A report on annual reports submitted by the Parties to CITES

Prepared for the CITES Secretariat

under the

CITES Secretariat/UNEP-WCMC Consultancy for 2002

Prepared and produced by: UNEP World Conservation Monitoring Centre, Cambridge, United Kingdom

The UNEP World Conservation Monitoring Centre was established in 2000 as the world biodiversity information and assessment centre of the United Nations Environment Programme. The roots of the organization go back to 1979, when it was founded as the IUCN Conservation Monitoring Centre. In 1988 the World Conservation Monitoring Centre was created jointly by IUCN, WWF-International and UNEP. The financial support and guidance of these organizations in the Centre's formative years is gratefully acknowledged.

Prepared for: CITES Secretariat, Geneva, Switzerland

A contribution to UNEP – The United Nations Environment Programme

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Introduction

This report has been prepared by the World Conservation Monitoring Centre under the CITES Secretariat/WCMC Consultancy for 2002. It updates the *Report on annual reports submitted by the Parties to CITES* prepared for the 11th meeting of the Conference of the Parties (CoP11) at Gigiri (Doc. 11.19, Annex 2).

The aim of the report is to provide feedback to QTES Parties on the annual report data submitted by the Parties since CoP11, particularly in light of Decisions 11.37 and 11.89 on annual reports and subsequent determinations by the Standing Committee. Only reports received by the CITES Secretariat and/or UNEP-WCMC by 30 June 2002 have been considered for this analysis.

At the time of writing (July 2002) there were 158 Parties, six of which joined after January 2001 (based on the date of entry into force of the Convention).

Annual report submission

Figure 1 shows the number and proportion of annual reports submitted for each year since 1975. In this case no account is taken of the timeliness of submission, only presence or absence of data for a given Party and year is indicated.

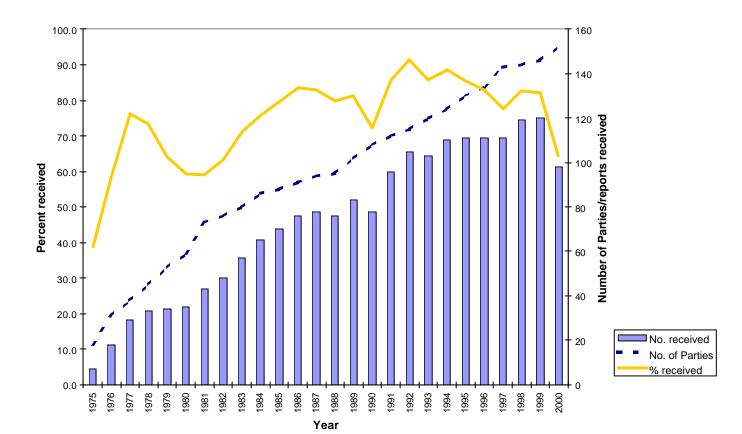


Figure 1. Submission of annual reports to CITES since 1975

Table 1 is based on the table in Annex 3 (a) and 3 (b) of document CoP12 Doc. 22.1 plus some correspondence held by the Secretariat and shows the annual report submission record of all the 146 Parties that joined the Convention before 2000. A total of 11 Parties have never submitted an annual report and five of these, Afghanistan, Djibouti, Dominica, Rwanda and Somalia have been Parties for more than five years. A further nine Parties, all but one of which have been Parties for more than five years, have submitted 50 per cent or fewer of the required reports. Thus only 14 per cent of the countries that became party to the Convention prior to 2000 have submitted less than half of the required annual reports over the ten-year period and 47 per cent have submitted all of the required reports.

Table 1. Annual report submission record by country, 1991-2000

Country	Entry into force	Expected	Received	Percent compliance
Afghanistan	28.01.86	10	0	0
Azerbaijan	21.02.99	1	Op	0
Cambodia	02.10.97	3	0	0
Djibouti	07.05.92	8	0	0
Dominica	02.11.95	5	0	0
Fiji	29.12.97	3	0	0
Grenada	28.11.99	1	0	0
Mauritania	11.06.98	2	0	0
Rwanda	18.01.81	10	0	0
Saudi Arabia	10.06.96	4	0	0
Somalia	02.03.86	10	0	0
Guinea-Bissau	14.08.90	10	2 ^c	20
Swaziland	27.05.97	3	1	33
Vanuatu	25.10.89	10	3	33
Bangladesh	18.02.82	10	4	40
Saint Vincent and the Grenadines	28.02.89	10	4	40
Uganda	16.10.91	9	4	44
Central African Republic	25.11.80	10	5	50
Equatorial Guinea	08.06.92	8	4	50
Romania	16.11.94	6	3	50
Algeria	21.02.84	10	6	60
Bahamas	18.09.79	10	6	60
Belarus	08.11.95	5	3	60
Honduras	13.06.85	10	6	60
United Arab Emirates	09.05.90	10	6	60
Jamaica	22.06.97	3	2	66
Viet Nam	20.04.94	6	4	67

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Country	Entry into force	Expected	Received	Percent compliance
Yemen	03.08.97	3	2	67
Benin	28.05.84	10	7	70
Burkina Faso	15.01.90	10	7	70
Israel	17.03.80	10	7	70
Liberia	09.06.81	10	7 ^d	70
Malawi	06.05.82	10	7	70
Sri Lanka	02.08.79	10	7	70
Sudan	24.01.83	10	7	70
Zambia	22.02.81	10	7	70
Canada	09.07.75	10	8	80
Comoros	21.02.95	5	4	80
Congo	01.05.83	10	8	80
Côte d'Ivoire	19.02.95	5	4	80
Cyprus	01.07.75	10	8	80
Egypt	04.04.78	10	8	80
Guyana	25.08.77	10	8	80
Japan	04.11.80	10	8	80
Nigeria	01.07.75	10	8	80
Togo	21.01.79	10	8	80
Republic of Korea	07.10.93	7	6	86
Belize	21.09.81	10	9	90
Bolivia	04.10.79	10	9	90
Brunei Darussalam	02.08.90	10	9	90
Bulgaria	16.04.91	10 ^e	9	90
Ecuador	01.07.75	10	9	90
El Salvador	26.07.87	10	9	90
Gabon	14.05.89	10	9	90
Kenya	13.03.79	10	9	90
Monaco	18.07.78	10	9	90
Nepal	16.09.75	10	9	90
Niger	07.12.75	10	9	90
Pakistan	19.07.76	10	9	90
Papua New Guinea	11.03.76	10	9	90
Poland	12.03.90	10	9	90

Country	Entry into force	Expected	Received	Percent compliance
Senegal	03.11.77	10	9	90
Seychelles	09.05.77	10	9	90
Antigua and Barbuda	06.10.97	3	3 ^f	100
Argentina	08.04.81	10	10	100
Australia	27.10.76	10	10	100
Austria	27.04.82	10	10	100
Barbados	09.03.93	7	7	100
Belgium	01.01.84	10	10	100
Botswana	12.02.78	10	10	100
Brazil	04.11.75	10	10	100
Burundi	06.11.88	10	10 ^g	100
Cameroon	03.09.81	10	10	100
Chad	03.05.89	10	10	100
Chile	01.07.75	10	10	100
China	08.04.81	10	10	100
Colombia	29.11.81	10	10	100
Costa Rica	28.09.75	10	10	100
Cuba	19.07.90	10	10	100
Czech Republic	01.01.93	8	8	100
Democratic Republic of the Congo	18.10.76	10	10	100
Denmark	24.10.77	10	10	100
Dominican Republic	17.03.87	10	10	100
Eritrea	22.01.95	5	5	100
Estonia	20.10.92	8	8	100
Ethiopia	04.07.89	10	10	100
Finland	08.08.76	10	10	100
France	09.08.78	10	10	100
Gambia	24.11.77	10	10	100
Georgia	12.12.96	4	4	100
Germany	20.06.76	10	10	100
Ghana	12.02.76	10	10	100
Greece	06.01.93	8	8	100
Guatemala	05.02.80	10	10	100
Guinea	20.12.81	10	10	100

Country	Entry into force	Expected	Received	Percent compliance
Hungary	27.08.85	10	10	100
India	18.10.76	10	10	100
Indonesia	28.03.79	10	10	100
Iran (Islamic Republic of)	01.11.76	10	10	100
Italy	31.12.79	10	10	100
Jordan	14.03.79	10	10	100
Latvia	12.05.97	3	3	100
Liechtenstein	28.02.80	10	10	100
Luxembourg	12.03.84	10	10	100
Madagascar	18.11.75	10	10	100
Malaysia	18.01.78	10	10	100
Mali	16.10.94	6	6	100
Malta	16.07.89	10	10	100
Mauritius	27.07.75	10	10	100
Mexico	30.09.91	9	10	100
Mongolia	04.04.96	4	4	100
Morocco	14.01.76	10	10	100
Mozambique	23.06.81	10	10	100
Myanmar	11.09.97	3	3	100
Namibia	18.03.91	9	9	100
Netherlands	18.07.84	10	10	100
New Zealand	08.08.89	10	10	100
Nicaragua	04.11.77	10	10	100
Norway	25.10.76	10	10	100
Panama	15.11.78	10	10	100
Paraguay	13.02.77	10	10	100
Peru	25.09.75	10	10	100
Philippines	16.11.81	10	10	100
Portugal	11.03.81	10	10	100
Russian Federation	01.01.92	9	9	100
Saint Kitts and Nevis	15.05.94	6	6 ^h	100
Saint Lucia	15.03.83	10	10	100
Sierra Leone	26.01.95	5	5	100
Singapore	28.02.87	10	10	100

Country	Entry into force	Expected	Received	Percent compliance
Slovakia	01.01.93	8	8	100
South Africa	13.10.75	10	10	100
Spain	28.08.86	10	10	100
Suriname	15.02.81	10	10	100
Sweden	01.07.75	10	10	100
Switzerland	01.07.75	10	10	100
Thailand	21.04.83	10	10	100
Trinidad and Tobago	18.04.84	10	10	100
Tunisia	01.07.75	10	10	100
Turkey	22.12.96	4	4	100
United Kingdom	31.10.76	10	10	100
United Republic of Tanzania	27.02.80	10	10	100
United States of America	01.07.75	10	10	100
Uruguay	01.07.75	10	10	100
Uzbekistan	08.10.97	3	3	100
Venezuela	22.01.78	10	10	100
Zimbabwe	17.08.81	10	10	100

- a grace period of the first year in which the Convention entered into force has been allowed.
- No reports have been received from Azerbaijan but copies of three permits for trade in caviar in 2000 have been forwarded to the Secretariat.
- Guinea Bissau has provided adequate justification for not submitting reports for 1997-1999. The two reports indicated in the table above were compiled by UNEP-WCMC from permit copies, from 1995 and 1996, received from the Secretariat in June 2002.
- d Liberia wrote to the Secretariat in 1997 to indicate they had issued no permits for international trade in the preceding seven years. In the table above this letter has been taken as representing an annual report for 1991-1997.
- ^e Bulgaria submitted a report for 1991, the year in which CITES entered force in that country, but not for 1997.
- Antigua and Barbuda wrote to the Secretariat to explain that they had had no CITES trade since becoming a Party and did not plan to allow any until they had suitable legislation in place.
- ⁹ Burundi was subject to an international economic embargo between 1997 and 1999 and there were no official wildlife trade operations registered by the Management Authority.
- Saint Kitts and Nevis submitted reports for the years 1996 to 1999 inclusive in December 2000, however they included no destinations for transactions and these reports are currently unusable.

Figure 2 shows the rate at which annual reports for the years 1999 and 2000 were received, from December 1999 onwards. The distribution for each year shows a clear double peak in submission rate followed by a long tail. As would be expected, the highest peak is in the months of October and November around the time of the 31 October deadline for report submission. The European Community legislation implementing CITES, which requires individual Member States to submit their reports by a deadline of 15 June is the main cause of the earlier, and smaller, peak in June and July. In both years 75 reports were submitted by the end of November; the distribution is more even for 2000 reports than for 1999, probably due to delayed submission of some reports usually submitted early in the year before and after CoP11 in April 2000.

Figure 3 shows the cumulative growth in annual report submissions for the last six years of annual reports, 1995-2000. The figure shows the impact of Decisions 11.37 and 11.89, with submission of reports for 1995-1999 increasing, particularly in the first half of 2001, before the 45th meeting of the Standing Committee at which the implementation of these decisions was discussed. The continued rise in the number of submitted reports for these years in the second half of 2001 and into 2002 is partly a continued result of these Decisions and partly the result of permit copies becoming available to UNEP-WCMC following the closure of the Secretariat's permit confirmation office.

The highlighted points in Figure 3 are those for the number of reports submitted by the end of November of the year following that to which the report applies. They clearly indicate that reports were being submitted earlier for 1999 and 2000 by comparison to previous years. However, strict compliance with the Convention requires reports to be submitted by 31 October and Figure 4 shows the proportion of Parties that have managed to achieve this over the last decade. On only four occasions have more than 50 per cent of reports been submitted by the deadline (including those where an extension to the deadline has been granted) and the overall submission rate for the period is only 45 per cent.

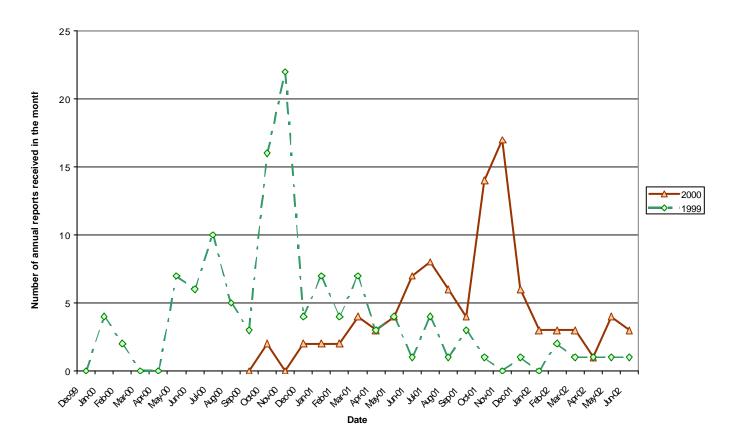


Figure 2. Monthly submissions of 1999 and 2000 annual reports

Figure 3. Cumulative annual report submissions since January 1997

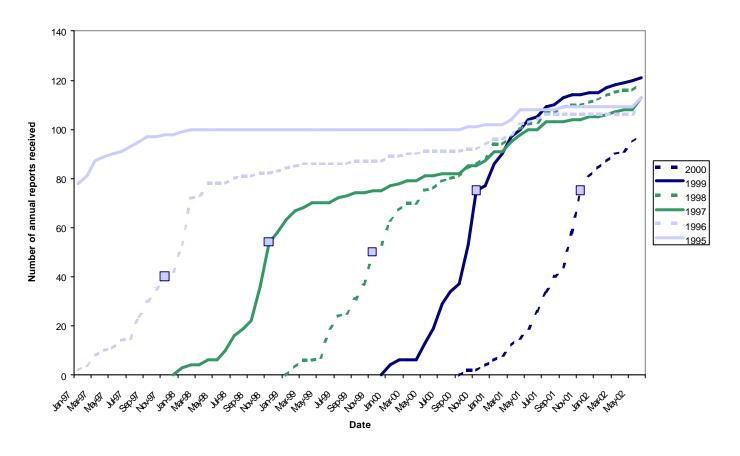
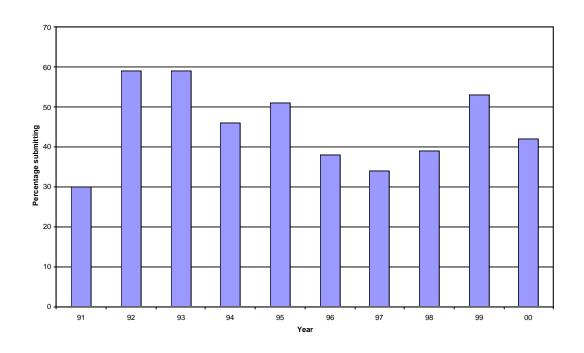


Figure 4. Percentage of annual reports submitted on time 1991-2000



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Basis for annual report submission

The Guidelines for the preparation and submission of CITES annual reports circulated with Notification to the Parties No. 1999/85 of 5 November 1999 (and subsequently No. 2002/22 of 9 April 2002) state that "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."

UNEP-WCMC is aware that reporting on the basis of actual trade adds considerably to the complexity of preparing an annual report. However, it should be noted that although specifically allowed under the terms of the Convention, reporting on the basis of permits issued leads to overestimates of trade volume, as permits are frequently issued for quantities in excess of those actually traded.

In addition, paragraph 2.e) of the Guidelines indicates that "The 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."

The number of countries reporting on the basis of actual trade does not appear to have increased significantly since CoP11. Less understandably, there has been no increase in the frequency with which a clear indication of the method used to compile the information included in the annual report has been provided.

Variation in reporting methods between Parties and failure to state the methods used also make assessment and analysis of the data substantially more difficult and therefore limit the availability and use of this information to the users, principally the Secretariat, technical committees and Parties to the Convention.

Annual report format

In 1999 UNEP-WCMC reported that 40 countries had submitted their most recent annual reports on diskette (17) or in electronic (e-mail) format (23), an increase of 14 since the last assessment in February 1997.

Table 2 shows the format in which the most recent annual report for each Party has been submitted but no distinction is made between those reports submitted on diskette or CD-ROM and by e-mail, as copies received by the Secretariat on diskette are forwarded to UNEP-WCMC by e-mail. The table indicates that the number of Parties submitting in an electronic format has increased from 40 to 66, however the table also points out that a further 49 reports received as hard copy (printed report or facsimile) were produced using a word-processed table or spreadsheet that would have been suitable for automatic entry of their data into the CITES Trade Database.

Table 2. Submission format of most recent annual reports received by UNEP-WCMC

Year	Permits	Hard copy	E-mail
1999		Algeria	
2000			Argentina
2000			Australia
2001			Austria
2000			Bahamas
1994		Bangladesh	
2000		Barbados*	
1999			Belarus
2001			Belgium
2000			Belize
1999			Benin

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Year	Permits	Hard copy	E-mail
2000		India	
2000			Indonesia
2001		Iran*	
1998		Israel	
2000			Italy
1999		Jamaica*	
1998			Japan
2000			Jordan
2000	Kazakhstan		
2000			Kenya
2000			Latvia
1988		Liberia	
2000			Liechtenstein
2000			Luxembourg
2001		Madagascar*	
1999		Malawi*	
2000			Malaysia
2000		Mali*	, and the second
2000			Malta
2000		Mauritius ¹	
2000			Mexico
1999		Monaco*	
2000			Mongolia
2001		Morocco	
2001		Mozambique*	
2000		Myanmar*	
2000			Namibia
1999		Nepal*	
2000			Netherlands
2000			New Zealand
2000			Nicaragua
1999			Niger
1999 ²		Nigeria	
2000			Norway
1999		Pakistan*	
2000		Panama*	
2000		Papua New Guinea*	
2000		Paraguay*	
2000		Peru*	
2000		Philippines*	
2000			Poland
2000			Portugal
1999			Republic of Korea
2000			Romania
2000		Russian Federation*	

Year	Permits	Hard copy	E-mail
1989		Rwanda	
1999		St Kitts and Nevis	
2000		St Lucia*	
2000		St Vincent and the Grenadines	
2000		Senegal*	
1999			Seychelles
2000		Sierra Leone*	
2000			Singapore
2000		Slovakia*	
2000			Slovenia
1986		Somalia	
2000			South Africa
2001			Spain
1999		Sri Lanka*	
1997		Sudan*	
2000	Suriname		
2001			Sweden
2000			Switzerland
2000			Thailand
1999		Togo*	
2000			Trinidad and Tobago
2001		Tunisia*	
2001		Turkey*	
1998		United Arab Emirates*	
2001			United Kingdom
2000		United Republic of Tanzania*	
2000			United States of America
2001			Uruguay
2000		Uzbekistan*	
1995		Vanuatu	
2000		Venezuela*	
2000		Viet Nam*	
1999		Zambia*	
2000			Zimbabwe

Notes:

- Where a Party's name appears in bold typeface this indicates an improvement in the method of submission since the previous report on annual reports in January 2000.
- An asterisk against a Party indicates that the report is produced in a word processed table or spread sheet format that would be suitable for electronic transfer.
- The report of Mauritius is produced with a Macintosh computer and currently can not be read by either the CITES Secretariat or UNEP-WCMC.
- ² Annual report covers the period 1 November 31 October.

The growing number of Parties submitting annual reports electronically has reduced significantly the time taken to incorporate the data into the Trade Database. However, the speed and efficiency with which data can be assimilated into the database from hard copies of reports is greatly affected by the arrangement of the data therein. Therefore, wherever possible when hard copies of reports are submitted, the Secretariat's *Guidelines for the preparation and submission of CITES annual reports* attached to Notification to the Parties No. 1998/85 (and subsequently 2002/22) should be followed. This format allows the fastest and most accurate manual entry of the data.

Report content

The Guidelines give specific instructions for the content of columns within an annual report table and potential and actual problems that UNEP-WCMC encounters while processing annual reports are highlighted below.

Appendix

Almost all Parties report the Appendix, and most report it correctly. Errors in this column will normally be identified and corrected when the data are transferred to the CITES Trade Database.

Species

Most Parties report correctly to species and there have been significant improvements in the reporting of stony corals in recent years. The United States of America reports mixed shipments of artificially propagated Appendix-II orchids as Orchidaceae spp. (and similarly with Cactaceae spp. and *Euphorbia* spp.) but shipments of a single species, Appendix-I species and all wild-collected material are reported at the species level.

The only significant problem with reporting species involves the United States as their computer system uses a four-character code to identify the taxon involved. A simple typographic error can lead to an erroneous entry and such mistakes are not uncommon. Mostly these involve non-CITES species being incorrectly coded as a CITES taxon and UNEP-WCMC refers these back to the Management Authority for clarification. What can not be estimated however, is the number of CITES taxa that are wrongly coded as non-CITES species.

Description

Most Parties use the codes recommended in the Guidelines and there has been improvement in the way that sport-hunted trophies reflect the number of animals involved rather than the number of parts. There has also been an improvement in the reporting of stony corals as live rather than simply as raw coral. UNEP-WCMC believes that the new codes added recently, FIG (fingerlings) and WHO (whole animals and plants), duplicate the perfectly adequate existing terms LIV and BOD and would recommend their removal from the Guidelines. We would also recommend incorporation of frog legs, LEG, with meat and to combine large and small manufactured leather items into a single category, MPD. One commodity that currently causes problems are artists' paintbrushes that are frequently reported as HAI with no associated unit. The United States has introduced the term code HAP, hair products, and UNEP-WCMC recommends adoption of this code.

Quantity

Problems in this field are linked mainly to the different use of commas (,) and full stops (.) as decimal and thousands separators. UNEP-WCMC has great experience in identifying which system is being used but modern spreadsheet software may alter the data automatically so that we are not aware that a problem exists. A recent example was an entry in the Uruguay 2001 annual report where an export of one thousand monk parakeets, *Myiopsitta monachus*, to Spain was entered as 1.000 birds. MS Excel automatically converted this to 1 and it was only the apparent lack of trade that alerted us to the situation. A similar example from the Swiss report of 2000 shows how trade can also be exaggerated. Three imports of timber,

Pericopsis elata, were reported using a comma to separate the decimal, e.g. $17,889 \, \text{m}^3$. However the number of decimal places on that column was set to two and what actually appeared in the report was $17,889.00 \, \text{m}^3$ so that the comma now appeared to be acting as a thousands separator. UNEP-WCMC recommends Parties exercise extreme care in the use of commas and full stops within quantities and suggests thousands separators are not used at all.

Units

Some Parties, and in particular the United States, frequently fail to report units associated with commodities that require them. For example, a shipment reported simply as 200 caviar may be referring to the number of jars or tins, the number of boxes of jars or tins, or the weight in grammes or kilograms. Missing units for shipments of timber make it unclear whether the quantity refers to kilograms, metric tons, cubic metres, square metres or board feet. Parties are requested to take care to specify units wherever possible.

Country of export/origin/destination

Most Parties are now reporting these correctly although a few omit the country of last re-export when reporting imports of items originating in a third country. Similarly some report country of last re-export rather than country of origin when detailing their own re-exports.

Purpose

The proportion of trade records from annual reports for the year 2000 that showed no purpose code was 5.5 per cent. This is a considerable improvement over the situation for 1995 annual reports where the figure was 12.7 per cent. It could be argued that there are too many purpose codes and that they confuse analysis. Furthermore purposes are very frequently reported differently by exporter and importer, for example a zoo importing stock from an animal broker. In this instance the importer may show the purpose as 'Z' while the exporter shows it as 'T'. Similarly codes 'H' and 'P' are both used for sport-hunted trophies and both 'B' and 'P' are used to cover trade in live birds by aviculturists.

Source

Only 0.7 per cent of the records from annual reports of 2000 lacked an associated source code compared with 6 per cent of the records for 1995.

Permit or certificate number

It is believed that many Parties fail to appreciate the importance of accurately reporting the exporting (or re-exporting) country's export permit or certificate number for their imports. Frequently they report their own import permit number which is really only of use for their own management purposes. By comparison of export permit numbers reported by both exporter and importer it is possible to achieve a much more accurate estimate of trade levels as material reported as an export in one year and as an import the following year can be assigned to only one of those years and therefore not be counted twice.

A standardized permit number was recommended in June 1997 in Resolution Conf. 10.2 (Rev.) under the first RECOMMENDS, paragraph c):

for tracking and annual reporting purposes, permit and certificate numbers be limited, if possible, to 14 characters in the format:

WWxxYYYYYY/zz

where WW represents the last two digits of the year of issuance; xx represents the two-letter ISO code of the country; YYYYYY represents a six-digit serial number; and zz represents two digits or letters, or a combination of a digit and a letter, that a Party may use for national informational purposes.

Such a permit number format should allow much more highly sophisticated computerized permit tracking and analysis, however at the present time UNEP-WCMC knows of only 13 countries that have adopted that system. Furthermore, importing countries frequently fail to report the first two digits of the permit number so the important information about the year of issue is lost.

Conclusions

The Parties are to be congratulated on the gradual improvement in the quality and content of their annual reports. Occasional deterioration in quality is to be expected and is usually the result of changes in personnel in the report producing authority, however there was little evidence of this during the current analysis.

Annual reports are most valuable when submitted soon after the trade occurred and although it is encouraging that there appears also to be have been some improvement in the timeliness of submission, especially from the member States of the European Union that have specific legislation covering this aspect, much more effort is needed in this direction. UNEP-WCMC has over 20 years of experience of computerizing and analyzing annual reports and recommends that Parties having problems with annual reporting contact it. Parties that have done so in the past have often seen considerable improvements and savings in resources.