

Comments on specific sections of the *Guidelines*

1. Introduction

Article VIII, paragraph 7, of the Convention requires each Party to submit to the Secretariat an annual report summarizing the following information:

- the number and type of permits and certificates granted;
- the States with which trade in specimens of species included in Appendices I, II and III occurred;
- the numbers or quantities and types of specimens and the names of species as included in Appendices I, II and III; and
- the size and sex of the specimens in question.

The present guidelines for the submission of annual reports were prepared by the Secretariat in accordance with Resolution Conf. 11.17 (Rev. CoP13₁) and were approved by the Standing Committee. They were corrected by the Secretariat following the 15th meeting of the Conference of the Parties (Doha, 2010) to incorporate the results of decisions made at that meeting, take account of changes in standard nomenclature and update the ISO codes for countries and territories.

One of the functions of these guidelines is to encourage Parties to present information in a standard form, so that it can be easily computerized, with two main objectives:

- to enable monitoring of the extent of world trade in each species included in the CITES Appendices and the identification of potentially harmful trade; and
- to enable monitoring of the implementation of the Convention and the detection of potentially illicit trade.

The standard format proposed herein is designed for data on specimens imported, exported, re-exported or introduced from the sea, or on permits or certificates issued. It does not deal with any other information to be included in a report (such as information on administration and details of prosecutions), which may be presented in the format considered by the reporting Management Authority to be the most appropriate.

2. General principles

a) Annual reports must contain information on imports, exports, re-exports and introductions from the sea of specimens of all species included in Appendices I, II and III.

However, as information on trade in manufactured products is of limited use, it is considered acceptable for records of trade in manufactured specimens of species in Appendices II and III to be summarized in the report [see paragraph g) below]. Where the products include contents not derived from CITES species, the figure recorded should, as far as possible, be the amount that is actually from specimens of CITES species.

b) Each annual report should cover the period 1 January to 31 December.

c) Annual reports should be prepared in one of the three working languages of the Convention: English, French and Spanish.

d) The data should be divided into two main categories:

- IMPORTS; and

– EXPORTS AND RE-EXPORTS.

A separate section may be made to summarize the imports, exports and re-exports of manufactured products derived from species included in Appendices II and III.

Any introductions from the sea should be included in the section on imports, and the field corresponding to 'exporting country' should in these cases be recorded as "ZZ".

- e) As far as possible, the data in the report should record the actual trade that took place, i.e. the quantity of specimens that entered or left the country. If it is not possible to report the actual exports and re-exports, the data on such trade should come from each permit and certificate issued.

N.B. The annual report should state clearly whether the data used for the records of imports and exports/re-exports are based on **"permits/certificates issued"** or on **"actual trade"**.

If permits have been cancelled/expired/lost/replaced or otherwise unused for some reason, these should be excluded from the report.

Comment: Parties do not consistently report the basis on which the annual reports are compiled (permits issued/actual trade), and yet this is information that is very useful for trading partners to know when comparing their trade with what has been reported by other countries. To highlight this reporting requirement, perhaps "N.B." could be added at the beginning of the second paragraph and the words "permits/certificates issued" and "actual trade" put in bold.

- f) The animal and plant species traded should be listed in the taxonomic order given in the Appendices of the Convention, under the following headings: Mammalia, Aves, Reptilia, Amphibia, Elasmobranchii, Actinopterygii, Sarcopterygii, Holothuroidea, Arachnida, Insecta, Hirudinoidea, Bivalvia, Gastropoda, Anthozoa, Hydrozoa, Flora. The species of flora should be listed following the alphabetical order of the families. Within each family, genera and species should be arranged alphabetically.

Comment: This is likely to be an onerous task for Parties to put all species in taxonomic order with the higher taxonomic information, and one that may be of limited value. Higher taxonomic information provided as separate headings must all be manually deleted out of each report by UNEP-WCMC prior to uploading it into the CITES Trade Database. Perhaps this requirement could be removed as the database itself links the species names to the appropriate higher taxonomy? We therefore suggest deletion of this paragraph unless presentation in this way is useful to the Secretariat.

- g) The report should include a record of each shipment of each species. Multiple species traded on the same permit should be put in separate rows with all corresponding permit information repeated for each species.

However, for shipments of manufactured products derived from species in Appendices II and III [see paragraph a) above] the trade may be summarized. Summaries of trade in manufactured products of species in Appendix II and III need indicate only the following: the number and type of permits and certificates granted, and the names of the species and the total numbers or quantities and types of specimens for each of the States with which such trade occurred.

Comment: Summaries of trade in manufactured products are difficult to enter into the database if quantities are summed across multiple trading partners. Currently, all trade is entered with exporting country "various" (XV) when there is more than one country associated with a quantity. We have revised the sample report to disaggregate the information so that detail regarding trading partners is included.

- h) The data should include entries of specimens seized and/or confiscated upon import or export from the country. These should be indicated as 'Status X' [see recommendation 3 i) below]. Re-exports of seized specimens should also be indicated as 'Status X'.
- i) Any record relating to a specimen that was traded in accordance with an exemption, under Article VII of the Convention, should be annotated to show this. The annotation may be included in the 'Remarks' column or, in the case of pre-Convention items using the code 'O' in the 'Source' column,

Comment [KM1]: The 'Actual trade/permits issued' requirement is perhaps something that should be discussed in more detail at the Standing Committee. If a decision is taken to require annual reports to be compiled on the basis of actual trade, then sections relating to this would need to be revisited (e.g. year, reporting of cancelled permits, etc.).

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Comment [KM2]: This is dependent upon SC discussions regarding the introduction of the use of 'Status'.

It also may need further revision if it is decided that additional details on seizures should be provided via annual reports for entry into the CITES Trade Database (as highlighted in para 28 of WG report).

Both components would have funding implications in order to expand the trade database, but could be incorporated into the planned redevelopment of the trade database which we are currently fundraising for and hope to begin summer 2013.

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3. Specific instructions

The headings in this section refer to the column headings in the recommended format for reports, in section 4 below.

a) Appendix

Enter the number of the Appendix in which the taxon was listed at the time the trade was authorized.

If a specimen of a species in Appendix I is considered or treated as being in Appendix II because it was bred in captivity or artificially propagated, or because the trading Party has entered a reservation, the specimen is nonetheless of a species in Appendix I and should be reported as such within annual reports.

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b) Species

Enter the scientific name of the species or subspecies, using the binomial (genus and species) or trinomial (genus, species and subspecies). Only one species/term combination should be included per row of the annual report. If more than one species and/or more than one type of specimen for a specific species were traded on the same permit, these should be put on separate rows, each with corresponding term code, quantity, source, permit number etc.

The scientific names used must be those recorded in the Appendices or, for species included in the Appendices as part of a higher-taxon listing, those included in the standard lists of names approved by the Conference of the Parties. (Approved names are also found in the *Checklist of CITES species*, the *CITES bulb checklist*, the *CITES Cactaceae checklist* and the *CITES orchid checklist*). Abbreviations (e.g. "F. cherrug") should not be used. The use of synonyms should also be avoided; if synonyms are included these should be put in the Remarks column.

The names of higher taxa should not be used to indicate the species traded unless the specimens cannot be identified, in which case the name of the genus must be indicated (see separate relevant Notifications, e.g. regarding trade in stony corals) or the Conference of the Parties or the Secretariat has agreed that the use of higher taxon names is acceptable, or other specific exemptions apply [see Resolution Conf. 12.3 (Rev. CoP15) part XIV e)].

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Comment: Some Parties put several species in this field (e.g. if one item includes both elephant ivory and teak or several species of reptile) with only one corresponding quantity. This makes it difficult to add correct quantities into the database. We have added the sentence to the first paragraph to make this point clear that separate rows are needed. The addition of the synonym information is because some Parties include the synonym as well, but put it in parentheses in the same column as the accepted name, so all of these have to be manually deleted before uploading the report into the database. We often receive reports with higher taxon information (including some with only the Phylum (e.g. Mollusca spp.), so we have tried to make the guidance on the use of higher taxonomy clearer.

Regarding hybrids: Parties should report hybrids indicating the genus plus the word "hybrid" within the Species field. Additional details (e.g. *Falco cherrug x peregrinus*) can be included within the Remarks field, if desired. There is one exception to this: sturgeon hybrids (Acipenseriformes) should be reported in full (e.g. *Acipenser baerii x naccarii*).

Comment [KM3]: This may need further consideration – how closely do Parties wish to monitor hybrids? Is genus hybrid sufficient?

The Appendix listing of hybrids should be reported as the most restrictive Appendix of the parent taxa (e.g. a hybrid between an Appendix I species and an Appendix II species should be reported as Appendix I).

Regarding plants, Parties should:

- i) make every effort to report trade in CITES-listed plants at the species level or, if this is impossible for those taxa included in the Appendices by family, at the generic level; however, artificially propagated Appendix-II orchid hybrids may be reported as such;
- ii) distinguish in their annual reports between plant specimens of wild and of artificially propagated origin;

Comment [KM4]: UNEP-WCMC are currently producing a report to assist the Secretariat in implementing Decision 14.39 (Rev COP15) which will assist the Plants committee in determining whether there are any taxa of Appendix-II artificially propagated plants for which detailed reporting is less valuable.

- iii) consult their national timber organizations to identify any anomalies in their annual reports and to discuss remedies if such anomalies exist; and
- iv) carefully review their procedures for reporting the trade in timber species included in the Appendices to ensure that reporting is based on permits used rather than permits issued.

Comment: Parties report hybrids inconsistently and the current advice appears unclear. For plants, it states that “artificially propagated Appendix-II orchids may be reported as such”. Parties interpret this many ways with combinations of “Orchidaceae hybrid”, “[genus] hybrid” or details on the actual species that have been hybridized. Also, how should hybrids that are not Appendix-II orchids be reported? Recently Belgium queried this section, asking for advice on how to report artificially propagated Appendix-I orchids, e.g. does “Paphiopedilum hybrid” suffice? The same question could apply to animal hybrids: Falco hybrids, etc.

We would recommend the use of [genus] hybrid as we have described in the amended text above.

Regarding hunting trophies: Parties should report all the trophy parts of one animal as one trophy if the parts are exported together on the same permit (e.g. horns, skull, cape, backskin, tail and feet (i.e. ten items)). Similarly, if, for example, only two trophy parts (e.g. the skull and skin) of an animal are exported, then these items together should also be recorded as “1 trophy”. This will help to ensure that the CITES Trade Database reflects more closely the actual number of animals traded as hunting trophies.

If only one trophy part is traded then this should be recorded separately under the most descriptive term (e.g. SKI or SKU). A whole stuffed body is recorded under ‘BOD’; a skin alone is recorded under ‘SKI’; etc.

Comment: Advice on hunting trophies is unclear and is not consistently being followed by Parties. We have therefore tried to revise it and raise the profile of this advice by giving it its own paragraph as opposed to having this information only in the Terminology table.

Regarding raw ivory, Parties should include in their annual reports complete data on imports, exports and re-exports of raw ivory including, as a minimum, the country of origin, the year that the export was authorized under a quota, the number of whole or substantially whole tusks, and their individual weights and serial numbers;

Regarding black corals, Parties should make every effort to report trade at the species level but, if this is not practical, they should adopt the following guidance:

a) for trade in worked specimens of black coral where the species cannot be readily determined, the specimens may be recorded at the genus level and where the genus cannot be readily determined, the trade may be recorded at the level of Order ‘Antipatharia’;

b) trade in raw black coral and live black coral should continue to be identified in trade to species level; and

Regarding stony corals, Parties should make every effort to report trade at the species level or, if this is not practical, at the generic level at least. A list of coral taxa where identification to genus level is acceptable but which should be identified to species level where feasible was published in Notification to the Parties 2010/014.

However, Parties should note that:

- i) for shipments where Coral rock (also live rock and substrate) [as defined in Resolution Conf. 11.10 (Rev. CoP15)], but excluding dead corals, cannot be identified to the level of genus, the trade should be recorded as ‘COR’ with the unit kilograms (kg) and may be recorded at the level of order (‘Scleractinia spp.’) [see Resolution Conf. 11.10 (Rev. CoP15)]; and
- ii) shipments of coral sand and coral fragments, [as defined in the Annex of Resolution Conf. 11.10 (Rev. CoP15)] are not considered readily recognizable and are therefore not covered by the provisions of the Convention [see Resolution Conf. 9.6 (Rev.)].

- Deleted: ‘base rock’ and ‘substrate’ made of coral
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c) Term code

Enter the appropriate trade term code for the item(s) in trade in accordance with the codes listed in section 5 a) below. If it is not clear which is the correct term to use, or if the specimens are not apparently covered by any of the terms in section 5 a), a term code should be entered in conjunction with a written description in the "Description of specimen" column to ensure that the specimens are accurately represented within the database.

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d) Description of specimen

If there is not a term code that accurately reflects the item in trade or if a Party would like to include additional details on the description of the type of specimen, this column can be used. This could be useful in the case of hunting trophies, for example, where the appropriate term code would be "TRO", but the Party would like to specify that multiple items were in trade in the Description column (e.g. 1 skull; 1 skin).

Comment: We suggest the addition of a separate "Term code" column to help minimise misinterpretation as the "description" field is often used to give additional details (e.g. "Skull, skin, fullmount, horns, etc.) as opposed to simply stating the term "TRO". This would ensure that the correct code is put into the database.

e) Quantity

Comment: The sentence above appears to refer to "unit" and we therefore suggest deletion.

Enter the numerical value for the quantity of items in trade. Quantity and Unit should be indicated in separate columns. See next section for details of reporting units.

The use of thousand separators in the quantity field should be avoided, and use of either a point or a comma as a decimal separator should be consistent throughout the report.

The quantity recorded should be only the quantity of the specimen of the species named. For example, if 10 kg of cloth contains only 100 g of hair of *Lama guanicoe*, the quantity recorded should be only 100 (with the unit 'g' recorded in a separate column).

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Comment: Quantity and unit should be put in separate columns, so we have created a new section for unit and moved any information relevant for reporting units there. We have also added the first sentence to make this clear. The units used should correspond to the preferred and alternative units provided in section 5 a, but this is already stated subsequently.

f) Unit

Enter the code for the appropriate unit of measurement using the unit codes provided in section 5 a). As far as possible, units should be recorded in metric measures. Quantities should always be recorded in standard units of measure and never in non-standard units such as 'boxes', 'cartons' or 'bales'.

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Comment [KM5]: This section was moved up.

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The preferred unit of quantity indicated in section 5, a) should be recorded if possible. Otherwise, the alternative unit that is indicated should be used. Both units may be recorded if the data are available, but the supplementary quantity/unit should be in a separate column that is clearly labelled. If the unit of measurement used is neither the preferred unit nor the alternative unit, the annual report should contain the conversion factor to one of these units.

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If no unit is specified, this will be assumed to mean "number" (e.g. number of live animals).

If the data cannot be obtained to allow entry of either the preferred or the alternative units, the quantity of specimens should be recorded so as to allow:

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- verification of the quantity actually traded; and
- where relevant, estimation of the impact of the trade on the wild population of the species.

Comment: We are uncertain what Parties are being asked to supply with the statements “verification of the quantity actually traded” and “estimation of the impact of the trade”. Based on annual reports submitted, Parties do not seem to be providing this type of information. Perhaps those requirements need additional clarification or examples?

g) Quotas

For species subject to quotas, include a table listing the species and specimens, the level of the quota and the total number or quantity of specimens for which export was authorized or, preferably, the total number or quantity actually exported. This should be done for the national quotas as well as for those determined by the Conference of the Parties.

Comment: “Quotas” is not one of the table headings as described at the beginning of this section. Typically, Parties provide a separate table on quotas or provide details on quotas in the remarks column. This information is not stored as part of the CITES Trade Database. We wonder whether this information is required by the Secretariat; if not, we suggest the deletion of the requirement to provide details on quotas.

h) Country of origin/export/destination

The name of the country in each case should either be indicated in full or by the use of two-letter ISO codes for the representation of names of countries, in accordance with the list in section 5 b) below. If any of the trading partners (e.g. the country of origin of re-exports) are unknown, this should be indicated as “XX” or “Unknown”.

Comment [KM6]: This sentence was moved up.

In the section of the annual report on exports and re-exports, record:

- country of destination; and
- country of origin of re-exports.

N.B. The country of origin should only be used for re-exports. If the transaction represents a direct export, the country of origin field should be left blank.

In the section of the annual report on imports, record:

- country from which the specimens were consigned (i.e. country of export or re-export); and
- country of origin of re-exports.

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N.B. The country of origin should only be used for re-exports. If the transaction represents a direct export, the country of origin field should be left blank.

Comment: Many Parties confuse the country of origin, entering their own country as both the exporter and the country of origin when the trade is a direct export. We suggest the above amendments to minimise this practice. Also, frequently the country of origin is not included for re-exports.

i) Permit or certificate number

In the case of exports and re-exports, only the number of the export permit or certificate issued to cover the shipment is required. If the import and country of origin permits are included, these should be put in separate columns that are labelled as such.

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In the case of imports, only the number of the export permit, re-export certificate or other certificate issued by the Management Authority or competent authority of the exporting or re-exporting country

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is required. If the import and country of origin permits are included, these should be put in separate columns that are labelled as such.

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In the case of introductions from the sea, enter the number of the certificate of introduction.

Comment: Many Parties report several permit types: export permits, import permits and country of origin permits. The database has the capacity to keep this information, but the permits need to be provided in separate columns in order to record them correctly (often they are all put in the same column).

j) Purpose

Enter the purpose of the transaction in accordance with the terminology in section 5 c) below. If the purpose is not one of those specified, it should be explained in the section for remarks.

k) Source

Enter the source of the specimens in accordance with the terminology in section 5 d) below. This column should also be used to indicate specimens pre-Convention items (source O), as well as the source of seizures/ confiscations (with corresponding Status code 'X' in Status field).

Comment [KM7]: This is dependent upon the SC adopting the WG recommendation to add in a new field for Status code as a way of recording seizures/ confiscations more accurately.

It will require an amendment to the CITES Trade Database that will depend on securing funding for the redevelopment of the trade database.

l) Status

Fill the field with an 'X' for each record of seized/confiscated specimens and leave this field blank for all records of cleared specimens.

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m) Year

Enter the year in which the trade took place if the report is compiled on the basis of actual trade, or the year in which the permit was issued if the report was compiled on the basis of permits issued.

Comment [KM8]: As commented previously, the required basis of reporting should be the subject of broader discussions at the Standing Committee. If actual trade is adopted then this section could be revised accordingly.

n) Remarks

This column should be used to:

– justify omission in other columns, such as the name of the country of origin;

Comment: Suggest deletion of the above; Introduction from the sea should be indicated by country of origin 'ZZ'.

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– indicate whether a specimen was traded in accordance with one of the exemptions under Article VII of the Convention if this is not indicated in another column (e.g. if the specimens were pre-Convention or traded between registered scientific institutions);

Deleted: indicate the registration numbers in the case of transactions between registered scientists or scientific institutions;

Comment: The information on registered scientific institutions is not currently submitted in a format that can be captured in the CITES Trade Database. UNEP-WCMC has suggested that an amendment to the central database or a specific database could be developed to capture transaction details between registered scientific institutions. We would be happy to discuss this possibility further.

– include any additional information on confiscated or seized specimens;

– specify identification markings (tag number, ring number, etc.);

– indicate if a permit is replacing a permit that was submitted in a previous year's report. Permits that have been cancelled, replaced or expired during the period covered by the annual report should be removed from the report so that the data is not entered into the CITES Trade Database. Parties can also contact UNEP-WCMC directly if trade transactions did not take place and need to be removed from the database.

Comment [KM9]: This is only an issue when Parties report on the basis of permits issued. This section could be revisited depending on whether requirements regarding the basis of reporting is revised.

4) Recommended format

Annual reports may be submitted in electronic format (ideally as an Excel or csv file, but Word documents are also acceptable), Submission of PDF files, however, should be avoided as the information in a PDF file requires conversion into other more useable formats, such as Excel.

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The information submitted should correspond to that indicated in the following tables.

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IMPORTS

Appendix	Species	Description of specimen	Term Code	Quantity	Unit	Country of export or re-export	Number of export permit or re-export certificate	Country of origin (of re-exports)	Number of country of origin permit	Number of import permit	Purpose	Source	Status	Y	

EXPORTS/RE-EXPORTS

Appendix	Species	Description of specimen	Term Code	Quantity	Unit	Country of destination	Country of origin (if re-export)	Number of export permit or re-export certificate	Number of country of origin permit	Number of import permit	Purpose	Source	Status	Y	

5. Terminology

a) Description of specimens and units of quantity

Description	Term Code	Preferred unit	Alternative unit	Explanation
...
coral (raw)	COR	kg	no.	<p>coral, raw or unworked <u>and Coral rock (also live rock and substrate). Coral rock should be recorded as 'Scleractinia spp.'</u>.</p> <p>NB: the trade should be recorded by number of pieces only if the coral specimens are transported in water. <u>Live rock (transported moist in boxes) should be reported in kg; coral substrate should be reported as number of pieces (as these are transported in water as the substrate to which non-CITES corals are attached).</u></p>
...
<p>Key to units <u>(always put unit in its own column, separate from quantity):</u></p> <p>g = grams kg = kilograms mg = milligrams l = litres cm² = square centimetres cm³ = cubic centimetres ml = millilitres m = metres m² = square metres m³ = cubic metres no. = number of specimens</p>				

Comment [KM10]: Parties report units for coral rock inconsistently so further clarifications for reporting have been added.

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Comment: UNEP-WCMC suggests that several new terms could be added to the table in a) to describe parts and derivatives found in trade including. Parties may wish to add to this list:

- IVC: Ivory carvings
- BOC: Bone carvings
- HOC: Horn carvings
- PUP: Pupae
- PRL: Pearl (e.g. for Strombus gigas)

Additionally, we suggest that the following term is removed:

- *Whole: This term does not seem to add anything additional to the terms "BOD" (in the case of animals) or "LIV"/"DPL" in the case of plants.*

Comment [KM11]: These three could be incorporated under "carving" as they are referenced in the explanation, but the codes are not provided.

The use of the term carving for corals may also need further guidance (e.g. should this include jewellery, etc)?

Similarly, cacti rainsticks are also reported as both timber carvings and timber pieces. Guidance as to the preferred term may be useful here.

Comment: Further clarifications appear to be needed for the following specimens, as identified by Canada. These could be added to the "Explanation" column of the corresponding specimen type. There may be additional terms that need clarifications, so a more detailed discussion on the description of specimen table may be needed to ensure that Parties have appropriate guidance for the variety of specimens that occur in trade.

Explanation of specimen in trade	Suggested corresponding description where these could be included
Bear – legs, hind legs, front legs, dressed legs with claws –	skin piece, foot, body?
Bear – claw necklace	claw
Bear – teeth necklace	tooth
Queen Conch – conch horn	shell, derivatives, live?
Bear, walrus, cetacea spp, wolf, etc - Ceremonial masks	derivatives, skin, ivory?
Elephant - Foot skeleton	foot
Bear, lynx - fur blanket, fur blanket complete with satin backing (contains 12 skins)	plate
Lynx - handmade pillows	skin
Black bear - European scalp	skin piece
Narwal - Flukes	tail
Narwal Left and right Flippers	foot

Comment [KM12]: Should choose only one term to go in the final table.