. Rapid assessment tools for livelihoods impacts should be developed
 - that can address both potential impacts of possible measures and actual impacts of existing measures;
 - that strike a balance between workability and reliability;
 - that ensure meaningful stakeholder consultation; and
 - that look at the actors in the value chain and at others outside the value chain
- iii. Case studies of the livelihood impacts of the implementation of listing decisions should be carried out
- iv. Countries should determine whether livelihoods assessment tools are appropriate for their needs and priorities, and assess their capacity building needs on livelihoods issues
- v. Where livelihood concerns arise, the carrying out or facilitation of livelihood impact assessments should be under the control of national authorities
- vi. When appropriate tools and methodologies are available, integration of livelihood impact assessment into the capacity building programmes of CITES should be considered
- vii. Integration of work on livelihoods into ongoing CITES linkages, MoUs and MoCs with other agreements and organisations (e.g.FAO, ITTO, ICCAT, CBD, CMS) should be considered, including through review of workplans
- viii. Development of linkages, synergies and MOUs between CITES and other organisations and agreements which address and/or have expertise in relevant livelihood issues (e.g. UNFCCC, UNCCD) should be considered and explored

- ix. Consideration of livelihoods issues should be included in the Wildlife Trade Policy Review framework
- x. Ways of incorporating livelihoods issues into relevant CITES processes should be explored
- xi. CITES Strategic Vision for 2008-2013 should address livelihoods issues, making use of workshop outcomes
- xii. CITES implementation should be linked to other national initiatives focussing on poverty alleviation and livelihoods
- xiii. Research on livelihood impacts of implementation of CITES decisions should be carried out and mechanisms to address impacts should be explored
- xiv. Funding and resources should be mobilised to support implementation of these Recommendations

3. Issue presentations

There were four issue presentations near the start of the workshop. These were based on the background papers that were circulated to participants prior to the workshop and that are reproduced in Annex 3 to this report.

The presentations, and the main points made in discussion are summarised below.

Options for recognising and addressing livelihoods impacts of CITES trade regulations – Barney Dickson, Fauna & Flora International

The new paragraph that was added to Resolution Conf. 8.3 at CITES COP 13 states that the Conference of the Parties ‘Recognizes that implementation of CITES-listing decisions should take into account potential impacts on the livelihoods of the poor’. Four aspects of this new paragraph can be noted. First, this is a new issue within CITES. This is the first time that has been proposed that Parties should ‘take into account’ the impacts on livelihoods. Second, there is a lack of clarity about what is being proposed. Is it being proposed that Parties should strive to avoid negative impacts on the poor? Or should Parties ensure that the impacts are positive? Third, it is clear that the emphasis is on addressing livelihoods in the *implementation* of CITES trade regulations. Fourth, many Parties are reluctant to agree to new, mandatory obligations within the CITES framework. With regard to improving the impacts of trade regulation on the livelihoods of the poor, many countries have experience of attempting to combine conservation measures with poverty alleviation. Some general issues are often important. This include: land and resource tenure; harvester organisation; trader and exporter associations; standards, labels and certification; cross-sectoral cooperation; and a supportive international context. In the light of these points three suggestions can be made for how Parties might tackle the livelihoods issue. First, a general statement that sets out why the issue is important and what the expectations are on Parties would be helpful. Second, there is a case for putting the emphasis on providing support to Parties that wish to implement CITES in a way that contributes to the livelihoods of the poor. Third, making links with existing CITES processes may assist Parties.

The following points were made in discussion following the presentation:

- when looking at general factors affecting livelihoods there is a need to bear in mind the specific ecological attributes of species – it is hard to generalise. Eg tenure over highly migratory species is difficult
- it is very important to address role of Parties' decisions in affecting livelihoods in other countries e.g. role of importers in affecting livelihoods in exporting states; also note the decisions on trade suspensions by CITES Standing Committee
- Example – coral from Fiji – when Fiji provided information on impacts of proposed suspension on livelihoods, it was given more time to resolve problems
- Resolution Conf 8.3 refers to the livelihoods of the poor; this includes indigenous peoples who are poor.
- consultation with those whose livelihoods may be affected by CITES regulation is very important
- there is a need to think of CITES and livelihoods in the broad context of national biodiversity management (e.g. links to NBSAPs) not just in narrow context of what CITES agencies do
- need to take into account current burdens on CITES agencies, but also bear in mind that if livelihoods aspect is “got right”, there will be conservation gains
- important that the workshop does not seek to reopen debate on listing criteria. Criteria Working Group has already rejected idea of including socio-economic concerns
- there can be impacts on livelihoods in advance of listing decisions (e.g. Devil's claw), so can't just look at livelihoods after listing decision taken
- there are opportunities to discuss livelihoods issues in debates on proposals, in consultations, in regional meetings
- it was agreed that there was common ground within workshop that livelihoods were an appropriate issue for CITES to be addressing – the challenge now to work out how to do so.

Tools for rapid assessment of livelihood impacts of CITES – Phil Franks, Care International

Biodiversity conservation should contribute to reducing poverty where possible but conservation agencies cannot be held accountable for poverty reduction. However, conservation agencies can and should be held accountable for meeting certain standards of social equity in conservation. There are practical and moral arguments for this conclusion. There are several dimensions to social equity. They include equity between local, national and global levels; equity between households within communities; equity within households; and inter-generational equity. A livelihood comprises the capabilities, assets (including both material and social resources) and activities required for a means of living. A livelihood is sustainable when it can cope with and recover from stresses and shocks and maintain or enhance its capabilities and assets both now and in the future, while not undermining the natural resource base (Chambers et al). It is important to determine whose livelihoods will be most affected by a conservation measure. Is it those who are collecting the species, those involved in the trade or those who buy the product? And within those groups who will be most affected? Wealthier or poorer? Men or women? Older or younger? It is possible to conduct either a full livelihoods impact assessment, or a rapid social impact assessment. When conducting a rapid social impact assessment, five actions are particularly important. First, define the sampling frame for the assessment – i.e. the overall population and specific groups/communities to be sampled to cover the different forms and levels of impact. Second, conduct well-being ranking in sample groups/communities. Third, consult key informants within different well-being groups to identify a short-list of key effects on the 5 capitals and livelihood outcomes. Fourth, conduct a household survey within sample groups or communities using stratified sampling by well-being

grouping. Fifth, conduct focus group discussions with the more impacted groups to validate findings, explore intra-household equity, underlying causes and mitigation/adaptation strategies.

The following points were made in the discussion after this presentation:

- the sustainable livelihoods approach does not capture well social aspects such as power relations, village politics etc. Will need additional tools to capture higher-level phenomena. Rights-based approach useful for delving deeper into these society-level issues.
- one challenge is to capture costs/benefits that only accrue or become apparent over time – costs and benefits of interventions can change over time
- the sustainable livelihoods framework can be used both in a predictive way (analogous to Environmental Impact Assessment) as well as to assess impacts of existing/past interventions
- the sustainable livelihoods approach is being used now, and increasingly widely, but not yet well documented, and older technocratic approaches continue, particularly by large agencies and initiatives such as GEF and World Bank, and big consultancy firms.
- a commitment to minimum standards can prevent impacts on poorest and most vulnerable

Links between addressing Livelihoods and other CITES processes – Alison Rosser, Durrell Institute for Conservation & Ecology

In considering these links, there are some general questions that need to be answered. What is the proximate aim of the process to take account of livelihoods? Should action to take account of livelihoods be voluntary? Whose responsibility is it (national/local; COP; technical committees)? Where to start (Appendix I or II; individual species; Parties with high levels of poverty)? In addressing livelihoods there are advantages and disadvantages to making use of existing CITES processes. There are different mechanisms that could be used, including developing new livelihood resolutions and decisions or amending existing resolutions and decisions. Addressing livelihoods could potentially be linked to a number of generic CITES processes. These include: CITES-CBD synergy; Wildlife Trade Policy Reviews; examination of the Addis Ababa principles on sustainable use; the Standing Committee review of Appendix I species; review of Scientific Committees; Standing Committee work on production systems; incorporation into national legislation reviews; incorporation into the capacity building programme; incorporation into the ranching resolution; guidance for interpreting the socio-economic paragraph of Resolution Conf. 9.24. In addition, livelihoods could be addressed in some species specific measures, including species specific resolutions and the significant trade review. A possible action plan for taking the issue of livelihoods forward within CITES might include the following elements: identify a mechanism to initiate the process (e.g. CITES-CBD synergy); mandate a generic study of livelihood impacts and possible mitigation strategies; Wildlife trade policy reviews to identify supportive governance environments; expansion of the Addis Ababa principles case study collection to identify best practice; develop a toolkit of best practice; examine species specific review processes for links.

The following points were made in the discussion after this presentation:

- it is important not to assume that downlisting is only way to help livelihoods; there are a broad range of ways to address livelihoods
- sometimes regulations such as listing can help control illegal trade and help more revenue stay with local people
- re-opening the debate on significant trade resolution not advisable – likely to run into problems. However, raising the livelihood issue in the evaluation of the significant trade review process after COP 14 might be useful

- an amendment to the significant trade resolution is not needed – as livelihood issues will often affect conservation success. So can collect much information on livelihoods in current reviews – but only if the terms of reference for specific contracts specifies it.
- important not to be too ambitious – many countries don't have the resources to implement current recommendations from significant trade reviews – how can they implement further recommendations on livelihoods?
- idea of raising awareness of livelihoods is very Northern thought –developing countries are constantly aware of livelihoods – rather need the North to look at and understand South
- South doesn't need “livelihoods experts” from North to tell them what to do
- IUCN is seeking to develop indicators related to livelihoods within the Red List process. This work could be useful for CITES & livelihoods work
- importers need to address livelihoods, not just exporters
- the terms of reference for the Wildlife Trade Policy Reviews could incorporate livelihoods
- there is interest in the CBD Secretariat in trade/livelihood issues – need to suggest solutions and new approaches. The forthcoming meeting of the heads of biodiversity related Multilateral Environmental Agreements is addressing related issues
- it is not clear whether we need specific (to CITES) or generic solutions for addressing livelihoods
- in considering expertise for addressing trade/livelihood issues it is very important to have cross-cutting expertise. CITES/wildlife people often don't have expertise of livelihoods issues – need cross-cutting work across government agencies
- if CITES listing can be made positive for people, then would be much greater cooperation. The current view is that CITES listing is very negative for the users. There is a need to implement CITES in way that supports livelihoods, to change attitudes to CITES

Links between addressing livelihoods within CITES and external processes – Stella Simiyu, CBD Secretariat and Botanic Gardens Conservation International

Many developing countries prioritise poverty alleviation over all else and this affects investment at the institutional, technical and technological level. The Millennium Ecosystem Assessment showed that 60% of ecosystem services are being degraded or used unsustainably and that there is a continued decline in the provisioning services of the environment (wild foods, timber, wood fuel, genetic resources, medicines and fresh water). There are multiple international conventions and policy frameworks that are potentially relevant to CITES Parties as they tackle livelihoods. These include the CBD (2010 target; Addis Ababa Guidelines, GSPC – Target 13); World Summit on Sustainable Development; Millennium Development Goals; World Health Organization (guidelines on herbal medicines including sustainable harvesting); UNCTAD BioTrade Initiative; and the International Standard for Sustainable Wild Collection of Medicinal and Aromatic Plants. Traditionally development agencies and conservation organisations have pursued different goals, but the emerging trend is for holistic and integrated interventions and responses. The Global Strategy for Plant Conservation is an example of this. Other important linkages will be with National Poverty Reduction Strategies, regional initiatives and agreements, and local systems and instruments. In conclusion, nature and society are interconnected; a holistic approach is needed; there are multiple causal agents of the current crisis; and sustainable use is now a key component of conservation. The focus should be on enhancing sustainability.

The following points were made in the discussion after this presentation:

- other trade forums such as the WTO have developed mechanisms to deal with countries being at different stages of development, such as Special and Differential Treatment. Should we learn from these?

- even where conservation and livelihood values are recognised, reality on the ground in developing countries can mean effective action impossible. e.g. if resource is in war zone, there will be no sustainable management
- IUCN Red List assessments, broadened to incorporate livelihood aspects, will allow countries to look at linkages between species, livelihoods, and species status.

4. Country presentations

There were 7 Country presentations, by participants from Bolivia, Brazil, India, Indonesia, Mexico, Namibia and Uganda.

The presentations, and the main points made in discussion, are summarised below.

Spectacled caiman: Certified skins (Biotrade – CITES Synergy) – Luis Humberto Gómez Cerveró, Fundación Amigos de la Naturaleza, Bolivia

In 1990 a total ban was introduced on the export of wildlife from Bolivia. In 1999 the ban was modified and by 2000 there was a regulated trade in Spectacled caiman (*Caiman yacare*) of 36,500 skins. This has continued since with only harvesting from the wild allowed. The current harvesting quota is 50,000 skins per year. There are some problems in the value chain. There are conflicts among the stakeholders, a risk of unsustainable management, a lack of proper monitoring and control systems and an inadequate legal framework. This means there is a risk that the current harvesting system will be closed. The Bolivian Biotrade Program is providing technical assistance for the organisation of production and the development of management and business plans. The number of management plans in Indigenous Territories has increased substantially over the past two years. The best management involves good practices in pre-production, production, processing, transportation and transformation. Traceability in the production chain provides a way to link CITES requirements and good management practices. Traceability itself depends on a good documentation and registration system. Good practices should lead to improved contributions to livelihoods. These ideas can be applied to other CITES-listed species, including the Tegu lizard (*Tupinambis rufescens*) and the Collared pecari (*Pecari tajacu*).

Livelihood and Brazilian Sustainable Use of Fauna Policy – Ugo Eichler Vercillo, Brazilian Institute for the Environment and Renewable Natural Resources (IBAMA), Brazil

More than 80% of the Amazon is protected by some kind of legal instrument. The wild fauna are the key to the forest's ecological balance. For the forest people it is also part of their daily diet, a source of material for handcraft and part of their culture. The Amazon is threatened by agricultural spread, fires, deforestation, mining companies, hydroelectric power stations, use of exotic species and irrational use and trade. The technical bases for sustainable use include: a focus on local and indigenous people; a management area; a management plan; and a management group. The benefits of sustainable use of fauna are environmental, social, economic and political. Projects are being undertaken in three areas: Mamaraua (Black caiman, *Melanosuchus niger*, CITES Appendix I, for commercial purposes); Cunia (Black caiman, *Melanosuchus niger*, CITES Appendix I, for subsistence); and Cazumba (*Tayassu tajacu*, for subsistence). There are other initiatives involving lobsters, freshwater stingrays, ornamental fish, *Paleosuchus* spp., and *Caiman crocodilus*. The black caiman trade shows the viability of the use of biodiversity for livelihoods. To promote this initiative it is imperative that black caiman is downlisted from CITES Appendix I to II.

The following points were made in the discussion after this presentation:

- the management decisions on caiman are made by the local community
- CITES would not help with bycatch problem for freshwater stingrays in Brazil
- Brazil is changing policy on sustainable use for local and indigenous people

Reconciling Conservation & Livelihoods in Protected Area Management: Experience from India – R.B.Lal & P.Krishnar, India

India has many fragmented forests, is rich in biodiversity and the interface with humans is intense. India is mega-biodiversity nation. The priorities in conservation are ecological security, *in situ* conservation, ensuring people's support for wildlife and addressing man-animal conflict. There is a protected area network of 605 protected areas. Some of the conservation issues in protected areas include habitat degradation and fragmentation, mass tourism, invasive species, limited livelihood opportunities, unrest among indigenous communities, and the lack of a comprehensive conservation policy over the landscape. India supports the concept of conservation coupled with sustainable development that ensures ecological security, social equity and economic upliftment. Sustainable use must accord due consideration to the ethics, culture and accepted traditions of the country. Sustainable use need not be consumptive use alone. We must explore the possibilities of non-consumptive use also. A case study from Periyar Tiger Reserve illustrates the non-consumptive use of a protected area. The issues include access, resource use, livelihoods of local people, inter-agency conflict, tourism and pilgrimage management. The community based ecotourism programmes of Periyar include bullock-cart rides, nature walks, tribal heritage, tiger trails and jungle patrols. This has led to a halt to illegal activities, strengthened park protection and generation of income for park protection and community welfare.

The following points were made in the discussion after this presentation:

- communities benefit through revenue from ecotourism going to the community
- the community revenue is administered by an eco-development committee
- villagers live in the buffer zone around the protected area

CITES & Livelihoods in Indonesia - Faustina Hardjanti, CITES Management Authority, Indonesia

Indonesia's policy on the use of wildlife resources is based on the sustainable use principle. For abundant species wild harvest is allowed, taking into account the population size, population trends, geographic range, harvest location and age or size class. For species showing indications of population decline several measures may be adopted including: quota reduction, possibly to zero; ranching programmes especially for crocodile populations; wild-based management for butterflies and mariculture for coral species. For endangered species captive breeding and artificial propagation are promoted. The government policy for wildlife management is directed to promote poverty alleviation at the local level. One example is the reptile skin industry where people are involved in catching, collection and skinning. In the case of *Python reticulates*, there are around 148,500 snake catchers, with a total of 171,800 people involved in the industry as a whole. In the case of the agarwood industry, there are 2,751 local collectors.

The following points were made in the discussion after this presentation:

- ensuring specimens declared as captive bred are not taken from wild remains challenge. There is new regulation in place for this.
- Indonesia has had some positive experiences with the significant trade review processes e.g. for agarwood Indonesia is trying to develop and implement a management plan to control harvesting and to establish artificial propagation
- all reticulated pythons are taken from wild

A Mexican experience combining international trade regulations, species conservation and benefits for a local community – Paola Mosig Reidl, CONABIO, Mexico

The Mexican population of the Bighorn Sheep (*Ovis canadensis*) is on CITES Appendix II. In the 1970s a natural breeding area for Mexican Bighorn Sheep was established in Isla Tiburón to restock and reintroduce it to its historic range. In 1975 Isla Tiburón was granted to an Indigenous Mexican group, the Seris, as a communal possession. In the 19th century the Seris were persecuted by soldiers and ranchers. Several articles of Mexico's General Wildlife Law consider and support the livelihoods of rural communities. In the 1990s the Mexican Bighorn Sheep Programme on Isla Tiburón was established. It involves government agencies, the Seri community, NGOs and researchers. The objectives are to guarantee the survival of the island's Bighorn Sheep population; to establish a sustainable use program of hunting that benefits the Seris; and to contribute to the recovery of the species in its historic range. Almost all the hunting permits are taken by foreigners through auctions. The Seri community has received around 3 million USD since 1998 from this program. They have been involved in the management of the resource and have developed new skills. The sheep population on the island has increased and it has been successfully reintroduced in some areas of its historic range. The project has encountered some problems arising, in part, from the increased income to the community. These problems have included alcohol abuse and other changes in culture and lifestyle. The Seri income from hunting permits has decreased recently due to the hunting of the Bighorn Sheep in other areas where it has been re-introduced. There is a need to consider ways of promoting the island to maintain it as a hunting destination.

The following points were made in the discussion after this presentation:

- the Seri do not hunt any sheep for own use – traditionally they have been primarily fisherpeople
- the community itself decides on how to use and manage money, but are advised by project people, researchers etc
- areas where other re-introductions have taken place do not pay the Seri community any money
- nowadays much more attention to potential problems of having an introduced species on the island – little awareness back in 1975

Devil's Claw: The Namibian Experience – Dave Cole CRIAA SA-DC, Namibia

Harpagophytum or Devil's claw comprises two species, *H. procumbens* and *H. zeyheri*. It can be harvested sustainably or unsustainably. Dried root slices are exported, mainly to Europe, for use as a treatment for rheumatism and arthritis. There are 5,000-10,000 harvesters, 50-150 middlemen who supply the exporters and, between 1995 and 2002, 17 Namibian exporters. In Germany it is the third most used medicinal plant, with a retail value of 30 million euros in 2001. There is no in-country value addition, and Namibia captures at most 5% of the value of the trade. Harvesters who harvest organic certified Devil's claw receive a better price than non certified produce. The proposal to list Devil's claw on CITES Appendix II had a number of effects. It reduced interest from niche markets (those interested in sustainability); it limited competition by reducing the number of players which put a downward pressure on price; it gave impetus to cultivation efforts; and it gave impetus to certification. Devil's claw should not have been considered for CITES listing – it is an invasive weed and there is no scientific evidence of a threat to the species; thousands of harvesters were engaged in the trade. Hoodia is a much more suited to a CITES listing. It is slow growing in low densities, it is vulnerable to illegal harvesting and it has a high potential commercial value. Listing can help protect the resource and facilitate increased potential contribution to livelihoods of local harvesters. In the Sustainably Harvested Devil's claw project sustainable harvesting has led, since 1997 to an increase in the numbers of plants. The contribution to livelihood security should not be

underestimated. The key to conservation in developing countries is sustainable use. There is a need to demonstrate that CITES can be a ‘seal’ of sustainability. Unless the issues of poverty are addressed and real benefits to primary producers are realised sustainability will remain problematic.

The following points were made in the discussion after this presentation:

- land tenure in communal areas is big problem - illegal harvesting by people from outside
- need to shift view of CITES to “seal of sustainability”, but where there are implementation issues, enforcement problems etc CITES can’t give its imprimatur
- CITES interventions (not necessarily listing) can shift trade to alternative products – this is bad for livelihoods when species not actually threatened, although could possibly help if trade really was unsustainable
- CITES’ negative image prevents useful listings - major challenge for CITES is to transform its negative image – among manufacturers, business people etc.
- stricter domestic measures very important issue – this affects trade and livelihoods in wildlife-exporting countries eg. Indonesia affected by EU.
- Parties with SDMs should enter into a negotiation process with exporting Parties to understand fully the implications of decisions made by importing countries
- new mechanisms such as Hoodia annotation can be positive for livelihoods

Wildlife & livelihoods – The case of Uganda – Susan Bingi, National Coordinator BioTrade Programme/Uganda Export Promotion Board

The Uganda BioTrade Programme promotes trade and investment in biological resources as a way to diversify the country’s export base, to ensure sustainable utilization of the resource base and to contribute to improved livelihoods. A number of CITES listed species are currently exported from Uganda, including birds, reptiles and plants. There are opportunities for positive livelihood impacts through activities such as collection and sale of eggs (crocodiles and ostriches); collection of plants for breeders; collection of feed material; and access fees to private and communal lands. Some observations and concerns are as follows: there is little concrete information about livelihood impacts; bio-enterprises have limited visibility; there is limited investment capacity and skills among enterprises; there is limited understanding of the wildlife trade and market related dynamics, and thence inability to maximise benefits; there are unregulated collections for scientific purposes; there is limited understanding of CITES among the regulators and the regulated; command and control attitude leaves no room for private sector consultation on effectiveness of mechanisms used; the bureaucracy in issuing CITES certificates may compromise business opportunities; and traders are regarded as destroyers, not wealth creators.

The following points were made in the discussion after this presentation:

- wildlife is often very important for livelihoods, but often complementary to other sources of income, not as the sole source of income
- wildlife trade and other non-consumptive uses such as carbon sequestration and ecotourism can be complementary
- the possibility of using *Prunus africana* for carbon sequestration (and carbon trading) is being considered
- Uganda does not export any mammals

5. Working Groups

Five working groups were established in the course of the workshop. There was one working group for each of the four background papers (see Annex 3) An additional working group identified examples that illustrate the factors that contribute to livelihoods in the context of CITES and the trade in wild species.

The discussions of the five working groups are summarised below. It should be noted that the outcomes of the working group discussions were discussed in plenary sessions of the workshop. Not all the suggestions made by the working groups were incorporated into the workshop recommendations.

Working Group 1 - Options for recognizing and addressing the livelihood impacts of CITES trade regulations

Participants: this working group had a good mix both of people, from “bottom-up” community-based organisations, academic perspectives and CITES Management and Scientific authorities, and from Africa, Asia, Europe, Australia, and South, Central and North America.

The working group made some general points and then addressed a set of questions provided by the workshop organisers.

General points

- most actions for addressing livelihood impacts of implementation of CITES listing decision should be done at national level
- measures need to be bottom-up and recommendatory, not mandatory
- however, CITES can contribute to /support these national level efforts

1. Do these factors improve impacts on livelihoods?

i. Land & resource tenure

- critical point is that rights to use resources can create value in the eyes of the users
- examples:
 - Namibia – for years the government was the institution that received value from wildlife. Wildlife was detriment to people rather than an asset. The government has now devolved rights to communities, and communities have a choice about how they want to use wildlife. Elephants are now worth 16-18 000 US\$ each. Previously wildlife had no value, now it does.
 - Uganda – in 1992 many reserves were transformed into National Parks and local people can't enter National Parks. Some people have less than 50% of their income of ten years ago, with no compensation.
 - Madagascar – before, government was the only manager of natural resources. Now, communities can manage their forests. They feel like owners of resources and manage it well.
 - Vietnam – there is no private land ownership, and land and resource tenure are important issues to be addressed. The policy of government is to increase percentage of land and resources under tenure.
 - Mexico – there is communal ownership and management of land, but communities need resources and assistance to develop population studies and management plans which are required for them to register their land as a Wildlife Management and Conservation Unit to be able to use the resources in it.
 - Papua in Indonesia: crocodiles can be harvested from wild, in recognition of customary rights. This prohibited in other provinces.

- issue is country-specific – devolution of rights works differently different places
- land vs resource tenure: land may be much more challenging issue (but not always); but in many cases it is resource tenure that is more important for ensuring sustainability and livelihood benefits
- there is a continuum of rights over land and resources covering access, control, management, exclusion of others, use, etc. Tenure is not a unitary concept

ii. Harvester organisations

- harvester organisations empower groups to secure more benefits
- important to define membership of harvester organisations. This enables them to negotiate for better access and to benefit from resources. This must be done through transparent, open, legitimate processes. Legal mechanism for recognition of groups may help
- important to have well worked-out system for equitable benefit-sharing
- need to recognise variation within communities and local heterogeneity
- must be country specific and take into account traditions and customs
- civil society may have important role, as governments may lack resources

iii. Trade and exporter associations

- may mean a stronger negotiating position with importers, ensuring better price, better quality, which can lead to better flow of benefits to communities
- but this is a complex issue. Trader and exporter associations can assist in better deal for harvesters ONLY if other factors in place
- examples: Vietnam promotes the establishment of producer & trader associations for captive wild animals e.g. crocodiles
- better benefits for communities if have both harvester group and trader/exporter groups – cuts out middlemen
- may need umbrella bodies of harvester bodies to negotiate with trader/exporter groups

iv. Standards, labels, certification etc

- can help ensure sustainable harvesting, attain higher market prices, and ensure quality, all of which support livelihoods
- however, existing certification schemes don't deal well with trade in wild species
- examples:
 - Namibia: CRIAA working for certification of kalahari melon seed and veldt products, to seek to access more niche markets. Also discussion of national (producer country) standard for Devil's claw

v. Cross-sectoral/cross-agency cooperation

- the lack of cross-agency cooperation is often a problem, both within countries and at the international level
- at the national level different sectors often have different, uncoordinated and inconsistent approaches, policies, legislation
- at the international level environment and development agencies/policies often going in different directions
- cooperation/coherence leads to improved service provision through efficiency and coordination, both across sectors, and across levels from local to national, and so contributes to improved livelihoods
- cooperation also provides an enabling environment for communities to manage and benefit from resources
- example: in Namibia, when different sectoral agencies tell communities different things this makes things difficult for communities

vi. *International context*

- importing countries should consider the livelihood impacts (in producer countries) of import regulations (include health, phytosanitary, CITES)
- stricter domestic measures can impose major livelihood costs
- CITES measures/decisions should support Parties in with dealing with livelihood issues when implementing CITES
- relevant international donor policy should deal with livelihood issues
- international conservation and development agencies should consider livelihoods impacts – need coordination/cross-sectoral between these two

vii. *Informal crossborder trade*

- livelihoods are also affected by informal, undocumented, cross-border trade: so to effectively address livelihood issues there is a need for regional cooperation to address this trade, and to make it managed, transparent etc
- eg Indonesia and neighbours have ramin taskforce involving trilateral cooperation

2. Do these options improve impacts on livelihoods?

3. How difficult is it to implement these options

The group addressed these questions by ranking the different factors on a 1-3 scale. The most critical issues were tenure and cross-sectoral cooperation, but these were also the most difficult to address. Where there is a range of values, this indicates that the importance of the factors may vary from case to case; where the range includes negative values, this means the factors may have a negative impact on livelihoods in some circumstances.

	How important for livelihoods?	How difficult to implement?
I Tenure	3	3
ii Harvester organisations	2	1
iii Trade associations	-2 to +2	1
iv Standards, certification etc	-2 to +2	2
v Cross-sectoral cooperation	3	3
vi International context	-2 to +2	2
vii Cross-border trade	-2 to +2	2

4. Are we missing anything?

Sustainable management and conservation of resources is further critical element, including issues of capacity to manage and monitor.

Working Group 2 – Tools for rapid assessment of livelihood impacts of CITES

This working group answered six questions.

1) Is it important to assess the livelihood of impacts of CITES regulations?

It is important for CITES to assess livelihood impacts. Initially, it should be voluntary and based on guidelines for best practices and case studies.

2) In assessing the livelihood impacts of CITES regulation should parties be carrying out full livelihood assessments or attempt something much quicker and easier?

Rapid assessment framework for potential impacts should be developed. Should the responsibility for the assessment lie with the proponent countries? Affected range states also have role and so do NGO and other external bodies. The framework should have a balance between workability and reliability – it should allow for collection of meaningful information and include stakeholder participation.

3) Does the checklist in Section 3 of the background paper identify the right issues?

Existing checklist requires major rethinking – recommendations:

- *Entry level could be (look at) actors in the value chain,*
- *Look at the assets rather than the outcomes*
- *Need prior and post hoc assessment,*
- *Need to be desegregated by gender and income*
- *It should look at positive, negative and neutral impacts and using testing score ranking.*

4) Which is more important, assessing the current livelihood impact of CITES regulation, or assessing potential livelihood impact of new ways of implementing CITES regulation?

Case studies of livelihood impacts of current listing. Need to develop tools for livelihood impact assessment. This should be donor funded

5) Do CITES agencies have the capacity and resources to undertake these assessments? Or should these assessments be carried out by other agencies?

Where possible national CITES management authorities should carry out these assessments. The CITES Secretariat has the responsibility to build the capacities of range states and ensure a standardized approach.

6) How can CITES promote the use of effective tools for rapid assessment?

- *Provide support for the development of the tools.*
- *Prepare an information document for CITES on assessment of livelihood costs and benefits*
- *Building synergies with external process such as CBD, including the clearing house mechanism*
- *Integration of assessment into the capacity building programme.*

Working Group 3: Links between addressing livelihoods and other CITES processes

The group considered a number of questions.

1. The background paper identifies several options for linking with other CITES processes. What are the strengths and weaknesses of these options?

The group considered that livelihoods could be linked to a number of existing CITES processes. Among the options discussed were the following:

- **CITES-CBD Synergy.** Is it possible for the two Secretariats to discuss a joint livelihoods action plan? But then why limit to this one convention as there are many

other multi-laterals (and other UN agencies) that would also be relevant e.g. CMS. Therefore conduct review of MoUs and MoCs between CITES and FAO, ITTO, ICCAT, CBD, CMS etc. and identify existing work relating to livelihoods. It is suggested that CITES seek out other agreements and organisations that have relevance to livelihoods e.g. UNCCD and UNFCCC

- Wildlife Trade Policy Review and Economic Incentives. These are areas of work mandated by Decisions from Parties. Nicaragua, Viet Nam, Uganda, Kazakhstan on provisional list of countries for wildlife trade policy reviews. CITES Secretariat could include livelihood issues in the wildlife trade policy reviews, through a COP14 Decision directing them to do so.
- Significant Trade Review. It is likely that there will be opposition to changing the Significant Trade Review process. However, the significant trade review process will come up for evaluation after COP14 and it may be appropriate to have livelihoods included in the evaluation. Even though the current terms of reference would seem to be broad enough to cover livelihoods, it does not specifically mention the topic. It would be wise to propose a general Decision that directs the Secretariat to explore ways of incorporating livelihoods into relevant CITES processes and report back to the SC. In this way one would achieve its inclusion in the evaluation. The net effect of this Decision will be to have livelihoods included in various relevant processes and therefore no further action is required for the Significant Trade Review
- Strategic Vision. The outcomes of this workshop should be noted for possible inclusion in the strategic vision for 2008 to 2013. This might be raised at the CITES Standing Committee during the agenda item on the strategic vision.

2. Should the livelihoods issue become part of an existing CITES process? Or should it be treated as a distinct issue with links to other process within CITES?

Differing views were expressed on this question. One view was that livelihoods should be linked to existing processes and not to start a separate process. Another view was that it would be appropriate to initiate a new process on livelihoods.

3. Should the assessment of the livelihood impacts of CITES regulation be a national responsibility carried out at the national level?

Decision remains national issue but where appropriate there can be involvement from regional or international community, with the latter only if there is irresolvable conflict.

4. Should the assessment of the livelihood impacts of CITES regulation be carried out on a species basis (looking at the impacts across more than one Party)?

Hard to say, Yes or No, it depends very much on a case-by-case basis. (In some cases one would apply it on a species basis where few countries are involved and in other cases it would be on a species/ regional basis).

5. Are livelihood impacts only relevant to Appendix II listed species? Or are they also relevant to Appendix I listed species?

Appendix listing should not have relevance to livelihood issues, it should be dealt with across the board.

6. Is it necessary to decide first how CITES should address livelihoods issues before one considers the linkages to other CITES processes?

No, these should be parallel processes. There is a need to explain where the discussion on livelihoods comes from, what importance it has, where have some issues already been taken on board within CITES and what needs to be done to make 8.3 operational. Is there a need to first have a “manual” or drivers license before they are allowed to address livelihoods? If they already know how to do this then they should proceed. However, the debate seems to be about whether CITES should record how livelihoods are currently dealt with to provide background before the process is formalised.

Working Group 4 – Options for linkages with processes outside CITES

The findings of Working Group 4 were summarised in the table below. The group identified the links with the CBD, the BioTrade Initiative and with local authorities as particularly important. It also recommended that the background paper should be revised, taking into account that some of the linkages overlap and that it would be useful to divide the linkages into ‘political’, ‘tools and methodologies’ and ‘implementation’.

Arena of action	External process	CITES Body responsible for action	Recommended actions
Political	MEAs, Addis Ababa Sustainable Use principles, MDGs	COP & Secretariat	1. MoUs with MEAs to include issues related to livelihoods
Tools & Methodologies	Certification, sustainable livelihood framework research, BioTrade	Standing Committee, Plants Committee & Animals Committee	1. Investigate appropriate tools, methodologies. 2. Evaluate impacts on poor (including case studies)
Implementation	NBSAPs, NSSDs, Local economic development plans, PRSPs, private sector, NGOs	Parties	1. Recognise that Parties are in best position to ensure that implementation can increase positive benefits and reduce negative impacts on livelihoods. 2. Encourage Parties to link CITES implementation to other national initiatives focusing on poverty alleviation and livelihoods.

Working Group 5 - Identifying and discussing case studies to illustrate the factors that contribute to livelihoods (in the context of CITES/wildlife trade). This group built on the earlier work of WG 1

Recommendation: the following examples could be included in proposed CITES Discussion document, to illustrate and make concrete the issues involved.

1. land and resource tenure

positive examples:

- Bighorn sheep in Isla Tiburón, Mexico
 - since 1975, land is granted to local people (Seri) as a communal possession
 - if they are registered as a Wildlife Unit as Management and Conservation Unit, get rights to use resources
 - form of communal ownership (“ejido”)
 - the Seri themselves have the right to manage and make decisions, but are being advised by government and Advisory Committee
- Elephants in Botswana, Namibia, Zimbabwe
 - land belongs to state, but rights to use wildlife have been devolved to community
 - have rights to negotiate and sell rights to use to commercial operators etc.
- Saltwater crocodiles in Papua, Indonesia
 - communities have rights to manage crocodiles
 - Use rights only, not land.
 - Is resulting in conservation and sustainable management
- Wildlife in Uganda
 - Under Wildlife Act, “Resource Use Agreements” can be established with local people.
 - give people rights to go into National Parks and use particular resources
 - has resulted in people being much more positive toward park -has changed attitudes
 - sustainability of resource use remains challenge – hard to establish whether sustainable

Negative examples

- Australia
 - on indigenous owned land, no rights for commercial use of wildlife (some commercial use under permit, but difficult to secure)
 - closes off many livelihood options
- Brazil
 - no use rights for wild animals
 - only captive breeding allowed
 - because local people don’t have resources and infrastructure to establish captive breeding, negative impacts on local livelihoods
- Vietnam
 - land and resource tenure should be consistent and secure long-term to minimise the negative impact.
 - people are not clear on their rights – lack of clarity, security, consistency
 - discourages investment in sustainable management – means use is effectively “open access”
- Guatemala
 - Pateng province - Indians given legal use right in legal document
 - Management Plan developed in which given rights to exclusive control of resources, including excluding others

2. Harvester organisations

Positive

- Devil's claw in Namibia
 - organised groups have gained more benefits
- CBNRM groups in Namibia, Botswana, Zimbabwe
 - Conservancies (Nam), Community Trusts (Bots), Appropriate Authorities (Zim)
 - involve people organised to gain and share benefits
- IRATA (Indonesian Reptile and Amphibian Trade Association) in Indonesia
 - reptile skin association
 - has carried out activities such as training local communities for sustainable harvest, surveys, etc
 - help them gain sustainable livelihood benefits

Negative

3. Trader/exporter associations

Positive

- Phytotrader in southern Africa
 - has succeeded in getting better prices for harvesters
 - Distribution of benefits along the value chain
- Surinam:
 - bird traders' association has instituted screening of birds for influenza in response to avian 'flu concerns – allows assurance of health to importers
 - supports continued trade and flow of benefits to harvester communities

Negative

- "poachers" trade associations
 - by taking resources of communities, have negative impact on livelihoods
- Vietnam agarwood
 - existence of trade association means more likely to be guidelines about quality and consistency of product for processors and harvesters
 - poor or inconsistent quality has negative effect on price.
- Vietnam captive-bred crocodiles
 - has been problems with quality not always consistent
 - trade association can support raising of standards in processing and on captive breeding farmers
 - poor quality may lead to losing clients, with negative impact on livelihoods.

4. Certification, standards, labels etc

Positive

- BioTrade in Amazon
 - BioTrade verification system: verifies the implementation of sustainability criteria (BioTrade criteria) of native products
 - may lead to higher prices and livelihood benefits
- Namibia:
 - organic certification
 - delivered much higher benefits to harvesters

Negative

- ramin in Indonesia
- App. II listing
- because only one can afford to get certified, others out of business

- Impact of organic certification if it gives the wrong message that organic certification means sustainability

5. cross-sectoral/cross-agency cooperation

Positive

Negative

6. international context

Positive

- vicuna in South America
 - supportive international context has allowed downlisting of populations under sustainable management
 - has allowed benefits to flow to local communities

Negative

- wild birds - USA and Surinam
 - US Wild Bird Conservation Act 1992
 - all imports of wild birds banned
 - harvesters are indigenous communities
 - major livelihood impacts
- wild birds – USA and Argentina
 - exemption to ban for programmes supporting conservation
 - despite major programme in Argentina supporting livelihoods and conservation, no support for blue-fronted amazon trade from Argentina
 - negative impacts on local livelihoods
- corals - Indonesia and EU
 - EU import suspension on several species due to sustainability concerns
 - negative impacts on communities
- captive breeding generally
 - import restrictions requiring captive breeding can have negative impacts

Annex 1

Workshop participants

Participant List

NAME	AFFILIATION
Mr Claude Abena	Ministère des forêts et de la faune – MINFOF [Ministry of Forestry and Wildlife], Yaounde, Cameroon
Mr Svein Båtvik	Directorate for Nature Management, Norway
Ms Maria Teresa Becerra	UNCTAD BioTrade Initiative (UN Conference on Trade and Development), Geneva, Switzerland
Mr Ben Bennett	Natural Resources Institute, London, UK
Ms Susan Bingi	Uganda Export Promotion Board and Uganda BioTrade Programme
Ms Helle Biseth	Norwegian Agency for Development Cooperation -NORAD, Oslo, Norway
Dr Pieter Botha	Department of Environmental Affairs and Tourism, South Africa
Mr René Salvador Castellón	Ministerio del Ambiente y Recursos Naturales (MARENA) [Ministry of Environment and Natural Affairs], Managua, Nicaragua
Mr Kule Chitepo	ResourceAfrica (South Africa), Pretoria, South Africa
Mr Dave Cole	Centre for Research Information and Action in Africa, Southern Africa Development and Consulting (CRIAA SA-DC), Windhoek, Namibia
Dr Rosie Cooney	Australian National University (ANU)
Ms Minnie Degawan	Technical Secretariat of the International Alliance of Indigenous and Tribal Peoples of Tropical Forests, Chiang Mai, Thailand
Dr Barney Dickson	Fauna & Flora International (FFI), Cambridge, UK
Dr John Donaldson	Director of Kirstenbosch Research Centre, South African National Biodiversity Institute (SANBI), South Africa
Mr Bryan Drakenstein	Nature Conservation Division, Forest Service, Paramaribo, Surinam
Dr Holly Dublin	IUCN Species Survival Commission / SANBI, Cape Town, South Africa
Mr Phil Franks	CARE International, Nairobi, Kenya
Mr Luis Humberto Gómez Cerveró	Fundacion Amigos de la Naturaleza (FAN), [Friends of Nature Foundation] Santa Cruz, Bolivia
Ms Faustina Ida Hardjanti	Directorate General of Forest Protection and Nature Conservation, Ministry of Forestry, Jakarta, Indonesia
Dr Jon Hutton	UNEP-WCMC (World Conservation Monitoring Centre), Cambridge, UK
Mr Nguyen Huu Dung	Forest Protection Department, Ministry of Agriculture and Rural Development, Hanoi, Viet Nam
Dr Dietrich Jelden	Bundesamt für Naturschutz (BfN), Germany
Mr Julius Kibebe	CITES Management Authority, Ministry of Natural Resources and Tourism, Dar es Salaam, Tanzania
Dr Ravindra Lal	Ministry of Environment and Forests, New Delhi, India
Ms Victoria Lichtschein	Ministerio de Desarrollo Social y Medio Ambiente [Ministry of Social and Environmental Development], Buenos Aires, Argentina

NAME	AFFILIATION
Dr Ronasit Manesai	National Park, Wildlife and Plant Conservation Department, Bangkok, Thailand
Mr Xianlin Meng	Endangered Species Import and Export Management Office, State Forestry Administration, China
Ms Paola Mosig Reidl	Comisión Nacional para el Conocimiento y Uso de la Biodiversidad (CONABIO) [National Commission for the Knowledge and Use of Biodiversity], Mexico
Ms Louisa Mupetami	Ministry of Environment and Tourism, Windhoek, Namibia
Mr David Newton	TRAFFIC East/Southern Africa
Dr Ronald Orenstein	Humane Society International (HSI), Washington, DC, USA
Mrs Monique Radiharisoa	Direction générale des eaux et forêts [General Management of Water and Forests], Antananarivo, Madagascar
Mr Samsudin Abd Rasid	Department of Wildlife and National Parks, Kuala Lumpur, Malaysia
Dr Alison Rosser	Durrell Institute of Conservation and Ecology (DICE), University of Kent, UK
Ms Stella Simiyu	Secretariat of the Convention on Biological Diversity (CBD) and Global Strategy for Plant Conservation, Nairobi, Kenya.
Ms Patricia Skyer	USAID (United States Agency for International Development), Windhoek, Namibia
Mr Juan Carlos Vasquez	CITES Secretariat, Geneva, Switzerland
Dr Paul Olav Vedeld	Norwegian University of Life Sciences, Aas, Norway
Mr Stefan Verbunt	Ministry of Agriculture, Nature and Food Quality, Department of Nature, Netherlands
Mr Ugo Eischler Vercillo	Instituto Brasileiro do Meio Ambiente e dos Recursos Naturais Renováveis – IBAMA [Brazilian institute of the Environment and Renewable Natural resources]
Miss Kerry Waylen	Fauna & Flora International & Imperial College, London
Mr L. Chris Weaver	WWF/LIFE Programme, Windhoek, Namibia
Dr Lucy Welford	PhytoTrade Africa (South Africa Office), Cape Town, South Africa

Annex 2

Workshop programme

Programme

CITES and Livelihoods Workshop

5-7 September 2006

Kirstenbosch Botanical Garden, Cape Town, South Africa

Tues 5th September

Morning Chair: John Donaldson, South Africa

- 09.00 – 09.20 Welcome and Introductions: Barney Dickson & John Donaldson
- 09.20 – 09.50 *Introduction to CITES and Livelihoods Workshop*
(Presentation followed by discussion)
Barney Dickson, Fauna & Flora International
- 10:00 – 10.30 *Options for recognising and addressing livelihoods impacts of CITES trade regulations* (Presentation followed by discussion)
Barney Dickson, Fauna & Flora International
- 11.15 – 11.35 Coffee/Tea
- 11.35 – 12.20 *Links between addressing livelihoods and other CITES processes*
(Presentation followed by discussion)
Alison Rosser, Durrell Institute for Conservation & Ecology
- 12.20. – 13.00 *Links between addressing livelihoods within CITES and external processes*
(Presentation followed by discussion)
Stella Simiyu, CBD Secretariat & Botanic Gardens Conservation International
- 13.00 – 14.15 Lunch & Sign up to Working Groups

Afternoon Chair: Louisa Mupetami, Namibia

- 14.15 – 15.30 Introduction to working groups.
Three working groups established on the topics of the three presentations (1 – *Options*), (3 – *Links with other CITES processes*), (4 – *Links with external processes*)
- 15.30- 16.00 Tea
- 16.00 – 16.30 Country presentation – Susan Bingi, Uganda Export Promotion Board
- 16.30 - 17.00 Country presentation – Paola Mosig Reidl, National Commission for the Knowledge and Use of Biodiversity, Mexico
- 17.00 Close

Wed 6th September

Morning Chair: Victoria Lichtschein, Argentina

- 09.00 – 09:45 *Tools for rapid assessment of livelihood impacts of CITES trade regulations*
(Presentation followed by discussion)
Phil Franks, Care International
- 09:45-10:30 Working groups 1,3,4 finish discussions
Working group 2 (*Tools for rapid assessment*) established
- 10.30 - 11.00 Coffee/tea
- 11.00 – 13.00 Plenary session: report backs from the working groups (1,3,4).
- 13.00 – 14.00 Lunch

Afternoon Chair: Mr Kule Chitepo, Resource Africa, South Africa

- 14.00 – 14.30 Country Presentation Faustina Hardjanti, Ministry of Forestry, Indonesia
- 14.30 – 15.00 Country Presentation – Dave Cole, CRIAA SA-DC
- 15.00 – 15.30 Working groups 2 & 3 continue discussions
- 15.30 – 16.00 Tea/coffee
- 16.00 – 17.30 Working group 2 & 3 concludes discussion
Working group 5 established to discuss and collate examples
- 17.30 Close

Thurs 7th September

Morning Chair: Dietrich Jelden, Germany

- 09.00 – 09:30 Presentation by Mr Ugo Eischler Vercillo, Brazil
- 09:30 – 10:00 Presentation by Dr Ravindra Lal, India
- 10:00 - 11:00 Report back of findings working groups 2, 3 & 5
Plenary discussion
- 11.00 – 11.30 Coffee/tea
- 11.30 – 13.00 Plenary session – consolidate key findings of working groups
- 13.00 – 14.00 Lunch, Presentation by Mr Luis Humberto Gómez Cerveró, Bolivia

Afternoon Chair: John Donaldson, South Africa

- 14.00 – 15.30 Plenary Session – agreement of workshop recommendations and outputs.
- 15.30 – 16.00 Tea/coffee
- 16.00 – 17.00 Closing plenary session
- 17.00 Close

Annex 3

Background papers

Background paper 1

Options for recognising and addressing livelihood impacts of CITES trade regulations

Barney Dickson, Fauna & Flora International

1. Introduction

At CITES COP 13, in 2004, an amendment was agreed to Resolution Conf 8.3 ('Recognition of the benefits of the trade in wildlife'). A new paragraph was added to the resolution which states that the Conference of the Parties

Recognizes that implementation of CITES-listing decisions should take into account potential impacts on the livelihoods of the poor.

The new paragraph represents an explicit recognition by the Parties that the impact of listing decisions on the livelihoods of the poor is an appropriate concern. This impact is to be taken into account in the implementation of such decisions. Nevertheless, the new paragraph is short and non-specific and it does not provide much guidance to Parties as to what they should or should not do.

2. Important aspects of Resolution Conf 8.3

It is worth highlighting a number of aspects of this new paragraph in Resolution Conf 8.3.

❖ **New issue**

In many ways, taking account of the impacts of CITES listing decisions on the poor is a new issue for CITES. It is foreshadowed in certain ways, by elements of the original Resolution Conf 8.3, and by aspects of the CITES Strategic Vision. But the proposal that Parties should 'take into account' such impacts in their implementation of the decisions is novel.

❖ **Lack of clarity**

There is a lack of clarity in what is being proposed. What does it mean to 'take account' of the impact of CITES decisions on the livelihoods of the poor. Is it being suggested that Parties should strive to avoid negative impacts on the poor? Or should Parties ensure that the decisions should have a positive impact on the livelihoods of the poor? Or are Parties merely being asked to 'consider' the impacts on the poor, without necessarily being expected to do anything about it?

❖ **Emphasis on implementation**

Nevertheless, one aspect that does seem clear is that this 'taking into account' of the impacts on the poor should take place in connection with the implementation of CITES trade regulations. There is no suggestion that considerations about the poor should affect the decision about whether to introduce regulation.

❖ **Existing burdens**

Many Parties, particularly exporting countries, believe that they already face considerable burdens in implementing CITES and in reporting on that implementation. There is a reluctance to take on new commitments within the CITES framework when they already feel over-stretched.

In summary, the livelihoods of the poor is a new issue in CITES and the emphasis in Resolution Conf 8.3 is on taking account of livelihoods in the implementation of trade regulations. But it is not clear exactly what is required of Parties and Parties may be reluctant to take on new reporting burdens.

3. How to address or improve impacts on livelihoods of the poor

While the issue of livelihoods is new within CITES, some countries do have experience of attempting to combine conservation measures (including the regulation of the use of and trade in wild species) with ensuring that the poor benefit from that use and trade. This experience is potentially valuable in assisting Parties that wish to implement CITES regulations in a way that has positive impacts on the livelihoods of the poor.

While the measures that successfully combine trade regulation and livelihood benefits frequently need to be tailored to specific circumstances, it is possible to identify some general issues which are often important.

❖ Land and resource tenure

If poor people are harvesting wild species for subsequent sale, the benefits they receive are often affected by the nature of their tenure rights both over the land on which the species lives and over the species itself.

❖ Harvester organisation

If harvesters are organised in such a way as to promote their own interests, they will be able to benefit more from the sale of wild species than if they are not.

❖ Trader and exporter associations

The development of trader and/or exporter associations may help the emergence of a well-regulated trade the benefits the poor, by reducing the opportunity for exploitative relationships with buyers and increasing the price received for exports.

❖ Standards, labels, certification, etc

There are a cluster of market tools that can assist in the development of a sustainable trade that contributes to the livelihoods of the poor. They will not always be appropriate or viable. The development of certification has often been driven as much by the demands of consumers as by the needs of producers.

❖ Cross-sectoral cooperation

The above issues may fall under the responsibility of a number of different government agencies, including those that deal with land, agriculture, conservation, rural development, trade and industry. Addressing these issues successfully will require a degree of cross-sectoral coordination.

❖ Supportive international context

Ensuring that a regulated trade in wild species provides benefits for poor people may also require a supportive international context. This context includes CITES regulation itself, but also covers other regulation in importing countries, as well as consumer preferences.

4. How to tackle this issue within CITES

In the light of the above points some suggestions for how to take this forward within CITES are set out below.

❖ General statement on CITES & Livelihoods

Since this is a new issue for CITES there is a need for a general statement which sets out why the issue is important and what the expectations are on Parties. One proposal is that Parties, in implementing CITES regulations should avoid negative impacts on the livelihoods of the poor and, wherever possible, seek positive impacts.

❖ Provide support

Given existing burdens on Parties there is a case for putting the emphasis on providing support to Parties that wish to implement CITES in a way that contributes to the livelihoods of the poor. This support could involve, among other things, the development of guidelines, toolboxes and examples of good practice.

❖ Links with existing processes

Make links to existing CITES processes wherever this can assist Parties to address livelihoods.

Background paper 1

Assessing Livelihood Impacts Tools, Tips and Tactics

Dilys Roe, IIED

The amendment agreed to Resolution Conf 8.3 ('Recognition of the benefits of trade in wildlife') agreed at CITES COP 13, in 2004 states that the Conference of the Parties "recognises that implementation of CITES-listing decisions should **take into account potential impacts on the livelihoods of the poor**. This briefing paper explores what this means in practice – how do you assess impacts on poor peoples' livelihoods so that these may be addresses when implementing CITES decisions?

What do we mean by livelihoods?

First it is important to define what we mean when we talk about livelihoods, as the term can be used in many different ways. Essentially a livelihood is the mix of capabilities, assets, and activities people have to meet their basic needs their well-being. The Livelihoods adopted by the UK Department for International Development (DFID) understand people's strengths, their skills and possessions, and how these assets to improve the quality of It views people as having access to of asset or capital:

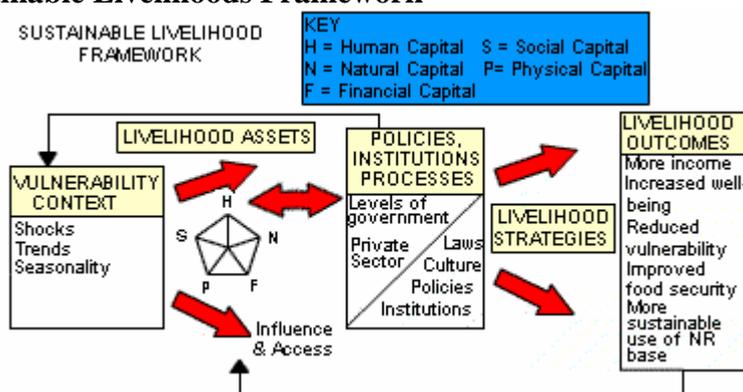
1. human (skills, ability to work, health),
2. natural (natural resources, biodiversity, environment)
3. financial (cash - or equivalent),
4. social (membership of networks and groups, relationships, norms)
5. physical (transport, shelter, water and sanitation, energy,communications).

"As might be expected, those with larger asset portfolios have more livelihood options, as well less vulnerability, than those with fewer assets. The distribution of livelihood assets in any population – rural or urban – is always uneven. Gradations of poverty exist even in the poorest communities. Gender, age and other social differences may significantly affect access to livelihood assets within the household and other groups. For example, while a tree may be regarded as a household's assets, women's rights to it may not be the same as men's. People's control over core assets is also dynamic. The "stocks" of both tangible and intangible assets fluctuate seasonally and through time in response to the contingencies of life." (Castro 2002).

and support Approach, seeks to including they use their lives. five types

Achieving sustainable livelihoods requires developing an appropriate balance between these essential assets. The mix and level of these different assets is influenced by external institutions and processes, and determines the livelihood strategies adopted (or choices made to make a living) and their subsequent outcomes (such as more income, or reduced vulnerability). This is illustrated in Figure 1.

Figure 1: The Sustainable Livelihoods Framework



How to assess impacts on livelihoods

There is no single tool or methodology assessing livelihood impacts. The Sustainable Livelihoods Framework, provides a structured way of thinking the various types of impact that may be considered, where they might occur and might be manifested. Gaining a full understanding of the impacts of any intervention on poor peoples’

“All too often the emphasis in development work is on increasing financial capital. While this is important, development practitioners should not lose sight of the need to work with local people to increase their other assets (social, physical, natural and human). These other assets support the accumulation of financial capital. In fact for many resource-poor people, the reality is that they may be unable to increase their financial capital without these assets.” (Hellin undated)¹

for
however,
through
need to be
how they

livelihoods means not just looking at obvious poverty indicators such as changes in cash income, but also at how other dimensions of well-being – food security, vulnerability, social standing – are affected. Interventions may also have a direct impact on one or more of the five assets available to poor people, or may affect these assets indirectly because of their impact on the external environment (the “vulnerability context” or “policies, institutions and processes” in the diagram). It is also important to remember that different peoples’ livelihoods are constructed in different ways and have different priorities. This means that different individuals, households, or groups are likely to be affected in different ways by the same intervention.

It is clear that poor peoples’ livelihoods can be complex and context specific. This implies that a thorough impact assessment would require the use of a range of different tools and methods – including participatory methods. Clearly if we are seeking to understand what changes (good and bad) a particular intervention has brought to someone’s life, the best way to do that is to ask the person, or people, concerned. Many tools and methodologies exist in this field that have been tried and tested – including, focus groups, semi-structured interviews and questionnaires. The resource list at the end of this briefing paper provides links to some of these.

However, a full on livelihoods impact assessment is quite time consuming, and thus expensive. It also requires a sound knowledge of baseline conditions against which to compare any changes that take place. This is likely to be beyond the scope of busy CITES officers or agencies. The following checklists, adapted from existing methodologies, do help, however, ensure that the right kinds of questions are asked and issues considered.

3. Checklists for livelihoods impact assessment

A. Identifying key stakeholders.

1. Whose livelihoods do we need to understand and assess?
2. Who will be most directly affected by the decision?
 - a. Households/individuals dependent on collecting the species in question
 - b. Households/individuals involved in the trade – as middlemen, exporters, importers etc
 - c. Households/individuals who buy the product.
3. Which groups are we concerned about – who are the poor?
4. Within each group, who are the main affected sub-groups or individuals?
 - a. Household heads?
 - b. Women?
 - c. Youth?

B. Assessing impacts on livelihood outcomes¹

<i>Desired Outcome</i>	<i>Key Questions</i>
Well being	How have these different outcomes changed for the different stakeholders? How do these changes relate to their specific livelihood aspirations? How stable and sustainable have these changes been? How do these changes relate back to the poor's access to assets?
Health	
Incomes	
Happiness	
Knowledge	
Inclusion	
Stable natural resource base	
Security	
Choice	

C. Exploring changes to livelihood strategies²

<i>Livelihood Strategy Component</i>	<i>Key Questions</i>
Enhancement	How can the livelihoods of different poor stakeholder groups be enhanced?
Diversity	How could those livelihoods be diversified?
Alternatives	What alternatives could the poor been helped to take up?
Sustainability	How has the sustainability of different livelihood strategies been affected?
Flexibility	Has the flexibility and adaptability of their strategies been affected?
Resilience	How vulnerable/resilient to changes in seasonality, trends and shocks have they become?

Resources

Useful references:

Ashley C and Hussein, K (2000). Developing Methodologies for Livelihood Impact Assessment. Overseas Development Institute

<http://www.odi.org.uk/publications/wp129.pdf>

Castro, P (2002) Sustainable Livelihoods Analysis: An Introduction. Syracuse University.

<http://www.einaudi.cornell.edu/southasia/workshop/pdf/livelihoods.pdf>

Hellin et al Measuring the Impact of Farmer to Farmer Extension Services. Intermediate Technology Development Group.

<http://www.enterprise-impact.org.uk/pdf/Hellin.pdf>

Kusters, K et al (2005) A method to assess the outcomes of forest product trade on livelihoods and the environment. CIFOR.

<http://www.cifor.cgiar.org/scripts/newscriptions/publications/detail.asp?pid=1937>

Roe, D et al (2000) Making a Killing or Making a Living: Wildlife Trade, Trade Controls and Rural Livelihoods. IIED and TRAFFIC

<http://www.traffic.org/livelihoods/>

¹ Adapted from the IMM Poverty Impact Assessment Guide

<http://www.innovation.ex.ac.uk/imm/Microsoft%20Word%20-%20Impact%20assessmentdec%202002.pdf>

² Adapted from the IMM Poverty Impact Assessment Guide

<http://www.innovation.ex.ac.uk/imm/Microsoft%20Word%20-%20Impact%20assessmentdec%202002.pdf>

Information Services

Livelihoods Connect: Guidance Sheets

http://www.livelihoods.org/info/info_guidancesheets.html

Key sheets for Sustainable Livelihoods

<http://www.keysheets.org/>

Enterprise Development Impact Assessment Information Service

<http://www.enterprise-impact.org.uk/>

Tools and methodologies

Livelihoods Connect: Sustainable Livelihoods Toolbox

http://www.livelihoods.org/info/info_toolbox.html

Power tools: for policy influence in natural resource management

<http://www.policy-powertools.org/>

Background paper 3

Making livelihood links with existing CITES processes **Alison Rosser, DICE**

1. Introduction

CITES was developed to regulate international trade in wild species, both to protect species from extinction and to ensure that harvests will be sustainable. The Convention provides different levels of trade regulation for species listed in three appendices, depending on the perceived threat (Wijnstekers 2006). However, the Convention was developed over 30 years ago, and has been criticized for the means by which it protects species from overuse and the impacts of these controls on livelihoods (Hutton and Dickson 2000). More recently, it has been recognised that absence of trade controls can also impact livelihoods negatively, and thus that careful application of CITES regulations can be positive for both conservation and livelihoods (Roe et al. 2002; Rosser et al. 2005).

Nonetheless, the CITES mandate is specifically to protect species from over-exploitation by international trade. As such it does not explicitly require that livelihood considerations are taken into account. However, the preamble to the Convention recognizes not only the aesthetic value of wildlife, but also recognizes the economic importance of wildlife and its contribution to this and future generations. Recently, global politics have seen increasing commitments to equity and poverty reduction through the millennium development goals. Within the CITES arena, national governments have reflected this commitment in the recent revision to Resolution Conf 8.3 which recognises that CITES implementation may have impacts on the poor.

Amendment to Resolution Conf. 8.3. 'recognize that implementation of CITES listing decisions should take into account potential impacts on the livelihoods of the poor'.

The Parties now have to consider means to implement this paragraph. This paper aims to summarise the options for linking the operationalisation of this paragraph on livelihood impacts of CITES listing with other existing CITES processes.

2. Advantages and disadvantages of links with CITES processes

In linking with existing CITES processes, it will be important to consider the advantages and disadvantages of making these links. Linking with existing process, could streamline and mainstream the livelihood issue within CITES as well as making use of existing models and administrative systems. On the other hand, links with existing CITES processes may over burden the existing process to the extent that it no longer delivers on its primary objectives. Some of the advantages and disadvantages are summarised below:

- **Advantages of links with existing CITES processes**
 - Could help to mainstream livelihood issue within CITES
 - Makes use of extant administrative steps and processes
 - Uses models that have worked in the past
 - Will address livelihood issues that might arise as a result of those processes
 - May leverage external funding for agreed priorities
- **Disadvantages of links with existing processes**
 - May over burden current processes
 - Need to ensure livelihoods expertise available to the existing process
 - Aims of existing process may be too different to aims of the livelihoods issue

3. Potential links with existing CITES processes

The livelihoods issue can be seen as a cross cutting issue that is of potential relevance in a number of CITES processes. It is relevant to generic processes within the Convention that seek to improve implementation at the levels of different actors. Such generic processes relate to policy and legislation; the work of the Committees; capacity building and a review of trade in Appendix I species. At the more specific level, there are two review processes related to implementation for individual species, which may provide links to examine livelihood issues. Finally, one of the more effective ways to ensure operationalisation of the livelihoods issue may be to consider the development of guidance tools, and there are several existing processes that might provide useful links. See below for a list of existing CITES processes with potential for linkage:

Generic processes:

- **CITES - CBD Synergy** - (Dec. 13.2-5)
- Many relevant aspects already in **Wildlife Trade Policy Reviews** - (Dec. 13.74-75)
- Link with work on **Economic Incentives** (Dec. 13.76)
- Examination of **Addis Ababa Principles and Guidelines for Sustainable Use** (Dec. 13.6)
- Incorporation into Resolution on **Trade in Appendix I Hunting Trophies** (Res. Conf. 2.11 rev COP9)
- Extension of Standing Committee **Review of Trade in Appendix I Species** – due to report COP14 (Dec. 13.20)
- Inclusion in follow-up to COP14 feedback on **Review of Scientific Committees** – regarding livelihoods expertise (Dec 13.9-10)
- Incorporation into Standing Committee **work on production systems and ex situ production and benefits to in situ conservation** (Dec13.68, Res. Conf. 12.10)
- Incorporation into **Evaluation of Significant Trade Review** (Dec. 13.67)
- Incorporation into **National Legislation Reviews** - (Res.Conf.8.4; Dec 13.79)
- Incorporation into **Capacity Building Programme** (Strategic Vision)
- Incorporation into **Ranching Resolution** (Res. Conf. 11.16)

Species related processes:

- Inclusion in **Significant Trade Review** (Res. Conf. 12.8)
- Inclusion in **Periodic Review** (Res. Conf. 11.1 rev COP13 Annex 2)

Processes with opportunities for tool development:

- Guidance for **Significant Trade Review** (see above Res. Conf.12.8)
- Guidance on conservation actions to be associated with the **Review of Trade in Appendix I species** – (see above Dec. 13.20)

4. Existing positive measures and livelihood impact mitigation measures

In considering links with existing CITES processes it is worth noting that CITES already has a number of processes in place that can deliver positive livelihood outcomes through

i) positive measures or ii) mitigating the effects of listings (see below). In addition to these, there may also be iii) a need to collate further guidance on the use of alternative mitigation measures.

i) Positive measures:

- Transfer to Appendix II for ranching, vicuna shearing, limited ivory sales, etc.
- Quotas for Trophy hunting of Appendix I species
- Exemptions for Artificial propagation /Captive breeding – (positive for whom if the operation is *ex situ*?)

ii) Mitigation measures:

- **Pre-listing**
 - **Delay of listing decisions e.g.:**
 - Seahorses
 - Mahogany
 - **Stimulation of other processes e.g.:**
 - ASEAN for Swiftlets;
 - FAO for Sharks, Sturgeon and Sea cucumbers;
 - ITTO for mahogany.
 - Encouragement of alternative management systems e.g. Devil's Claw in Southern Africa

- **Reversal of Impacts**

For example the annotation for the Appendix - II listing of *Hoodia* spp. provides CITES regulation for specimens that are not produced through controlled harvesting and so potentially ensures that benefits will remain with the nationally recognised harvesters:

The annotation designates all parts and derivatives except those bearing a label "Produced from *Hoodia* spp material obtained through controlled harvesting and production in collaboration with the CITES Management Authorities of Botswana/Namibia/South Africa under agreement no. BW/NA/ZA xxxxxx".

iii) Need for further guidance on mitigation measures

Where, trade is unsustainable and regulation is required to ensure long-term conservation and livelihood options, it may be necessary to ensure that alternative livelihood options and mitigation strategies have been given some thought for example **ecotourism etc.**

5. Summary

Inevitably there will be costs and benefits associated with links to any of the CITES processes highlighted above. The key will be to find a means of raising awareness among an external audience that CITES has the ability to deal with livelihood issues and to provide guidance for an internal audience on how CITES can mitigate impacts of listing decisions. Promising links might be made through the National Wildlife Policy reviews and perhaps the forthcoming evaluation of the Significant Trade Review process.

References

- Hutton and Dickson 2000. Endangered species, threatened convention. Earthscan.
- Roe, D. et al 2000. Making a killing, making a living. IIED and TRAFFIC.
- Rosser, A.MR. et al 2006. The precautionary principle, uncertainty and trophy hunting. In: Cooney and Dickson (Eds) Biodiversity and the precautionary principle. Earthscan.
- Wijnstekers, W. 2006. The evolution of CITES. Eighth edition.

Background paper 4

Assessing options for linkages with processes outside CITES

Sara Oldfield and Kerry Waylen
Botanic Gardens Conservation International

Introduction

There is now a general recognition of the linkages between the livelihoods of poor people, biodiversity and conservation within the international policy framework. The development of practical measures to implement policy which ensures that wildlife resources are conserved whilst at the same time livelihoods of the poor are improved is however relatively recent. This paper briefly considers a selection of international processes external to CITES which may be relevant to the new CITES requirement that, *implementation of CITES-listing decisions should take into account potential impacts on the livelihoods of the poor*.

Millennium Development Goals (MDGs)

The MDGs are an ambitious agenda for reducing poverty and improving lives, agreed by world leaders in 2000. There is an unprecedented level of commitment to these goals - most governments and international agencies are committed. For each of the eight goals, one or more targets have been set, usually for 2015. This agenda explicitly recognises the important link between natural resources and poverty reduction, as one of the goals is to “ensure environmental sustainability”.

Any measures which enable the sustainable use of natural resources to improve livelihoods will contribute to the MDGs. Agencies such as the IMF use the MDGs as a guide their support, and there is increasing pressure to accelerate progress towards the MDGs. Highlighting the potential of sustainably traded natural products to contribute to livelihoods, and formally aligning CITES with the MDGs, could attract significant support to help integrate consideration of livelihoods into Parties’ implementation.

Poverty Reduction Strategy Papers (PRSPs)

Programme aid is financial support to government budgets, to prioritise and protect pro-poor expenditures (e.g. for health, education and water), and to help establish an enabling macro-economic framework for equitable development. It is usually provided as part of multi-donor support package led by the World Bank and the International Monetary Fund (IMF).

To ensure governments’ ‘ownership’ of their programmes, national consultations have led to the development of PRSPs for each Highly Indebted Poor Country (HIPC). This should result in a comprehensive country-based strategy for poverty reduction, linking national public actions and donor support for outcomes that contribute to the MDGs.

Several opportunities are open for donors to mainstream environmental issues into programme and sector aid. For example, it can be specified that programmes should incorporate assessment and monitoring of environmental impacts into the planning and development process. PRSPs could therefore provide an opportunity for integration of CITES issues into national level pro-poor plans. For example, it could be specified that the programme should incorporate a management plan to control the exploitation of a CITES-listed species. Such a plan would automatically satisfy the requirements of Res Conf 8.3. However, as with all aspects of PRSPs, successful implementation requires the provision of specialist skills, as well as donor support.

World Summit on Sustainable Development (WSSD)

The WSSD was held in Johannesburg in 2002. The WSSD Plan of Implementation committed the international community to specific goals, targets and time-bound measures to accelerate the transition to sustainable development. The WSSD Plan of Implementation considers the CBD to be the key instrument for conservation and sustainable use, and for the fair and equitable sharing of benefits arising from the use of genetic resources. The WSSD Target of achieving by 2010 a significant reduction in the rate of biodiversity loss has been embraced by other international policy mechanisms including CITES and CBD as indicated below.

Equator Initiative

This is a partnership of several international conservation agencies and government departments. It was launched in 2002 to champion the importance of natural resources for reducing poverty in the poorest communities. Its work is organised around four themes: The Equator Prize, Equator Dialogues, Equator Knowledge and Equator Ventures.

Equator Ventures is committed to “unleashing and fostering” local conservation enterprises and demonstrating that small and medium sized biodiversity businesses are not only good investments, but are also a driving force for ecologically sound and more equitable development.” This could provide support for specific projects managing taxa at the national level.

Convention on Biological Diversity (CBD)

The CBD is a ‘framework’ convention with broad remit, recognising the linkage between human needs and the conservation of natural resources. It has three main objectives:

- 1) The conservation of biodiversity
- 2) The sustainable use of its components
- 3) Fair and equitable benefit sharing from the utilization of genetic resources

Many aspects of the work of CITES and the CBD are complementary with both Conventions concerned with ensuring that the use of wild species is sustainable. Both Conventions contribute to the WSSD target of achieving by 2010 a significant reduction in the rate of biodiversity loss. The CBD COP has established goals and sub-targets for focal areas in order to help assess progress towards the 2010 target. Target 4.3 links directly to CITES: No species of wild fauna and flora endangered by international trade. In 1996 CBD and CITES concluded a Memorandum of Understanding (MOU), which set out potential areas of cooperation, including reciprocal participation in meetings, exchange of information and the potential for harmonizing reporting requirements. Proposed joint activities under the MOU have included the harvesting of Non Timber Forest Products (NTFPs) including bushmeat, activities which have clear implications for livelihoods. Practical mechanisms for increased synergy were discussed at a workshop held in Vilm in 2004 (Stolpe and Fischer, 2004). Resulting from this CITES Decisions 13.2-13.5 (on CITES CBD Synergies) called for a range of actions including that the Standing Committee should identify possible priority actions to improve synergies between the two Conventions in areas of common concern in order to contribute to reaching the WSSD 2010 target, considering inter alia Sustainable Use, the Ecosystem Approach and Access and Benefit Sharing.

There is clearly potential for joint CBD/CITES work programmes focusing on the management of traded taxa, where there is concern that changes in trade would significantly and adversely impact livelihoods. Effective cooperation between CBD and CITES could increase the effectiveness of funding available to developing countries to meet the costs of implementing the requirements of both treaties. The majority of traded species included in the appendices of CITES are plants and therefore it may be particularly important to consider the potential of the CBD Global Strategy for Plant Conservation (GSPC) to contribute to CITES and Livelihoods.

GSPC

The CBD Global Strategy for Plant Conservation (GSPC), agreed by the Parties to the CBD in April 2002, sets out specific targets for the conservation and sustainable use of plant biodiversity. One of the objectives of the GSPC is to: *Support the development of livelihoods based on sustainable use of plants, and promote the fair and equitable sharing of benefits arising from the use of plant diversity.*

The GSPC contains 16 targets to be achieved by the Year 2010. Target 11 of GSPC states: *No species of wild flora endangered by international trade.* This target was included to provide a direct link with the work of CITES.

At an international level a lead agency has been identified to facilitate progress towards each target. Stakeholder consultations have been conducted to help clarify the scope of activities, develop sub-

targets or milestones, develop baseline data and indicators of progress, for each target. A Global Partnership for Plant Conservation has been established to support the worldwide implementation of the Strategy. The Partnership is an informal consortium of international and national organisations including those who are associated with particular targets. The CITES Plants Committee acts as the lead coordinating agency for the promotion and implementation of Target 11 at a global level. The targets most relevant to CITES and Livelihoods are given in Table 1.

Table 1 GSPC targets

(A) Understanding and documenting plant diversity
(3) Development of models with protocols for plant conservation and sustainable use, based on research and practical experience.
(B) Conserving plant diversity
(6) At least 30 per cent of production lands managed consistent with the conservation of plant diversity.
(9) 70 per cent of the genetic diversity of crops and other major socio-economically valuable plant species conserved, and associated indigenous and local knowledge maintained.
(C) Using plant diversity sustainably
(11) No species of wild flora endangered by international trade.
(12) 30 per cent of plant-based products derived from sources that are sustainably managed.
(13) The decline of plant resources, and associated indigenous and local knowledge, innovations and practices that support sustainable livelihoods, local food security and health care, halted.

Experiences in working towards these Targets potentially may prove useful in operationalising the new paragraph added to CITES Resolution Conf 8.3. Work on an in- depth review of the GSPC has recently begun and analysis of the achievements may prove timely in this regard.

Certification

CITES licensing can be considered a form of certification indicating that the species or species-based products in trade have been legally sourced and sustainably harvested in accordance with Non Detriment Findings. However the common perception of CITES is one of preventing trade in endangered species and therefore consumers may avoid CITES listed products rather than being reassured by the knowledge that the species is listed on CITES. Wildlife products certified as sustainable by other mechanisms are considered to have a market advantage at least in certain countries and can more clearly demonstrate benefits with rural livelihoods. Certification of timber products in accordance with the Forest Stewardship Council (FSC) for example takes into account tenure and use rights; indigenous peoples' rights and community relations and workers rights as laid down in the FSC Principles and Criteria.

There is now around 15 years experience of the international certification of sustainable forest products and some consideration has been given to the potential linkages of processes such as FSC and CITES certification for timber species. For other wildlife products certification is less well-developed although for medicinal plants an *International Standard for the Sustainable Wild Collection of Medicinal and Aromatic Plants* (ISSC-MAP) is currently being developed by WWF-TRAFFIC, IUCN-MPSG and BfN. The development of the International Standard recognises that the great majority of medicinal and aromatic species (as with timber species) continue to be collected from the wild and that this trend is likely to continue because of high costs of domestication and cultivation. It also recognises that wild collection secures valuable income for rural households. The International Standard aims to provide a set of principles and criteria that can be applied to the management of medicinal and aromatic plant species and their ecosystems. Tenure and customary rights are taken built into the principles and criteria with for example: *Agreements with local communities and indigenous peoples are based on appropriate and adequate knowledge of MAP resource tenure, management requirements, and resource value.*

UNCTAD Biotrade

Biotrade facilitation programme of UNCTAD (UN Conference on Trade and Development). “The programme supports products that have market potential and can be produced without harming biodiversity. To develop and trade these products, export plans are formulated and then implemented through a set of practical trade promotion services, including market information collection, product development, quality improvement, certification, labelling, trade fair participation and matchmaking.”

Discussion

Various processes have considered ways that livelihood issues can be incorporated into policy and practices relating to sustainable harvesting and production of wildlife products. These may be useful in providing guidance to CITES Parties concerned with taking into account the potential impacts of CITES-listing decisions on the livelihoods of the poor. ISSC-MAP is one example of an approach that aims to bridge the gap between broad conservation guidelines or policies such as CITES and specific local management plans for commodity species and that specifically takes into account livelihood issues.

The private sector may also be interested in the implementation of CITES listing decisions in relation to positive impacts on the livelihoods of the rural poor as part of their product sourcing policies. Overall there is an urgent need to demonstrate that the conservation of biodiversity and improvement of rural livelihoods are compatible and that CITES can play a positive role to promote compatibility.

References and further information

FSC (2006). Website of the Forest Stewardship Council. www.fsc.org

IMF (September 2005). *Poverty Reduction Strategy Papers (PRSP)*. IMF Factsheets
<http://www.imf.org/external/np/exr/facts/prsp.htm>

ISSC –MAP (2006). Development of an International Standard for Sustainable Wild Collection of Medicinal and Aromatic Plants (ISSC-MAP): documentation and download site.
<http://www.floraweb.de/map-pro>

IUCN (2006). *Countdown 2010, Website*. www.countdown2010.net

Koziell, I., McNeill, C.I. (2002). *Building on Hidden Opportunities to Achieve the Millennium Development Goals: Poverty Reduction through Conservation and the Sustainable Use of Biodiversity*. IIED, London, UK.

Stolpe, G and Fischer, W. (2004) *promoting CITES-CBD Cooperation and Synergy*.
http://www.biodiv.org/cooperation/final-report-cites%20cbd_vilm_workshop_report.doc

UN (2005). *UN Website: what are the Millennium Development Goals?*
<http://www.un.org/millenniumgoals>

Yaron, G., White, J. (2002). Mainstreaming Cross-Cutting Themes in Programme and Sector Aid: The Case of Environmental Issues. *ODI Natural Resource Perspectives*, no. 77.
<http://www.odi.org.uk/nrp/>

UNDP (2006). *The Equator Initiative Website* <http://www.undp.org/equatorinitiative/>

UNCTAD Biotrade Initiative (2006). UNCTAD Biotrade website <http://www.biotrade.org/>

WSSD Plan of Implementation (2002).
www.un.org/jsummit/html/documents/summit_docs/2309_planfinal.htm

Annex 4

Workshop Rationale

Rationale³

CITES and Livelihoods Workshop

5-7 September 2006, Kirstenbosch Botanical Garden, Cape Town

Introduction

At CITES COP 13, in 2004, an amendment was agreed to Resolution Conf 8.3 ('Recognition of the benefits of trade in wildlife'). A new paragraph was added to the resolution, which states that the Conference of the Parties

RECOGNIZES that implementation of CITES-listing decisions should take into account potential impacts on the livelihoods of the poor.

This new paragraph represents an explicit recognition by the Parties that the impact of listing decisions on the livelihoods of the poor is an appropriate concern. This impact is to be taken into account in the *implementation* of such decisions and the emphasis of the workshop will be on how CITES trade regulations are implemented rather than on whether to introduce such regulation. Nevertheless, the new paragraph is short and non-specific. This workshop will consider how Parties can operationalise this new paragraph.

Background

In recent years there has been a growing recognition of the linkages between the livelihoods of poor people, biodiversity and conservation. The 2010 biodiversity target, endorsed by the Parties to the CBD and by the World Summit on Sustainable Development, is "to achieve by 2010 a significant reduction of the current rate of biodiversity loss at the global, regional and national level *as a contribution to poverty alleviation* and to the benefit of all life on earth" (emphasis added). There is also increasing support for integrating the 2010 target with the Millennium Development Goals, which would further strengthen the linkage. Another sign of the growing awareness is the statement Biodiversity: *Life Insurance for our Changing World*, issued in September 2005 by the heads of the secretariats of the five biodiversity-related conventions. This stated that 'Biodiversity can indeed help alleviate hunger and poverty, can promote human health, and be the basis for ensuring freedom and equity for all.'

There has also been acknowledgment of these links within CITES, where they have typically been formulated as a relationship between the wildlife trade and development. Before the addition of the new paragraph to Resolution Conf 8.3, the single operational paragraph of the resolution stated that the Conference of the Parties

RECOGNIZES that commercial trade may be beneficial to the conservation of species and ecosystems and/or to the development of local people when carried out at levels that are not detrimental to the survival of the species in question;

³ This rationale was produced in May 2006 and circulated to all prospective participants in the workshop. b

This recognises the positive role that commercial trade can play, provided it is sustainable. A similar sentiment is found in the Strategic Vision, where it is stated that the Strategic Plan

confirms the recognition by the Parties that sustainable trade in wild fauna and flora can make a major contribution to securing the broader and non incompatible objectives of sustainable development and biodiversity conservation.

The implication is that the CITES regulatory system, by ensuring that the wildlife trade is sustainable, thereby contributes to development.

The new paragraph in Resolution Conf 8.3 marks a move forward in two respects. First, there is now an explicit link between the trade in CITES-listed species and the livelihoods of the poor. Second, there is the suggestion that something needs to be done to ensure that impacts on the livelihoods of the poor are positive ones.

This second suggestion is well-founded. While the introduction of regulation of the wildlife trade can have positive impacts on livelihoods, this will not happen automatically. In some cases the fear of negative impacts has been a major concern with some Parties, and may have increased opposition to such regulation. The new paragraph in Resolution Conf 8.3 encourages Parties to implement CITES trade regulation in such a way to ensure that it has positive impacts on livelihoods. This is valuable in itself. It also has the further advantage that, if put into practice, it might weaken opposition to regulation that derives from fears about the negative impacts on the poor. Nevertheless, as has already been noted, the new paragraph does not set out *how* Parties can ensure that CITES regulations are implemented in a way that has positive impacts. This is a task for this workshop.

Aims of the workshop

A well-regulated, sustainable wildlife trade has the potential to make a positive contribution to rural livelihoods. The revision to Resolution Conf 8.3 offers an opportunity to develop practical measures that can assist Parties in implementing the regulation of CITES-listed species in a way that improves the livelihoods of the poor. The workshop will develop options for operationalising the new paragraph. The objective and specific goals of the workshop are set out below.

Objective To identify practical measures that will contribute to the operationalisation of the new paragraph of CITES Resolution Conf 8.3 (Rev. CoP13)

Goal 1 To assess options for recognising and addressing the livelihood impacts of CITES trade regulations

Elaboration - In some cases the key to ensuring positive livelihood outcomes lies in way in which the use of the listed species is managed and regulated at the local level.

Goal 2 To assess tools for the rapid assessment of the potential livelihood impacts of implementation of CITES trade regulation

Elaboration - Development agencies have developed tools for the assessment of the potential livelihood impacts of policy decisions. It may be possible to adapt such tools for use in the CITES context.

Goal 3 To assess options for linkages with other CITES processes

Elaboration - potentially relevant CITES processes include: reporting; Significant trade reviews; Wildlife Trade Policy Reviews; evaluation of relevance to CITES of Addis Ababa Principles and Guidelines for Sustainable Use.

Goal 4 To assess options for linkages with processes outside CITES
Elaboration - potentially relevant external processes include: 2010 target; Millennium Development Goals; certification; UNCTAD BioTrade; PRSPs.

What does 'livelihoods' mean?

The term 'livelihoods' is not defined in Resolution Conf 8.3 (Rev CoP13). The concept of sustainable rural livelihoods was developed in the early 1990s. By the end of that decade several development agencies had adopted and developed that concept. These agencies included the UK Department for International Development (DfID), Oxfam and the United Nations Development Programme (UNDP). While the detailed characterisations of the approach may vary from agency to agency, they all share common features. The DfID definition of livelihoods is as follows:

A livelihood comprises the capabilities, assets and activities required for a means of living. A livelihood is sustainable when it can cope with and recover from stresses and shocks and maintain or enhance its capabilities and assets both now and in the future, while not undermining the natural resource base.

It is proposed that the DfID definition of livelihoods is used for the purposes of this workshop. The Livelihoods Approach views people as having access to five "assets":

- * human (skills, ability to work, health),
- * natural (natural resources, biodiversity, environment)
- * financial (cash - or equivalent),
- * social (membership of networks and groups, relationships, norms)
- * physical (transport, shelter, water and sanitation, energy, communications).

The 'sustainable livelihoods' (SL) framework accommodates environmental resources, goods and services as natural and physical capital, and reflects environmental knowledge and norms in human and social capital. The SL framework also links people and policy. The mix and level of assets is both influenced by external institutions and processes, and determines the livelihood strategies adopted, and their subsequent outcomes (such as more income, or reduced vulnerability).

Challenges and objections

The preparations for this workshop have made clear that many Parties are committed to the operationalisation of Resolution Conf 8.3 (Rev CoP13). Nevertheless, it is also clear that there are number of challenges and objections that must be addressed if this is to be done successfully. Three such challenges are set out below, together with initial responses.

Challenge 1 Addressing livelihoods is not part of CITES's core business.
Response It is certainly the case that the primary purpose of CITES is to ensure that the trade in wild species is sustainable. Nevertheless, legitimate questions can arise about the *way in which* the Parties pursue this core business, including the way in which they implement CITES regulations. Where there is a choice about pursuing its core business in ways that harm or benefit the livelihoods of the poor, Resolution Conf 8.3 (Rev CoP13) implies that Parties should choose the latter.

Challenge 2 Poverty alleviation is the responsibility of other agencies
Response Indeed there are many other agencies whose primary responsibility is poverty alleviation. CITES bodies do not have primary responsibility for this. But this is not to say that CITES has no responsibility for the impacts of its actions on poor people. Since poverty reduction is an accepted goal at both national and international levels, CITES bodies should not ignore the effect of their actions on this goal. This is both a pragmatic and an ethical issue. Pragmatically, CITES measures will often be more successful and are more likely to win support where they do not harm the poor. Ethically, no agency can ignore the impacts of its actions on the poor.

Challenge 3 CITES agencies lack the capacity to effectively address livelihoods
Response A lack of capacity and experience within CITES agencies may be the biggest barrier to addressing impacts on livelihoods. In order to exercise this new responsibility CITES agencies may need to work with other agencies. It will be an important task for the workshop to identify practical measures that allow CITES implementing agencies, working with others, to discharge this responsibility without imposing heavy and unrealistic burdens on them.

At the workshop

Participation

The workshop will have 40-50 participants and will include representatives of CITES Management and Scientific Authorities from a broad range of Parties together with experts with experience of linking conservation with livelihoods.

Presentations and working groups

There will be four presentations at the start of the workshop, introducing the four workshop goals (see above). Working groups will be established for each goal and these groups will report back regularly to plenary sessions.

In addition, there will also be presentations from Parties and others on their experiences (positive and negative) and their proposals on combining conservation and livelihoods.

Outputs

The workshop aims to produce four documents, corresponding to the four goals. Each document will set out and assess the options for the Parties in the particular area covered by that goal. The emphasis will be helping to develop simple tools for Parties to use in addressing livelihoods.

After the workshop

The objective of the workshop is to identify practical measures that will contribute to the operationalisation of the new paragraph in Resolution Conf 8.3 (Rev CoP13). Parties may decide to use the options identified at the workshop as a basis for proposals to CITES COP 14 in June 2007.

The deadline for the submission to the CITES Secretariat of any draft resolution or other document for consideration at CITES COP 14 is 150 days before the meeting, i.e. by 4th January 2007 (See Notification to the Parties No.2006/014).

Steering Group

The organisation of the workshop is taking place under the guidance of the workshop Steering Group. This group is made up of representatives of Argentina, Germany, Ghana, Namibia, South Africa, Botanic Gardens Conservation International, CRIAA SA-DC (Namibia), Fauna & Flora

International, International Institute for Environment and Development, IUCN, TRAFFIC International, UNEP-WCMC and WWF.

Fauna & Flora International provides the secretariat for the Steering Group, and is working with other steering group members to prepare the workshop.