



## **List of North American Region CITES Appendix II Priority Species**

**for the project**

### ***Strengthening conservation and sustainable production of selected CITES Appendix II species in North America***

#### **Request for Proposals**

#### **Commission for Environmental Cooperation**

**2015**

The Commission for Environmental Cooperation (CEC) is requesting proposals from prospective consultants related to the development of a list of CITES Appendix II priority species of common regional interest. Specifically, the consultant would be expected to develop a document that includes a prioritized list of North American Region Appendix II species and that provides justification for the proposed list. The consultant is also expected to provide any original databases and analyses. These outputs will allow development of a final prioritized list of those species for which exchange and collaboration of regional information can facilitate conservation; the legality, traceability and sustainability of trade; and the implementation of CITES trade provisions. For a complete description of the project, including tasks and related budget, please visit the CEC website at: <[www.cec.org/Page.asp?PageID=122&ContentID=25914](http://www.cec.org/Page.asp?PageID=122&ContentID=25914)>.

The CEC is an intergovernmental organization created by Canada, the United States and Mexico under the North American Agreement on Environmental Cooperation (NAAEC). The CEC was established to address regional environmental concerns, help prevent potential trade and environmental conflicts, and promote the effective enforcement of environmental law. The Agreement complements the environmental provisions of the North American Free Trade Agreement (NAFTA).

### **Terms of Reference**

#### **A. Overview and Scope**

This project aims to portray the trade of selected regional species that are listed in CITES' Appendix II to promote their legal, sustainable and traceable trade. Project work will involve two phases:

Phase I: i) Identify and prioritize traded Appendix II species; and ii) Conduct a comprehensive trade analysis to identify challenges and opportunities in implementing improvements (bearing in mind elements that are based in traditional ecological knowledge (TEK), when applicable).

Phase II: Establish and launch action plans to strengthen and improve regional collaboration and information exchange related to the management of and trade in selected Appendix II species. These action plans should address identification issues, examine source and purpose codes; review non-detriment findings (NDF) and their link with conservation and sustainable use; and

include consideration of indigenous and local communities (including TEK-based elements, when appropriate).

The scope of the Terms of Reference below applies specifically to Phase I (i) Identification and prioritization of traded Appendix II species.

## **B. Description of Services**

The consultant shall coordinate with the CEC's designated contacts to accomplish the following:

The consultant will develop a prioritized list of Appendix II species of common regional interest to the North American countries that will ultimately improve the species' conservation and sustainable use. The focus should be on selecting Appendix II species for which regional information exchange and collaboration can facilitate the species' conservation; the implementation of CITES trade provisions pertaining to them; and the legality, traceability, and sustainability of trade in them. Appendix II species of regional interest for the prioritized list are those that are native to at least one country—Canada, Mexico and/or the United States—and that are traded from more than one of these countries (from Mexico *and* from the United States to the European Union, for example) or between the countries (e.g., from Mexico to Canada). The prioritized list may also include groups of species associated with certain trade types for which the exact species may not be the same but for which there may be issues of common concern, such as live trade, pet trade, fur trade, skin trade, food product trade, and wild plant trade. The prioritized list should include no less than 10 species or groups of species associated with a particular trade type. The prioritized list will be used as the basis for action plans in a later phase of the project.

Recommended priorities should be established by analysis of trade and biological information, and through consultation with regional CITES experts and authorities. A detailed rationale for each choice shall be provided. To assist the consultant, a number of examples of type situations which might be considered as priorities, are provided below.

- a) A species or species group that is (or could be) traded between species range countries, for which there may be opportunities for facilitation of trade or improved understanding of how provisions of CITES are applied differently (e.g., due to differences in legal provisions, regulatory standards, NDF-making, enforcement, compliance, capacity).
- b) Opportunities for *in situ* conservation and development of local communities: This can be done through giving priority to wild sourced specimens—such as wild [W] and ranched [R] and plantations [in the case of flora]—over other sources, such as artificially propagated or captive-bred. This will help identify collaboration opportunities with local communities that could benefit from the sustainable management of their native resources.
- c) *Illegal Trade in Wildlife—A North American Perspective* (CEC publication available at <[www3.cec.org/islandora/en](http://www3.cec.org/islandora/en)>): This overview of the global trade (legal and illegal) in wild fauna and flora, the global and North American response to illegal trade and the gaps, obstacles, and challenges to improve implementation of CITES in the region could be useful to develop the priority list.

Information to support selection and prioritization of Appendix II species of common regional interest:

- Timeframe of the information to be considered: 10 years (2004–2014).

- Consultation with CITES trade experts and/or CITES authorities in each of the countries.
- Trade information
  - Main types of specimens in trade
  - Exporting and importing countries
  - Constancy, magnitude and tendency of trade
- Biological information
  - Distribution (range countries)
  - Ecological importance (e.g., umbrella/keystone species)
  - Conservation status: National and international framework (e.g., IUCN)
  - Population(s) trend and harvest practices

Annex 1 to this document provides further criteria to aid the process of selection and prioritization of Appendix II species of common regional interest.

There is no requirement for travel anticipated for this contract.

### **Deliverables**

1. Document including a prioritized list of North American Region Appendix II species, with a detailed justification of the methodology and rationale behind the proposed list.
2. Original databases (e.g., Excel files) with rough data (specifying sources considered) and associated analysis. This deliverable is requested in order to ensure that the process that derived the prioritized list is properly documented and therefore traceable.

The Consultant will carry out the work described from 23 November–23 December 2015. The contract funds will cover all expenses related to production of the deliverables.

### **C. Periodic Reporting Requirements**

Throughout the project, the consultant will work in close collaboration with the CEC, the project's Steering Committee, and experts to gather information to support delivery of the work. The consultant may consult directly with government officials and other experts, as needed. However, the consultant shall report only to, and receive direction only from, the CEC Program Manager (or designate).

7 December 2015	Progress report including partial list and databases (progress to date) as well as any issues, challenges and proposed solutions in order to fulfill contract requirements.
23 December 2015	Final report comprises: <ol style="list-style-type: none"> <li>1. Document including a prioritized list of North American Region Appendix II species, with a detailed justification of the methodology and rationale behind the proposed list.</li> <li>2. Original databases (e.g., Excel files) with rough data (specifying sources considered) and associated analysis.</li> </ol>

## Quality of Deliverables

The consultant is responsible for providing deliverables **of publishable quality** (i.e., copy-edited prior to submission) in English, Spanish or French and, when applicable, for the technical editing of the materials. The consultant will submit to the CEC Secretariat all written material (including complete drafts and final reports) in Microsoft Word, following the format of the CEC's *Report Template* and adhering to the precepts of the *Guidelines for CEC Documents and Information Products*, as supplemented by the CEC's language style guides (available at: [www.cec.org/Page.asp?PageID=924&ContentID=2697&AA\\_SiteLanguageID=1](http://www.cec.org/Page.asp?PageID=924&ContentID=2697&AA_SiteLanguageID=1) for English, [www.cec.org/Page.asp?PageID=122&ContentID=2697&SiteNodeID=206&BL\\_ExpandID=577&AA\\_SiteLanguageID=3](http://www.cec.org/Page.asp?PageID=122&ContentID=2697&SiteNodeID=206&BL_ExpandID=577&AA_SiteLanguageID=3) for Spanish, and [www.cec.org/Page.asp?PageID=122&ContentID=2697&SiteNodeID=206&BL\\_ExpandID=577&AA\\_SiteLanguageID=2](http://www.cec.org/Page.asp?PageID=122&ContentID=2697&SiteNodeID=206&BL_ExpandID=577&AA_SiteLanguageID=2) for French). Supporting documents for tables, figures and maps will be submitted with the report in their original file format (e.g., Excel or ArcGIS). Note that all amounts shall be presented in metric units. The CEC Secretariat will be responsible, when applicable, for translation, printing, publication and distribution of products from this activity.

Upon delivery by the consultant of a final version of the report or other written materials under the project, the CEC reserves the right to a 15-business day period to review the document(s), notify the consultant of any potential issues or errors, and return the document(s) to the consultant for appropriate corrections, at no extra cost. In all cases, contract payments will be withheld if products submitted to the CEC fail to fulfill the quality and formatting requirements specified above. In the event that the consultant neglects to make the required corrections or if, following corrections, a deliverable remains unsatisfactory, the document shall be edited or revised by a third party designated by the Secretariat, the cost of which shall be deducted from the consultant's fees at a rate of C\$60 per hour.

## Plagiarism

Plagiarism is the act of conveying someone else's original expression or creative ideas as one's own and can be a violation of copyright law. Neither intentional nor unintentional plagiarism is acceptable to the CEC. The consultant must follow good scholarly methodology in preparing reports and deliverables under the contract, including systematic referencing in footnotes or in-sentence references, for any secondary sources, quotations, data, etc., that do not originate with the author. Sources for tables and figures reproduced from other literature must be given in a "Source" attribution immediately below the table or figure. Failure to properly reference the source of such borrowed material constitutes plagiarism and will be considered a breach of contract. For further information, see *Guidelines for CEC Documents and Information Products*, [www.cec.org/Storage.asp?StorageID=11565](http://www.cec.org/Storage.asp?StorageID=11565). In addition, for every written deliverable submitted, the Consultant must use iThenticate software, or an equivalent software approved by the Commission, to validate the written product in question and must forward the plagiarism review results to the CEC at the time of document submission. Contract payments will be retained if products do not fulfill these requirements.

## Requirements

*To be eligible for further consideration, all consultants must fulfill the following basic requirements.*

The consultant, as well as all their personnel and subconsultants, must reside and be authorized to work legally in Canada, Mexico or the United States of America. If travel is required, the consultant must possess valid documentation to travel within these countries.

The consultant must have:

- Advanced degree in a related discipline
- Strong CITES background including knowledge of, and experience with, trade, conservation and sustainable use of Appendix II species in a North American context
- Ability to communicate effectively in written and spoken English, Spanish or French
- Demonstrated ability to produce databases, reports and publications

The consultant must be fluent in both written and spoken English, Spanish and/or French; proficiency in English is desirable.

The proposal should not exceed three (3) pages, exclusive of applicant resume or corporate brochures. It should include a detailed cost breakdown, including number of person/days of key and other personnel, direct and indirect costs, travel costs and applicable taxes.

Potential consultants must also submit any additional information that will assist the CEC Secretariat in the evaluation of their proposal, such as samples of previous work and letters of recommendation from previous assignments. This information is not subject to the three (3) page limit.

The consultant deemed best qualified will be selected on the basis of a competitive process, in accordance with sections 2.5-2.7 of the *CEC Consultant Services Procurement Manual*, available at

[www.cec.org/Page.asp?PageID=122&ContentID=1239&SiteNodeID=217&BL\\_ExpandID=&AA\\_SiteLanguageID=1](http://www.cec.org/Page.asp?PageID=122&ContentID=1239&SiteNodeID=217&BL_ExpandID=&AA_SiteLanguageID=1).

The CEC Secretariat intends to use its standard milestone-based contract for these services. A sample is available upon request.

The consultant will be paid in the following manner:

- Upon signature of the contract and invoice
- Upon receipt and approval of final deliverables and invoice

Payment shall be made only for *bona fide* consultant fees and legitimate expenses incurred in accordance with the contract for professional services, and only upon receipt and documented acceptance by the Secretariat of statement(s) of account/invoice(s) from the consultant.

Settlement of invoices that are acceptable for payment will normally be made 30 days from the date of receipt by the Commission.

The budget for this activity will not exceed C\$10,000 (Canadian dollars), including professional fees and expenses. Reimbursable expenses are detailed in the CEC standard contract, available upon request; in addition, the cost of using iThenticate software to detect plagiarism (US\$50) should also be considered.

If a currency other than Canadian dollars is used, the consultant should indicate the total cost of the professional services in Canadian dollars as well as the currency of choice, for comparison purposes.

## Conflict of Interest

“Conflict of interest” means, but is not limited to, a situation where a consultant’s personal interest is sufficiently connected with professional duties under the contract, such that it results in a reasonable apprehension that said personal interest may influence the exercise of professional responsibilities under the contract. For example, a direct conflict of interest exists when the consultant is also a CEC government official, or is related to or closely affiliated with a CEC government official, CEC staff member or third party involved with the performance of the services.

The consultant will inform the CEC Secretariat of any circumstance that existed prior to the execution of this contract or that could manifest during the performance of this contract, which could constitute a conflict of interest. The consultant will complete and sign, on behalf of all his or her personnel, the attached *Declaration of Acceptance and Impartiality and Independence* (see Annex 2). The Consultant will also take note of the *CEC Consultant Services Procurement Manual*, available at

[www.cec.org/Page.asp?PageID=122&ContentID=1239&SiteNodeID=217&BL\\_ExpandID=&AA\\_SiteLanguageID=1](http://www.cec.org/Page.asp?PageID=122&ContentID=1239&SiteNodeID=217&BL_ExpandID=&AA_SiteLanguageID=1).

## Deadlines for Proposal Submission and Decision

The proposal, including all relevant attachments, must be received by the CEC Secretariat offices by **17:00 EST on 4 November 2015**. Proposals submitted after this deadline will not be considered.

**Proposals must be submitted via e-mail to [lrobidoux@cec.org](mailto:lrobidoux@cec.org).** Proposal format may be in Microsoft Word or Adobe PDF format. Once the proposal has been submitted electronically, the CEC will confirm receipt within three business days. If receipt is not confirmed by e-mail within this time, **applicants must contact the CEC**. The contact person is:

Lucie Robidoux  
Program Manager, Ecosystems and Sustainable Communities  
Commission for Environmental Cooperation  
393, rue St-Jacques Ouest, bureau 200  
Montreal, QC, Canada H2Y 1N9  
Tel: 514-350-4300; Fax: 514-350-4314

The CEC Secretariat intends to select the consultant within five (5) working days following the proposal submission deadline. Notification of selections will be made on or about 11 November 2015.

**ANNEX 1. Data sources to consider for selection and prioritization of Appendix II species of common regional interest**

- UNEP-WCMC trade database
- Information on commercial value of trade from CITES Regional Authorities
- Other available trade data
- Conservation status data and reports
- Other relevant trade and biological information, including databases and assessments from other nongovernmental (NGOs) and intergovernmental organizations (IGOs) including but not limited to: the Food and Agriculture Organization (FAO), the International Union on the Conservation of Nature (IUCN, and its Red List assessments), NATURESERVE.

## ANNEX 2.

### CONSULTANT'S DECLARATION OF ACCEPTANCE AND IMPARTIALITY AND INDEPENDENCE FOR CONTRACT

I, the undersigned,

Last Name: \_\_\_\_\_ First Name: \_\_\_\_\_

#### ACCEPTANCE

☐

hereby declare that I accept to serve as consultant in the subject contract.

#### IMPARTIALITY AND INDEPENDENCE

*(If you accept to serve as a consultant, please check one of the two following boxes. The choice of which box to check will be determined after you have taken into account, inter alia, whether there exists any past or present relationship, direct or indirect, with any of the Parties to the North American Agreement on Environmental Cooperation ("NAAEC") or their Commission for Environmental Cooperation ("CEC") representatives, Secretariat staff, and/or third parties involved in the performance of this contract, whether financial, professional, familial, or of another kind and whether the nature of any such relationship is such that disclosure is called for pursuant to the criteria set out below. Any doubt should be resolved in favor of disclosure.)*

☐

**I am impartial and independent** with respect to the NAAEC Parties and their CEC representatives, CEC Secretariat staff, and third parties involved in the performance of this contract, and intend to remain so; to the best of my knowledge, there are no facts or circumstances, past or present that need be disclosed because they are likely to give rise to justifiable doubts as to my impartiality or independence, and that may constitute a conflict of interest.

OR

☐

**I am impartial and independent** with respect to the NAAEC Parties and their CEC representatives, Secretariat staff, and/or third parties involved in the performance of this contract, and intend to remain so; **however**, I wish to call your attention to the following facts or circumstances which I hereafter disclose because they might be of such a nature as to give rise to justifiable doubts as to my impartiality or independence, and that may constitute a conflict of interest. Where facts or circumstances exist that might give rise to the latter such doubts, I may set out measures I intend to take to mitigate or eliminate any doubts regarding my impartiality and independence, and/or a possible conflict of interest. (Use separate sheet and attach.)

Date: \_\_\_\_\_

Signature: \_\_\_\_\_