

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

Eighteenth meeting of the Conference of the Parties  
Colombo (Sri Lanka), 23 May – 3 June 2019

Interpretation and implementation matters

General compliance and enforcement

COMPLIANCE ASSISTANCE PROGRAMME

1. This document has been prepared by the Secretariat in consultation with the Chair of the Standing Committee.

Background

2. At its 17th meeting (CoP17, Johannesburg, 2016), the Conference of the Parties adopted Decision 17.66, paragraphs a) and d) as follows:

**17.66 Directed to the Standing Committee**

*The Standing Committee shall, with the assistance of the Secretariat:*

- a) *consider whether a Compliance Assistance Programme (CAP) should be established to assist countries with difficulties in achieving compliance, including how such a CAP would be funded;*

...

- d) *make appropriate recommendations for consideration at the 18th meeting of the Conference of the Parties.*

3. At its 69th meeting (SC69, Geneva, November 2017), the Standing Committee considered the possible establishment of a Compliance Assistance Programme (CAP), in accordance with Decision 17.66, paragraphs a) and d), building upon the information provided at the 17th meeting of the Conference of the Parties in document [CoP17 Doc. 23](#).
4. As an outcome of its deliberations, the Standing Committee requested the Secretariat to submit at its 70th meeting a proposal on the establishment of a Compliance Assistance Programme (CAP), including associated costs.
5. The Secretariat prepared document [SC70 Doc. 27.2](#), highlighting that the different CITES compliance mechanisms put in place by the Conference of the Parties through several Resolutions are revealing the increasing need for the adoption of an integrated approach to better assist the Parties in achieving compliance, as shown in documents [SC70 Doc. 22.1](#) on *Capacity-building needs of developing countries and countries with economies in transition*, [SC70 Doc. 29.2](#) on *Review of recommendations to suspend trade made more than two years ago* and [SC70 29.3](#) on *Country-wide Significant Trade Reviews*.
6. Committee Members and Parties expressed their support for the establishment of a CAP. One Committee Member noted that smaller Parties often struggle to meet recommendations to enable trade suspensions to be lifted and that the programme could be an avenue through which they could make progress on these matters.
7. During SC70 discussions, Parties also raised questions regarding the funding of the proposed programme; namely how the required amount of seed funding was calculated and whether the amount suggested would

be sufficient. The Standing Committee instructed the Secretariat to submit, in consultation with the Chair of the Standing Committee, a more detailed proposal for consideration at the 18th meeting of the Conference of the Parties, specifying the additional cost and source of funding for such a programme and ensuring that a Compliance Assistance Programme is part of a holistic approach to capacity-building as outlined in document [SC70 Doc. 22.2](#).

#### Working definitions in the context of the Compliance Assistance Programme

8. This document mentions several terms and concepts whose definitions are proposed as follows:
- a) '*Compliance*' means to act in accordance with and in fulfilment of the Convention requirements;
  - b) '*Compliance procedures*' mean a set of actions and steps designed to facilitate and achieve compliance with obligations under the Convention as developed in Resolution Conf. 14.3 on *CITES compliance procedures*, it includes the following steps:
    - i) identification of potential compliance matters;
    - ii) consideration of compliance matters;
    - iii) measures to achieve compliance; and
    - iv) monitoring and implementation of such measures and reporting.
  - c) '*Compliance mechanisms*' are the different parts of the CITES compliance system as set up by CITES Resolutions to respond to non-compliance with key obligations under the Convention, such as the making of non-detriment findings and legal acquisition findings, submission of annual reports, etc. Such mechanisms are the following:
    - i) annual reporting as prescribed by Resolution Conf. 11.17 (Rev. CoP17) on *National reports*;
    - ii) National laws for implementation of the Convention as described in Resolution Conf. 8.4 (Rev. CoP15) (mostly known as the National Legislation 'Project');
    - iii) Review of Significant Trade in specimens of Appendix-II species as developed in Resolution Conf. 12.8 (Rev. CoP17); and
    - iv) Article XIII application as described in Resolution Conf. 11.3 (Rev. CoP17) on *Compliance and enforcement*.
  - d) '*Compliance processes*' are series of actions set up by CITES Resolutions to respond to very specific challenges or implementation issues under the Convention. The current compliance processes are the following:
    - i) National Ivory Action Plans (NIAPs) set up by Resolution Conf. 10.10 (Rev. CoP17) on *Trade in elephant specimens*;
    - ii) Review of trade in animal specimens reported as produced in captivity set up by Resolution Conf. 17.7, and
    - iii) Malagasy ebonies (*Diospyros* spp.) and palisanders and rosewoods (*Dalbergia* spp.) covered by CoP Decisions 17.203 to 17.208.
  - e) '*Compliance measures*' are recommendations adopted by the Standing Committee (sometimes under the advice and assistance of the Animal and Plant Committees in the context of the Review of Significant Trade) when Parties have difficulties in achieving compliance with the Convention and related recommendations of the Standing Committee. CITES compliance measures are described in paragraphs 29 and 30 of the Annex to Resolution Conf 14.3 and further explained in [document CoP17 Doc. 23](#). Different compliance measures can be agreed – from a written caution requesting a response and offering assistance, to a recommendation to suspend all commercial trade or all trade in specimens of one or more CITES listed species.

## Context and rationale for the establishment of the CAP

9. While several compliance mechanisms and processes for identifying non-compliance and recommending actions to restore compliance are developed under CITES, serious challenges remain for Parties to:
  - a) understand and prioritize the recommendations made under the existing compliance mechanisms, sometimes in a simultaneous and parallel manner;
  - b) respond to different communications and reporting obligations created under the different processes in a timely and substantive manner;
  - c) involve relevant Ministries and obtain high level commitments in a timely manner;
  - d) mobilize financial and technical resources within the deadlines;
  - e) manage, leverage and coordinate the assistance offered by cooperation agencies and international non-governmental organizations, which may be duplicative, push for different solutions or be not directly linked to the recommendations made by the Standing Committee, and thus confusing to the Parties concerned, notably to the CITES authorities.
10. All these constraints add levels of complexity to the implementation of critical actions usually defined in a plan communicated to the Standing Committee, which may never be implemented due to the lack of adequate and timely support, ultimately resulting in poor or no tangible outcomes.
11. Parties involved in a compliance mechanism or process may be subject to a range of international and multilateral compliance measures, including trade suspensions, when recommendations are not met in a timely and substantive manner. As a result, these measures may have a relative impact on the level of trade with consequences on economic growth, local livelihoods and incentives for effectively conserving and managing CITES-listed species.
12. Furthermore, the fact that Parties are subject to the Review of Significant Trade (RST) procedures multiple times reveals underlying problems and fundamental organizational or structural issues that go beyond the simple lack of implementation of a particular CITES requirement or recommendation. Some Parties subject to RST for many years simply suspend international trade of species covered by CITES by imposing a zero export quota without making any scientific population survey or the non-detriment findings required by the Convention.
13. CITES practical experience from over four decades of implementation of the Convention has shown that fragmented and too specific training and support tend not to solve the problems in a sustainable manner. Building from that experience, a programme dedicated to assist Parties in complying with CITES requirements and specific recommendations appears to be needed to tackle multidisciplinary, transversal and recurrent challenges due to the general lack of capacities that hamper the implementation of the recommendations.
14. As described in paragraphs 12 to 20 of document SC70 Doc. 22.1, there is an explicit interest of Parties in streamlining and consolidating the assistance provided to Parties subject to compliance measures under different CITES compliance mechanisms, including the National Legislation Project, the Review of Significant Trade, annual reporting, Article XIII process (international measures) and other compliance processes, such as NIAPs, species-specific plans, and captive-breeding operations (production systems).

## Definition and objectives of the Compliance Assistance Programme (CAP)

15. The Compliance Assistance Programme is intended to be a programme managed by the Secretariat targeted towards assisting Parties with difficulties in achieving compliance with the Convention and related recommendations of the Standing Committee. The assistance will be provided upon request from the Party concerned.
16. The CAP is a logical continuation of the CITES compliance work. It is not a stand-alone programme and does not start any assistance process from zero. The CAP will take into account the assessments and recommendations made under the different compliance mechanisms and processes, as well as all the different requirements of the Convention (legal, scientific, enforcement, etc.). It will also integrate transversal and recurrent issues (institutional capacity, information systems, modern technologies, etc.) on the

understanding that all these elements contribute to the effective implementation of the Convention and the Standing Committee's recommendations.

17. The CAP is complementary to, but different from the general capacity-building assistance provided by the Secretariat. For further explanations of the difference between the CAP and the general capacity-building activities of the Secretariat, see document [CoP18 Doc. 21.1](#).
18. As an accelerator of compliance, the CAP is aimed at enhancing the quality of the assistance provided to Parties concerned by cutting across multiple services, initiatives, donors, providers and settings to facilitate compliance and maximize results regarding the implementation of the Convention.
19. The CAP will address gaps that cannot be addressed in isolation by existing mechanisms and processes ensuring that all technical and financial support, as well as compliance activities, are well coordinated, complementary and not duplicative.
20. In other words, an integrated Compliance Assistance Programme (CAP) would aim to ensure a better alignment of CITES interventions, promote a common vision and strategy and create the conditions for joint funding, joint planning and joint delivery. The CAP attempts to respond to two general questions:
  - a) how to provide effective and timely support to CITES authorities of Parties subject to compliance mechanisms, processes and measures to ensure optimal outcomes, e.g. full and prompt implementation of Committee's recommendations; and
  - b) how to respond to persistent and recurrent non-compliance.
21. Resolution Conf. 14.3 includes in paragraph 29 e) a series of recommendations to achieve compliance, such as *providing in-country assistance, technical assessment and a verification mission, upon the invitation of the Party concerned*.
22. The CAP is designed to integrate and organize in a more agile manner the assistance provided to Parties with difficulties in achieving compliance through a programmatic response facilitated by Secretariat staff assigned to each selected Party. This includes the designation of a Compliance Assistance Programme Officer to assist and respond in real time, and when necessary on the ground, to the critical and most urgent needs of the Parties.
23. In this context, the CAP will prioritize and optimize the assistance provided to Parties by connecting the fragmented and episodic assistance currently provided to Parties following compliance measures adopted under specific and separated mechanisms, to achieve maximum impact.
24. The establishment of CAP is also expected to bridge the gap generated by the fact that the Secretariat does not have a presence in the regions nor national offices.

#### Compliance Assistance Programme Methodology

25. Building on lessons learnt from the use of compliance action plans designed and implemented under the Article XIII cases (as described in document CoP18 Doc. 27 on *CITES compliance matters*), the CAP would help Parties integrate the recommendations agreed by the Standing Committee, together with the recommendations of the Animals and Plants Committees, made under different processes, in a single action plan, especially in cases of multidimensional and persistent non-compliance, and in particular where the causes of the non-compliance relate to capacity constraints and not lack of political will or engagement. By placing the Parties concerned at the centre of the programme, the CAP is expected to enable Parties to prioritize and sequence interventions, leverage resources, ensure coherence and maximize efforts while avoiding fragmented, uncoordinated or duplicative assistance. To achieve this objective, the CAP will directly relate to the existing support capacity-building programmes to assist the Parties by addressing gaps and providing targeted solutions to cross-cutting and related issues.
26. The Secretariat will keep the Standing Committee informed of progress made in facilitating, steering, guiding and coordinating the assistance for achieving compliance through the implementation of the following five pronged-approach:
  - I. Selection of eligible Parties to benefit from the CAP;

- II. Identification of Parties' strengths and needs through technical missions;
- III. Identification of in-country assistance coordination mechanisms and other type of frameworks for effective aid management at the national level to align donor assistance, foster coordination and facilitate the channelling of sustained financial support through the development of action plans;
- IV. Technical assistance and guidance to strengthen institutional capacities, including peer-capacity building and mentoring; and
- V. Monitoring, tracking and evaluation.

This five pronged-approach is developed in the following paragraphs.

*I – Selection of Parties eligible to benefit from the CAP*

- 27. Parties will benefit from the support provided by the CAP when, despite their political will and best efforts, factors of non-compliance persist, and when existing compliance mechanisms and processes cannot respond in isolation to more systemic problems that go beyond the scope of one specific compliance mechanism or process. Indeed, the severity of the difficulties may indirectly reveal deeper structural and organizational issues that requires an integral response.
- 28. Parties will be eligible to benefit from the CAP based on the overall consideration and assessment by the Secretariat of the following criteria:
  - a) Parties currently subject to one or several compliance mechanisms handled under Article XIII and described in paragraph 30 of the Annex to Resolution Conf. 14.3 on *CITES compliance procedures*;
  - b) Parties currently subject to one or several compliance processes when combined with other related compliance mechanisms mentioned in a);
  - c) Parties with persistent implementation issues identified through compliance mechanisms;
  - d) Parties with significant volumes of exports of CITES-listed species;
  - e) Parties committed to take part in the CAP and to nominate a national focal point from the CITES Management Authority to absorb and benefit from the assistance.
- 29. The CAP will give priority assistance to Parties with the greatest needs in the best possible, timely and cost-effective manner.
- 30. Eligible Parties to benefit from the CAP will be identified by the CITES Secretariat through a desk-based review based on the recommendations of the Standing Committee and the criteria listed in paragraph 28 above. Subject to available funding, eligible Parties will be included in the Compliance Assistance Programme through the implementation of the steps mentioned below

*II – Identification of Parties' strengths and needs through technical missions*

- 31. Integrated compliance assistance should be Party-driven, with the technical support provided by the Secretariat and centred on the strengths and weaknesses of the Party concerned. Several years of experience in the implementation of the difference compliance mechanisms and processes provide considerable evidence that the use of a Party-driven approach must lie at the heart of any discussion about integrated compliance assistance in order to have sustained impact through engaging other sectors of the government.
- 32. Engaging with CITES national authorities and institutions is a core function of the CITES Secretariat and is critical for the proper implementation of the recommendations of the Standing Committee. Addressing the lack of engagement of Parties subject to long-term trade suspensions is often complicated by the coexistence of multiple factors and by the presence of political, social, geographical and economic impediments. One of the common reasons to recommend trade suspensions under CITES compliance mechanisms is the lack of responses to the requests sent by the Secretariat pursuant to decisions adopted by the CITES governing bodies or to bilateral requests sent by Parties. This is frequently the case under the Review of Significant Trade or the lack of submission of reports under other processes.

33. The method developed by the Secretariat in providing compliance assistance to Parties such as the Lao People's Democratic Republic and the Democratic Republic of the Congo started by engaging with the CITES authorities in a proactive and transparent manner, keeping informed their Permanent Missions to the United Nations in Geneva<sup>1</sup>. After this first 'engagement step', the Secretariat quickly moved to assess the strengths of the Parties and the international assistance available to address the compliance shortcomings. The implementation capacity of the Parties was more easily unblocked when the Secretariat focused first on assessing the Parties' strengths and identifying potential leverage points, as well as building trust.
34. The first major achievement of any compliance assistance programme occurs when Parties are open to the offer of support and become aware of their capacity needs. This stage is obtained after conducting one or more technical missions to the countries, as provided in Resolution Conf. 14.3. Technical missions well prepared in advance make an important difference compared to long distance communications. Hence, the paramount importance of including technical missions in the Standing Committee's recommendations. It was observed that successful technical missions help Parties generate the political momentum to gradually get out of the vicious cycle of persistent non-compliance. While sustained engagement and assistance from all relevant stakeholders should be considered, the CAP would place the Parties in the driving seat, empowering them to determine the pace and direction of the process in consultation with the Secretariat.

### *III – Identification of in-country assistance coordination mechanisms*

35. Most of the time, Parties have some capacity that is either insufficient or not at the right place or disconnected from the implementation of CITES requirements. In those cases, Parties seem to require a **capacity linking strategy** that brings together the existing capacity of the country to a central coordinated place in order to deliver on the execution of compliance action plans activities. Bringing relevant stakeholders together, that sometimes have never met before, is one of the initial outcomes of the visits of the Secretariat to the Parties concerned.
36. From this, the CAP will assist Parties concerned in developing action plans based on Standing Committee's recommendations designed to:
  - a) group recommendations by area of concern (species, science, legislation, enforcement, outreach, etc.);
  - b) prioritize Standing Committee's recommendations to be implemented first in accordance with the given timeframe;
  - c) identify needs of Parties concerned and potential gaps;
  - d) identify available technical and financial assistance and resources;
  - e) include internal and external communication and reporting features;
  - f) design clear and measurable targets and indicators;
  - g) involve all relevant stakeholders;
  - h) monitor, tracking and evaluation;
  - i) indicate costs and sources of funding, where possible.
37. The implementation of the action plans developed by the Parties based on the Standing Committee's recommendations requires a rapid alignment of the financial needs and of existing donor funding mechanisms, schemes and programmes that are available to the Party concerned. Several possible ways exist to take stock of current Party and donor programming and identification of ongoing technical assistance activities deployed in recipient Parties. Parties should decide which among the number of different types of in-country assistance coordination mechanisms is more suitable to strengthen national ownership and alignment, improve accountability, as well as increase efficiency in the use of administrative capacities for assistance coordination. This may include donor roundtables, informal in-country donor coordination,

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<sup>1</sup> Further information on technical missions related to the application of Article XIII in the Democratic Republic of Congo is available in documents SC66 Doc.28, SC67 Doc. 12.2.1, SC69 Doc. 29.2.2 and SC70 Doc. 27.3.2.1. Further information on technical missions related to the application of Article XIII in the Lao People's Democratic Republic is available in documents SC67 Doc. 12.1, SC69 Doc. 29.2.1 and SC70 Doc. 27.3.1

collaboration at project level, substantive sectoral coordination, etc. The important element is that in-country coordination assistance can only be achieved through the efforts of committed individuals, nominated in-country focal points, prepared to provide the sustained effort required. The extent and depth of coordination is adaptable and can change over time.

38. Bearing in mind that resources are scarce and that there is a need to be more strategic in prioritizing, in-country assistance coordination should explore the potential for scaled-up financial resources to ensure the timely implementation of the action plans by strengthening existing funding arrangements and/or developing new arrangements. It should also aim at fostering coordination and facilitating the channelling of sustained assistance (not just one-off workshops or trainings). This would imply strengthening alignment of donor funding to accelerate implementation, reduce duplications and maximise the impact and efficiency of investments, by identifying coordination and funding leverage opportunities among different donors.
39. For the preparation of in-country assistance coordination, the Management Authorities may interact with representatives of cooperation and implementing agencies, international organizations, diplomatic missions and other potential donors/investors present in the territory of the Party. Some Parties may wish to promote informal development partner groups involving a mixed group of representatives of other Parties that maintain close relations with the Party concerned and international organizations active in the country to share the information mentioned above. They may provide important technical assistance to CITES authorities and support the Secretariat before and during the technical missions to the Parties concerned.
40. Therefore, through the CAP, recommendations could also be made to Parties to provide general guidance on prioritizing activities and investments. This would ensure a sensible balance between different thematic issues (legal, scientific, enforcement), taking into account the opportunities and constraints that may arise with respect to weak governance.

#### *IV – Technical assistance and guidance to strengthen institutional capacities (including peer-capacity building from government to government and mentoring)*

41. The fourth and larger component of the CAP is the provision of technical assistance and guidance to strengthen the institutional capacity required for the implementation of an action plan. This includes the classic capacity-building methodologies, such as coordination and training workshops, as well as the development and/or the use of virtual learning, toolkits and materials prepared by the Secretariat and its partners.
42. Parties with specific needs (legal, scientific, enforcement) represent an important subgroup and are those exposed to an increased risk of persistent non-compliance (e.g. chronic illegal trade in wildlife, late reporting, etc.). Some of these Parties may require sustained international assistance to cope with their obligations. The two approaches used by the Secretariat when it provides *in situ* compliance assistance to those countries are 'learning by doing' and 'problem-solving'. CITES authorities are coached and mentored to implement in real time the Standing Committee's recommendations and deal with concrete issues. In certain cases, the Secretariat observes that Parties may need sustained assistance for a period of time, e.g. three to six months according to the budget included in Annex 2 to this document, in order to build all the necessary capacity to produce long-lasting change. The establishment of the CAP would bring the opportunity to deploy on the ground short-term personnel placements to assist Parties during three to six months, when relevant and appropriate.
43. Ideally, such personnel could be seconded by governments in a scheme of peer-capacity building from government to government. Peer support among CITES authorities is one of the most cost-effective ways to build capacity. Some Parties have already established this type of initiative and are implementing programmes with success in different subregions. It goes beyond the scope of this document to describe these experiences here; Parties are invited to share with the Secretariat information on the development of peer-capacity building programmes bilaterally or via information documents. There may be some cases where the personnel cannot be seconded by governments for different reasons, including security, political or economic constraints. In those cases, it might be appropriate to create a small compliance budget line within the core budget of the Secretariat to conduct compliance assistance missions and deploy short-term personnel that provide targeted compliance assistance to the Parties concerned. See further below the estimation of the cost associated with the establishment of the CAP.
44. Academia and organizations may be also a good source of assistance, if well-coordinated and aligned with the needs of the Parties, notably in the area of science (e.g. population surveys, forestry management, rescue centres for confiscated live animals, etc.).

45. The Master's Course in 'Management and Conservation of Species in Trade, the International framework' hosted since 1998 (13 editions) by the International University of Andalucía, provides high-quality, specialised training in the scientific bases, techniques, and instruments required to facilitate the implementation and development of the Convention. Most of the 336 international students from all continents that have taken part in this programme are currently working for governmental organizations responsible for the implementation of CITES, and non-governmental organizations, universities, or environmental institutions involved in the implementation of CITES. As such, they represent a key resource to be potentially used as in-country focal points to initiate and further implement CITES related compliance programmes such as the CAP.
46. Further, the Secretariat will consult the Secretariat of the Global Environment Facility (GEF) and aid development agencies of potential donor countries, in order to explore the possibility and feasibility of strengthening the compliance-based component of the Global Wildlife Programme and other relevant programmes, by developing a subprogramme component on CITES Compliance Assistance taking into account the recommendations of the Standing Committee and the needs of the Parties concerned.
47. In collaboration with the Montreal Protocol, the Secretariat will also assess the lessons learnt from the implementation of a Compliance Assistance Programme under the Multilateral Fund for the implementation of the Montreal Protocol and other relevant programmes for compliance assistance.

#### *V – Monitoring, tracking and evaluation*

48. Monitoring progress towards achieving compliance needs to focus on changes to the extent international trade in CITES-listed species is conducted in accordance with the Convention, i.e. is legal, sustainable and traceable; and illegal trade is effectively combatted and drastically reduced with the aim of improving the conservation status of the species. Monitoring the levels of compliance with trade measures recommended by the Standing Committee largely depends on the reliability of the data collected by Parties. At least two kinds of monitoring may be conducted under the existing mechanisms: one in real-time during the period that the compliance measure is in effect and another one that is retroactive and based mainly on the annual reports. If the data collected via the permit verification system (See Notification to the Parties No. 2014/017, for example), or other sources, is inaccurate, i.e. it does not reflect the actual trade that took place, the proper ISO two-letter country code, the source or purpose codes or all the permits cancelled and replaced; then the verification of permits becomes a difficult exercise. Regarding the retrospective analyses, when trade in violation of the compliance measures is not reported in the annual report by one of the Parties involved in the transaction, and when effective control system to corroborate information provided in real time are not in place, then the information contained in annual reports may in some cases be misleading.
49. Currently, the two kinds of monitoring are mixed in different compliance procedures. Data and information on compliance achievements are stored in multiple and separated IT systems, or on electronic and paper files that do not allow cross-checking of data and efficient analysis. Each compliance mechanism and process has its own database or system to monitor progress. For instance, the NIAP accomplishments are assessed individually for each Party following indicators, while the NLP has its own table to monitor progress by Parties made on legislation.
50. Parties need to be able to assess both their implementation status and momentum whether they are in the phase of planning, engaged in the transition towards full compliance or already at a certain endpoint of the process. A single and integrated system would be very relevant to organize information historically, compile and evaluate progress made under existing compliance mechanisms, use a CITES system of indicators, information collection and tracking mechanisms and processes, as well as to get a good overview of implemented compliance activities for each Party.
51. The Conference of the Parties may wish to consider the need to allocate the necessary resources for the development of an appropriate electronic compliance platform which would allow the Secretariat to better organize compliance-related information in a less fragmented and more consistent manner based on the general considerations of the document CoP18 Doc. 27 on *CITES compliance matters*.

#### Associated resources of establishing a Compliance Assistance Programme

##### Human, technical and financial resources

52. The integrated Compliance Assistance Programme (CAP) is intended to foster the collaborative process by encompassing fluid communication and facilitating compliance assistance along a continuum through agile

resource coordination. For this reason, the establishment of the CAP would require the creation of professional post for a 'Compliance assistance officer' at the P3 level and the development of an electronic compliance platform to process the information collected under the different compliance mechanisms and processes, as well as the permit and trade-related information sent to the Secretariat by the Parties concerned.

53. The CAP would also imply a more efficient use of existing resources at national and international levels, including within the Secretariat. It is expected to maximize the effective use of the available financial resources. It would build upon the external funds available under ongoing bilateral and multilateral cooperation assistance that are identified by in-country coordination mechanisms (QTL - CITES External Funds) and small seed funds provided by Parties in the core budget of the Secretariat for country specific assistance (CTL - CITES Trust Fund). A detailed budget is provided in Annex 2 to the present document.

*Technical missions and deployment of short-term consultants or seconded staff*

54. The CAP would require the allocation in the Trust Fund of seed funds for an amount of USD 150,000 per annum for the conduction of four to five technical missions and the deployment of short-term personnel to the priority Parties identified by the programme. These seed funds, that are expected to leverage and mobilize additional available resources, appear to be a very modest cost compared to the benefits that such a programme could generate for Parties and the Convention. The short-term personnel could be also seconded directly by Parties that are willing to provide bilateral assistance to Parties benefiting from the CAP in a scheme of peer-capacity building from government to government.

Recommendation

55. The Conference of the Parties is invited to adopt the draft decisions proposed in Annex 1 to the present document.

## Draft decisions on the Compliance Assistance Programme

### 18.AA

#### Directed to the Parties

Parties are invited to:

- a) provide financial or technical support to Parties subject to compliance mechanisms and other related compliance measures as specified in Resolution Conf. 14.3 on *CITES compliance procedures* to further strengthen their institutional capacity, including the possibility of deploying short-term 'placements' or 'secondments' to the Parties concerned and peer-capacity building activities as part as the Compliance Assistance Programme (e.g. bilateral cooperation and mentoring by fellow authorities of another Party); and
- b) provide to the Secretariat any relevant information on bilateral or multilateral financial or technical assistance provided to Parties subjected to CITES compliance measures to ensure the effective implementation of the provisions of the Convention and the recommendations of the Standing Committee.

### 18.BB

#### Directed to the Secretariat

The Secretariat shall establish a Compliance Assistance Programme (CAP) and:

- a) issue a Notification to the Parties requesting information on any compliance assistance currently provided by governmental, intergovernmental and non-governmental entities;
- b) upon request, conduct technical missions and facilitate the organization of in-country assistance coordination mechanisms to selected Parties eligible to benefit from the Compliance Assistance Programme;
- c) in consultation with the Masters Course in 'Management and Conservation of Species in Trade, the International framework' hosted by the International University of Andalucía and other relevant masters, explore the possibility and feasibility of training and deploying short term consultants or interns to assist Parties benefiting from the Compliance Assistance Programme;
- d) in consultation with the Secretariat of the Global Environment Facility (GEF) and development aid agencies of potential donor countries, explore the possibility and feasibility of strengthening the compliance-based component of the GEF Global Wildlife Programme and other relevant programmes, by developing a subprogramme on CITES Compliance Assistance taking into account the recommendations of the Standing Committee and the needs of the Parties concerned;
- e) in collaboration with the Montreal protocol and other relevant multilateral environment agreements, conduct a rapid assessment of the lessons learnt from the implementation of a Compliance Assistance Programme under the Multilateral Fund for the implementation of the Montreal Protocol and any other similar initiatives that specifically provide compliance-related assistance; and
- f) report to the Standing Committee on the progress made in the implementation of Decisions 18.AA and BB and on the feasibility of mainstreaming a compliance assistance component in the Global Wildlife Programme of GEF and other relevant programmes;

### 18.CC

#### Directed to the Standing Committee

The Standing Committee shall monitor progress in the implementation of the Compliance Assistance Programme (CAP); consider whether Resolution Conf. 14.3 on *CITES compliance procedures* should be amended to reflect the creation of a CAP and assess the report submitted by the Secretariat regarding the collaboration with the

Masters Course in 'Management and Conservation of Species in Trade, the International framework' hosted by the International University of Andalucía and other relevant masters; the feasibility of mainstreaming a compliance assistance component in the Global Wildlife Programme of GEF and other relevant programmes; and report its findings and recommendations to the 19th meeting of the Conference of the Parties.

**TENTATIVE BUDGET AND SOURCE OF FUNDING  
FOR THE IMPLEMENTATION OF DRAFT RESOLUTIONS OR DECISIONS**

According to Resolution Conf. 4.6 (Rev. CoP16) on *Submission of draft resolutions, draft decisions and other documents for meetings of the Conference of the Parties*, the Conference of the Parties decided that any draft resolutions or decisions submitted for consideration at a meeting of the Conference of the Parties that have budgetary and workload implications for the Secretariat or permanent committees must contain or be accompanied by a budget for the work involved and an indication of the source of funding. The Secretariat proposes the following tentative budget.

<b>Activities</b>	<b>Budget per annum</b>	
	<b>CITES Trust Fund (CTL) - USD</b>	<b>CITES External Funds (QTL) - USD</b>
Staff cost – Compliance Assistant Programme Officer (P3)	USD 175,226	
Deployment of short-term consultants		USD 70,200
Four technical compliance missions of the Secretariat (USD 10,000 per mission)	USD 40,000	
National coordination and training workshops	USD 110,000	
<b>Sub-Total CTL / QTL</b>	USD 325,226	USD 70,200
<b>Total Budget per annum</b>	USD 395,426	

Detailed budget for the implementation of the Compliance Assistance Programme on one and three years

Activities	Unit	# Units	Rate (USD)	Total 1 year by Source of funding		Total CAP 1 Year (USD)	Total CAP 3 Years (USD)
				CTL*	QTL*		
<b>1. Staff time</b>							
Compliance Assistant Programme Officer (P3)	Years	1	175 226	175 226		175 226	
<b>Subtotal staff time:</b>				<b>175 226</b>			
<b>2. Consultancies</b>							
Short Term consultancies incl. salaries/visas/travel costs/accommodation (2 consultants x 3 months)	Number of people x Months	6	11 700		70 200	70 200	210 600
<b>Subtotal consultancies:</b>					<b>70 200</b>		
<b>3. Technical missions</b>							
Technical compliance missions of the Secretariat (1 Officer x 4 missions)	Number of missions	4	10 000	40 000		40 000	120 000
<b>Subtotal technical missions :</b>				<b>40 000</b>			
<b>4. Workshops</b>							
National Coordination workshops (3 workshops per year - 20 people )	Flat rate	3	22 000	66 000		110 000	330000
National Training workshops (3 workshop per year - 20 people)	Flat rate	2	22 000	44 000			
<b>Subtotal workshops:</b>				<b>110 000</b>			
<b>Total CAP (USD)</b>				<b>325 226</b>	<b>70 200</b>	<b>395 426</b>	<b>1 186 278</b>

Notes:

\* CTL - CITES Trust Fund

\*\* QTL - CITES External Funds (subject to available funding)