

IMPLEMENTATION REPORT GERMANY

Party	GERMANY
Period covered in this report	2018 - 2020
Department or agency preparing this report	Federal Agency for Nature Conservation
Contributing departments, agencies and organizations	Ministry for the Environment, Nature Conservation and Nuclear Safety; Ministry for Economic Cooperation and Development.

GOAL 1 ENSURE COMPLIANCE WITH AND IMPLEMENTATION AND ENFORCEMENT OF THE CONVENTION

Objective 1.1 Parties comply with their obligations under the Convention through appropriate policies, legislation and procedures.
[All Aichi Targets relevant to CITES, particularly Aichi Target 2, Target 6, Target 9, Target 12, Target 17 and Target 18.](#)

Indicator 1.1.1: The number of Parties that are in category 1 under the national legislation project.

1.1.1a	Have any CITES relevant policies or legislation been developed during the period covered in this report? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If 'Yes', have you shared information with the Secretariat? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not Applicable <input type="checkbox"/> If 'No', please provide details to the Secretariat with this report: See attachment to ivory trade!
1.1.1b	Does your legislation or legislative process allow easy amendment of your national law(s) to reflect changes in the CITES Appendices (e.g. to meet the 90 day implementation guidelines)? Yes <input checked="" type="checkbox"/> No <input checked="" type="checkbox"/> If 'No', please provide details of the constraints faced: See attachment!

Objective 1.2 Parties have in place administrative procedures that are transparent, practical, coherent and user-friendly, and reduce unnecessary administrative burdens.
[Aichi Target 3.](#)

Indicator 1.2.1: The number of Parties that have adopted standard transparent procedures for the timely issuance of permits in accordance with Article VI of the Convention.

		Yes	No	No information
1.2.1a	Do you have standard operating procedures for application for and issuance of permits? Are the procedures publicly available?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2.1b	Do you have: Electronic data management and a paper-based permit	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

issuance system?			
Electronic permit information exchange between Management Authorities of some countries If 'Yes', please list countries	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Electronic permit information exchange to Management Authorities of all countries?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Electronic permit data exchange between Management Authorities and customs?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Electronic permit used to cross border with electronic validation by customs?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
If 'Yes' to any of the above, please provide information on challenges faced or issues overcome:			
If 'No', do you have any plans to move towards e-permitting ¹ ?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If you are planning to move towards e-permitting, please explain what might help you to do so: See attachment!			

Indicator 1.2.2: The number of Parties making use of the simplified procedures provided for in [Resolution Conf. 12.3 \(Rev. CoP16\)](#).

1.2.2a	Has your country developed simplified procedures for any of the following?	Tick all applicable		
		Yes	No	No information
	Where biological samples of the type and size specified in Annex 4 of Resolution Conf. 12.3 (Rev. CoP16) are urgently required.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	For the issuance of pre-Convention certificates or equivalent documents in accordance with Article VII , paragraph 2.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	For the issuance of certificates of captive breeding or artificial propagation in accordance with Article VII, paragraph 5.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	For the issuance of export permits or re-export certificates in accordance with Article IV for specimens referred to in Article VII, paragraph 4.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Are there other cases judged by a Management Authority to merit the use of simplified procedures? If 'Yes', please provide details: See attachment!	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Objective 1.3 Implementation of the Convention at the national level is consistent with decisions adopted by the Conference of the Parties.
[All Aichi targets relevant to CITES, particularly Target 9, Target 14 and Target 18.](#)

Indicator 1.3.1: The number of Parties that have implemented relevant reporting under Resolutions and Decisions of the Conference of the Parties and/or Standing Committee recommendations.

¹ e-permitting refers to the electronic (paperless) management of the permit business process, including permit application, Management Authority – Scientific Authority consultations, permit issuance, notification to customs and reporting.

1.3.1a	<p>Has your country responded to all relevant special reporting requirements that are active during the period covered in this report, including those in the Resolutions and Decisions of the Conference of the Parties, Standing Committee recommendations, and Notifications issued by the Secretariat (see https://cites.org/sites/default/files/eng/resources/reporting/Reporting%20requirements%20post%20CoP18.pdf)</p> <p style="text-align: right;"> Responses provided to ALL relevant reporting requirements <input checked="" type="checkbox"/> Responses provided to SOME of the relevant reporting requirements <input type="checkbox"/> Responses provided to NONE of the relevant reporting requirements <input type="checkbox"/> No special reporting requirements applicable <input type="checkbox"/> </p>
1.3.1b	<p>Were any difficulties encountered during the period covered in this report in implementing specific Resolutions or Decisions adopted by the Conference of the Parties? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If 'Yes', please provide details of which Resolution(s) or Decision(s), and, for each, what difficulties were / are being encountered?</p>

Objective 1.4 The Appendices correctly reflect the conservation needs of species.
[Aichi Target 1](#), [Target 12](#), [Target 14](#) and [Target 19](#).

1.4.1: The number and proportion of species that have been found to meet the criteria contained in Resolution Conf. 9.24 or its successors. This includes both the periodic review and amendment proposals.

1.4.1a	<p>Have you undertaken any reviews of whether species would benefit from listing on the CITES Appendices? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>If 'Yes', please provide a summary here, or a link to the report of the work (or a copy of that report to the Secretariat if the work is not available online): See attachment!</p>
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Objective 1.5 Best available scientific information is the basis for non-detriment findings.
Aichi Target 2, Target 4, Target 5, Target 6, Target 7, Target 9, Target 12 and Target 14.

Indicator 1.5.1: The number of surveys, studies or other analyses undertaken by exporting countries based on the sources of information cited in Resolution Conf. 16.7 on Non-detriment findings related to:

- the population status of Appendix-II species;
- the trends and impact of trade upon Appendix-II species; and
- the status of and trend in naturally-occurring Appendix I species and the impact of any recovery plans.

1.5.1a	Have any surveys, studies or other analyses been undertaken <u>in your country</u> in relation to:	Yes	No	Not Applicable	If Yes, How many?
	- the population status of Appendix II species?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- the trends and impact of trade on Appendix II species?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	- the status of and trend in naturally-occurring Appendix I species?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	- the impact of any recovery plans on Appendix I species?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Have the surveys, studies or analyses integrated relevant knowledge and expertise of local and indigenous communities?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	<p>If there are such studies that you are willing to share, please provide:</p> <p style="text-align: right;">A brief summary of the results of the survey, study or other analysis (e.g. population status, decline / stable / increase, off-take levels etc), or provide links to published reference material.</p> <p>Species name (scientific) See attachment!</p>																					
1.5.1b	<p>How are the results of such surveys, studies or other analyses used in making non-detriment findings (NDFs)?</p> <p style="text-align: right;">Please tick all that apply</p> <p style="text-align: right;">Revised harvest or export quotas <input type="checkbox"/></p> <p style="text-align: right;">Banning export <input checked="" type="checkbox"/></p> <p style="text-align: right;">Stricter domestic measures <input type="checkbox"/></p> <p style="text-align: right;">Changed management of the species <input type="checkbox"/></p> <p style="text-align: right;">Discussion with Management Authorities <input checked="" type="checkbox"/></p> <p style="text-align: right;">Discussion with other stakeholders? <input checked="" type="checkbox"/></p> <p style="text-align: right;">Other (please provide a short summary): See attachment!</p>																					
1.5.1c	<p>Do you have specific conservation measures or recovery plans for naturally occurring Appendix-I listed species?</p> <p style="text-align: right;">Yes <input checked="" type="checkbox"/></p> <p style="text-align: right;">No <input type="checkbox"/></p> <p style="text-align: right;">Not Applicable <input type="checkbox"/></p> <p style="text-align: right;">No information <input type="checkbox"/></p> <p>If 'Yes', please provide a brief summary, including, if possible, an evaluation of their impact: See attachment!</p>																					
1.5.1d	<p>Have you published any non-detriment findings that can be shared? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If 'Yes', please provide links or examples to the Secretariat within this report: See attachment!</p>																					
1.5.1e	<table border="0" style="width: 100%;"> <thead> <tr> <th style="text-align: left;">Which of the following (A to F of paragraph a) x) of Resolution Conf. 16.7 do you use in making non-detriment findings?</th> <th style="text-align: center;">Yes</th> <th style="text-align: center;">No</th> </tr> </thead> <tbody> <tr> <td>A. relevant scientific literature concerning species biology, life history, distribution and population trends.</td> <td style="text-align: center;"><input checked="" type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>B. details of any ecological risk assessments conducted.</td> <td style="text-align: center;"><input checked="" type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>C. scientific surveys conducted at harvest locations and at sites protected from harvest and other impacts.</td> <td style="text-align: center;"><input checked="" type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>D. relevant knowledge and expertise of local and indigenous communities.</td> <td style="text-align: center;"><input checked="" type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>E. consultations with relevant local, regional and international experts.</td> <td style="text-align: center;"><input checked="" type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>F. national and international trade information such as that available via the CITES trade database maintained by UNEP World Conservation Monitoring Centre (UNEP-WCMC), publications on trade, local knowledge on trade and investigations of sales at markets or through the Internet for example.</td> <td style="text-align: center;"><input checked="" type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> </tbody> </table>	Which of the following (A to F of paragraph a) x) of Resolution Conf. 16.7 do you use in making non-detriment findings?	Yes	No	A. relevant scientific literature concerning species biology, life history, distribution and population trends.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	B. details of any ecological risk assessments conducted.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	C. scientific surveys conducted at harvest locations and at sites protected from harvest and other impacts.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	D. relevant knowledge and expertise of local and indigenous communities.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	E. consultations with relevant local, regional and international experts.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	F. national and international trade information such as that available via the CITES trade database maintained by UNEP World Conservation Monitoring Centre (UNEP-WCMC), publications on trade, local knowledge on trade and investigations of sales at markets or through the Internet for example.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Which of the following (A to F of paragraph a) x) of Resolution Conf. 16.7 do you use in making non-detriment findings?	Yes	No																				
A. relevant scientific literature concerning species biology, life history, distribution and population trends.	<input checked="" type="checkbox"/>	<input type="checkbox"/>																				
B. details of any ecological risk assessments conducted.	<input checked="" type="checkbox"/>	<input type="checkbox"/>																				
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E. consultations with relevant local, regional and international experts.	<input checked="" type="checkbox"/>	<input type="checkbox"/>																				
F. national and international trade information such as that available via the CITES trade database maintained by UNEP World Conservation Monitoring Centre (UNEP-WCMC), publications on trade, local knowledge on trade and investigations of sales at markets or through the Internet for example.	<input checked="" type="checkbox"/>	<input type="checkbox"/>																				

Indicator 1.5.2: The number of Parties that have adopted standard procedures for making non-detriment findings.

1.5.2a	<p>Do you have standard procedures for making non-detriment findings in line with Resolution Conf. 16.7? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> No information <input type="checkbox"/></p> <p>If 'Yes', please briefly describe your procedures for making non-detriment findings, or attach as an annex to this report, or provide a link to where the information can be found on the internet: See attachment!</p>
1.5.2b	<p>When establishing non-detriment findings, have any of the following guidance been used? Please tick all that apply</p> <p style="text-align: right;">Virtual College <input type="checkbox"/></p> <p style="text-align: right;">IUCN Checklist <input checked="" type="checkbox"/></p> <p style="text-align: right;">Resolution Conf. 16.7 <input checked="" type="checkbox"/></p> <p style="text-align: right;">2008 NDF workshop <input checked="" type="checkbox"/></p> <p style="text-align: right;">Species specific guidance <input checked="" type="checkbox"/></p> <p style="text-align: right;">Other <input checked="" type="checkbox"/></p> <p>If 'Other' or 'Species specific guidance', please specify details: See attachment to 1.5.2a!</p>
1.5.2c	<p>How often do you review and/or change your non-detriment findings? Case by case <input checked="" type="checkbox"/></p> <p style="text-align: right;">Annually <input type="checkbox"/></p> <p style="text-align: right;">Every two years <input type="checkbox"/></p> <p style="text-align: right;">Less frequently <input type="checkbox"/></p> <p style="text-align: right;">A mix of the above <input type="checkbox"/></p> <p>Please describe the circumstances under which non-detriment findings would be changed:</p>

Indicator 1.5.3: The number and proportion of annual export quotas based on population surveys.

1.5.3a	<p>Do you set annual export quotas? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If 'Yes', do you set quotas based on population survey, or by other means? Please specify, for each species, how quotas are set:</p> <p>Species Name (scientific) Population Survey? <input checked="" type="checkbox"/> Other, please specify</p> <p><i>Anguilla anguilla</i> <input type="checkbox"/></p> <p>The EU has set a zero quota for exports. <input type="checkbox"/></p>
1.5.3b	<p>Have annual export quotas been set at levels which will ensure sustainable production and consumption? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If 'Yes', please describe how this fits into your non-detriment finding process:</p>

Objective 1.6 Parties cooperate in managing shared wildlife resources.
Aichi Target 4, Target 5, Target 6, Target 7, Target 10, Target 12 and Target 19.

Indicator 1.6.1: The number of bilateral and multilateral agreements that specifically provide for co-management of shared CITES listed species by range States.

1.6.1a	<p>Is your country a signatory to any bilateral and/or multilateral agreements for co-management of shared species? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>If 'Yes', please provide brief details, including the names of the agreements, and which other countries are involved: See attachment!</p>
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Indicator 1.6.2: The number of cooperative management plans, including recovery plans, in place for shared populations of CITES-listed species.

1.6.2a	<p>Do you have any cooperative management plans, including recovery plans, in place for shared populations of CITES-listed species? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>If 'Yes', please list the species for which these plans are in place and provide a link or reference to a published plan for each species. See attachment under 1.6.1a!</p> <p>Species Name (scientific) Link or reference to a published plan</p>
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Indicator 1.6.3: The number of workshops and other capacity-building activities that bring range States together to address the conservation and management needs of shared, CITES listed, species.

1.6.3a	<p>Have the CITES authorities <i>received or benefited</i> from any of the following capacity-building activities provided by external sources?</p> <p>Please tick boxes to indicate which target group and which activity.</p>						<p>What were the external sources²?</p>
	Target group	Oral or written advice/guidance	Technical assistance	Financial assistance	Training	Other (specify)	
	Staff of Management Authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	EU Commission/SRG ³
	Staff of Scientific Authority	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Staff of enforcement authorities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Traders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	NGOs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Public	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Other (please specify):	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

² Please provide the names of Parties, and any non-Parties, involved.

³ Scientific Review Group

1.6.3b	<p>Have the CITES authorities been the <i>providers</i> of any of the following capacity-building activities to other range States?</p> <p>Please tick boxes to indicate which target group and which activity.</p>	Oral or written advice/guidance	Technical assistance	Financial assistance	Training	Other (specify)	Details
	Target group						
	Staff of Management Authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Staff of Scientific Authority	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Staff of enforcement authorities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Traders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	NGOs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Public	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Other Parties/International meetings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Other (please specify)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.6.3c	<p>In what ways do you collaborate with other CITES Parties?</p>	Never	Rarely	Sometimes	Very Often	Always	Further detail / examples
	Information exchange	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
	Monitoring / survey	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Habitat management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Species management	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Law enforcement	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Capacity building	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Other (please provide details)						

Objective 1.7 Parties are enforcing the Convention to reduce illegal wildlife trade.
 Aichi Target 4, Target 5, Target 6, Target 7, Target 9, Target 10, Target 12 and Target 19.

Indicator 1.7.1: The number of Parties that have, are covered by, or engaged with:

- an international enforcement strategy and/or action plan;
- formal international cooperation, such as an international enforcement network;
- a national enforcement strategy and/or action plan; and
- formal national interagency cooperation, such as a national interagency enforcement committee.

1.7.1a	Do you have, are you engaged in, or covered by:	Yes	No	No Information
	– an international enforcement strategy and/or action plan?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	– formal international cooperation, such as an international enforcement network?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	– a national enforcement strategy and/or action plan?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

– formal national interagency cooperation, such as a national interagency enforcement committee?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If 'Yes' to any of the above, please specify the level of engagement and provide additional details: See attachment!			

Indicator 1.7.2: The number of Parties with a process or mechanism for reviewing their enforcement strategies, and the activities taken to implement their strategies.

1.7.2a	Do you have a process or mechanism for reviewing your enforcement strategy(ies) and the activities taken to implement your strategy(ies)?	Yes	<input type="checkbox"/>
		No, but review is under consideration	<input type="checkbox"/>
		No	<input checked="" type="checkbox"/>
		No information	<input type="checkbox"/>
	If 'Yes', what do you do?		
	If 'Yes' or 'No, but review is under consideration', which tools do you find of value?		
1.7.2b	Have you used the International Consortium on Combating Wildlife Crime (ICWC) Wildlife and Forest Crime Analytic Toolkit, or equivalent tools?	Yes	<input type="checkbox"/>
		No, but toolkit use is under consideration	<input type="checkbox"/>
		No	<input checked="" type="checkbox"/>
		No information	<input type="checkbox"/>
	If 'Yes', please provide feedback on the parts of the toolkit used and how useful the toolkit or equivalent tools have been. Please specify improvements that could be made:		
	If 'No', please provide feedback on why not or what is needed to make the toolkit or equivalent tools useful to you: See attachment!		

Indicator 1.7.3: The number of Parties that have criminal (penal) law and procedures, capacity to use forensic technology, and capacity to use specialized investigation techniques, for investigating, prosecuting, and penalizing CITES offences..

1.7.3a	Do you have law and procedures in place for investigating, prosecuting, and penalizing CITES offences as a crime?	Yes	<input checked="" type="checkbox"/>
		No	<input type="checkbox"/>
		No information	<input type="checkbox"/>
	If 'Yes', please provide the title of the legislation and a summary of the penalties available See attachment!		
1.7.3b	Are criminal offences such as poaching and wildlife trafficking recognized as serious crime ⁴ in your country?	Yes	<input checked="" type="checkbox"/>
		No	<input type="checkbox"/>
		No information	<input type="checkbox"/>
	If 'Yes', please explain what criteria must be met for poaching or wildlife trafficking offences to be treated as serious crimes: See attachment!		

⁴ The United Nations Convention against Transnational Organized Crime defines serious crime as conduct constituting an offence punishable by imprisonment for at least four years or a more serious penalty.

1.7.3c	Do you have capacity to use forensic technology ⁵ to support the investigation of CITES offences? If 'Yes', please provide a brief summary of any samples from CITES-listed species that were collected and submitted to an appropriate forensic analysis facility (located in your country and/or another country) during the period covered in this report: See attachment! If 'Yes', and your country has an appropriate forensic analysis facility for CITES-listed species, please indicate which species it applies to:	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	No information <input type="checkbox"/>	
1.7.3d	Did your authorities participate in or initiate any multi-disciplinary ⁶ law enforcement operation(s) targeting CITES-listed species during the period covered in this report? If 'Yes', please provide a brief summary, including any lessons learned which might be helpful for other Parties: See attachment!	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	No information <input type="checkbox"/>	
1.7.3e	Do you have a standard operating procedure among relevant agencies for submitting information related to CITES offences to INTERPOL and/or the World Customs Organization?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	No information <input type="checkbox"/>	
1.7.3f	Do you have legislative provisions for any of the following that can be applied to the investigation, prosecution and/or sentencing of CITES offences as appropriate?	Yes	No	No information	If yes, how many times was this used during the period covered by this report?
	General crime ⁷	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	Predicate offences ⁸	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	Asset forfeiture ⁹	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Corruption ¹⁰	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	International cooperation in criminal matters ¹¹	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Organized crime ¹²	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Specialized investigation techniques ¹³	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

⁵ Capacity to use forensic technology means the ability to collect, handle and submit samples from crime scenes involving CITES-listed species to an appropriate forensic analysis facility, located either in your country or in another country(ies).

⁶ A multi-disciplinary law enforcement operation is one that involves officers from all relevant enforcement disciplines as appropriate, for example officers from Police, Customs and the wildlife regulatory authority. It could be either sub-national, national or international in scope.

⁷ General crime laws relate to offences such as fraud, conspiracy, possession of weapons, and other matters as set out in the national criminal code.

⁸ Article 2, paragraph (h) of the United Nations Convention against Transnational Organized Crime defines a predicate offence is an offence whose proceeds may become the subject of any of the money-laundering offences established under the Convention.

⁹ Asset forfeiture is the seizure and confiscation of assets obtained from criminal activities to ensure that criminals do not benefit from the proceeds of their crimes.

¹⁰ Provisions against corruption include national laws to implement the United Nations Convention against Corruption covering offences such as bribery of officials, embezzlement or misappropriation of public funds, trading in influence and abuse of functions by public officials.

¹¹ International cooperation in criminal matters includes legislation through which a formal request for mutual legal assistance and/or extradition of a person for criminal prosecution can be forwarded to another country.

¹² Article 2, paragraph (a) of the United Nations Convention against Transnational Organized Crime defines an organized criminal group as a structured group of three or more persons, existing for a period of time and acting in concert with the aim of committing one or more serious crimes or offences established in accordance with the Convention, in order to obtain, directly or indirectly, a financial or other material benefit.

	If 'Yes' to any of the above, please explain how each is used for CITES offences? Please provide a brief summary, including any lessons learned which might be helpful for other Parties: See attachment!	
1.7.3g	Do you have institutional capacity to implement the legislative provisions listed in question 1.7.3f against CITES offences?	Yes <input type="checkbox"/> No <input type="checkbox"/> No information <input checked="" type="checkbox"/>
	If 'No', please provide a brief summary of your major capacity-building needs:	

Indicator 1.7.4: The number of Parties using risk assessment and intelligence to combat illegal trade in CITES-listed species.

1.7.4a	Do you use risk assessment to target CITES enforcement effort?	Always <input type="checkbox"/> Very often <input checked="" type="checkbox"/> Sometimes <input type="checkbox"/> Rarely <input type="checkbox"/> Never <input type="checkbox"/> No information <input type="checkbox"/>
1.7.4b	Do you have capacity to analyse information gathered on illegal trade in CITES-listed species?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> No information <input type="checkbox"/>
1.7.4c	Do you use criminal intelligence ¹⁴ to inform investigations into illegal trade in CITES-listed species?	Always <input type="checkbox"/> Very often <input type="checkbox"/> Sometimes <input type="checkbox"/> Rarely <input checked="" type="checkbox"/> Never <input type="checkbox"/> No information <input type="checkbox"/>
1.7.4d	Have you implemented any supply-side activities to address illegal trade in CITES-listed species during the period covered in this report?	Yes <input checked="" type="checkbox"/> No, but activities are under development <input type="checkbox"/> No <input type="checkbox"/> No information <input type="checkbox"/>
1.7.4e	Have you implemented any demand-side activities to address illegal trade in CITES-listed species during the period covered in this report?	Yes <input checked="" type="checkbox"/> No, but activities are under development <input type="checkbox"/> No <input type="checkbox"/> No information <input type="checkbox"/>

¹³ Specialized investigation techniques are techniques that are deployed against serious and/or organized crime when conventional law enforcement techniques fail to adequately address the activities of crime groups. Examples include controlled deliveries and covert operations.

¹⁴ Criminal intelligence is information that is compiled, analyzed and disseminated in an effort to anticipate, prevent and/or monitor criminal activity. Examples include information on potential suspects held in a secure database and inferences about the methods, capabilities and intentions of specific criminal networks or individuals that are used to support effective law enforcement action.

Indicator 1.7.5: The number of administrative measures, criminal prosecutions and other court actions for CITES-related offences.

During the period covered in this report:		Yes	No	No Information
1.7.5a	Have any administrative measures (e.g. fines, bans, suspensions) been imposed for CITES-related offences? If 'Yes', please indicate how many and for what types of offences. If available, please attach details: See attachment!	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.7.5b	Have there been any criminal prosecutions of CITES-related offences? If 'Yes', how many and for what types of offences? See attachment!	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.7.5c	Have there been any other court actions against CITES-related offences? If 'Yes', what were the offences involved and what were the results? See attachment!	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.7.5d	How were any confiscated specimens disposed of? – Return to country of export – Public zoos or botanical gardens – Designated rescue centres – Approved private facilities – Euthanasia – Other (please specify): Have you encountered any challenges in disposing of confiscated specimens? See attachment! Do you have good practice that you would like to share with other Parties?	Tick all that apply		
				<input checked="" type="checkbox"/>
				<input checked="" type="checkbox"/>
				<input checked="" type="checkbox"/>
				<input checked="" type="checkbox"/>
				<input type="checkbox"/>
				<input checked="" type="checkbox"/>

Objective 1.8 Parties and the Secretariat have adequate capacity-building programmes in place.
[Aichi Target 1](#), [Target 12](#) and [Target 19](#).

Indicator 1.8.1: The number of Parties with national and regional training programmes and information resources in place to implement CITES including the making of non-detriment findings, issuance of permits and enforcement.

1.8.1a	Do you have information resources or training in place to support: The making of non-detriment findings? Permit officers? Enforcement officers?	Yes	No
		<input checked="" type="checkbox"/>	<input type="checkbox"/>
		<input checked="" type="checkbox"/>	<input type="checkbox"/>
		<input checked="" type="checkbox"/>	<input type="checkbox"/>
1.8.1b	Is the CITES Virtual College used as part of your capacity building work? What improvements could be made in using the Virtual College for capacity building?	Yes No No information	<input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/>
1.8.1c	Is the ICCWC Wildlife and Forest Crime Toolkit used in the development of capacity-building programmes, or does it form part of the curriculum of such programmes? What improvements could be made in using the ICCWC Toolkit for capacity building?	Yes No No information	<input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/>

GOAL 2 SECURE THE NECESSARY FINANCIAL RESOURCES AND MEANS FOR THE OPERATION AND IMPLEMENTATION OF THE CONVENTION

Objective 2.1 Financial resources are sufficient to ensure operation of the Convention.

Information to be provided through records held by the Secretariat on financial management of the Convention.

Objective 2.2 Sufficient resources are secured at the national and international levels to ensure compliance with and implementation and enforcement of the Convention.

[Aichi Target 1](#), [Target 2](#), [Target 3](#), [Target 12](#), [Target 19](#) and [Target 20](#).

Indicator 2.2.1: The number of Parties with dedicated staff and funding for Management Authorities, Scientific Authorities and wildlife trade enforcement agencies.

2.2.1a	<p>Do you have an approved service standard(s)¹⁵ for your Management Authority(ies)?</p> <p>If 'No', please go to Question 2.2.1d.</p> <p>If 'Yes', for which services are there standards, and what are those standards? See attachment!</p> <p>If 'Yes', do you have performance targets for these standards¹⁶?</p> <p>If 'Yes', what are your performance targets?</p> <p>Do you publish your performance against service standard targets?</p> <p>If possible, please provide your performance against service standards during the period covered in this report:</p> <p>If you did not meet your performance targets then was this shortfall a result of:</p> <ul style="list-style-type: none"> – availability of funding? – number of staff? – a shortage of skills? <p>If 'Yes' to a shortage of skills, which skills do you need more of?</p>	<p>Yes <input checked="" type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/></p> <p>No <input checked="" type="checkbox"/></p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>
2.2.1b	<p>Do you have an approved service standard(s)⁴⁷ for your Scientific Authority(ies)?</p> <p>If 'No', please go to Question 2.2.1d.</p> <p>If 'Yes', for which services are there standards, and what are those standards?</p> <p>If 'Yes', do you have performance targets for these standards⁴⁸?</p> <p>If 'Yes', what are your performance targets?</p> <p>If possible, please provide your performance against service standards during the period covered in this report:</p> <p>If you did not meet your performance targets then was this shortfall a result of:</p>	<p>Yes <input checked="" type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>

¹⁵ For example, a time frame in which you are required to provide a response on a decision to issue or not issue a permit, certificate, or re-export certificate.

¹⁶ For example, 85% of all decisions will take place within the service standard.

	<ul style="list-style-type: none"> – availability of funding? <input type="checkbox"/> <input type="checkbox"/> – number of staff? <input type="checkbox"/> <input type="checkbox"/> – a shortage of skills? <input type="checkbox"/> <input type="checkbox"/> <p>If 'Yes' to a shortage of skills, which skills do you need more of?</p>																		
2.2.1c	<p>Do you have an approved service standard(s)⁴⁷ for your enforcement authority(ies)?</p> <p>If 'No', please go to Question 2.2.1d.</p> <p>If 'Yes', for which services are there standards, and what are those standards?</p> <p>If 'Yes', do you have performance targets for these standards⁴⁸?</p> <p>If 'Yes', what are your performance targets?</p> <p>If possible, please provide your performance against service standards during the period covered in this report:</p> <p>If you did not meet your performance targets then was this shortfall a result of:</p> <ul style="list-style-type: none"> – availability of funding? <input type="checkbox"/> <input type="checkbox"/> – number of staff? <input type="checkbox"/> <input type="checkbox"/> – a shortage of skills? <input type="checkbox"/> <input type="checkbox"/> <p>If 'Yes' to a shortage of skills, which skills do you need more of?</p>	<p>Yes <input type="checkbox"/></p> <p>No <input checked="" type="checkbox"/></p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p><input type="checkbox"/></p> <p><input checked="" type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>																
2.2.1d	<p>Please only complete this question if you answered 'No' to the first part of question 2.2.1a, 2.2.1b, or 2.2.1c, relating to the existence of approved service standards for your authorities:</p> <p>Do you have sufficient of the following for your authorities to function effectively?</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th></th> <th>Management Authority(ies)</th> <th>Scientific Authority(ies)</th> <th>Enforcement Authority(ies)</th> </tr> </thead> <tbody> <tr> <td>Funding?</td> <td>Yes <input type="checkbox"/> No <input type="checkbox"/></td> <td>Yes <input type="checkbox"/> No <input type="checkbox"/></td> <td>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></td> </tr> <tr> <td>Staff?</td> <td>Yes <input type="checkbox"/> No <input type="checkbox"/></td> <td>Yes <input type="checkbox"/> No <input type="checkbox"/></td> <td>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></td> </tr> <tr> <td>Skills?</td> <td>Yes <input type="checkbox"/> No <input type="checkbox"/></td> <td>Yes <input type="checkbox"/> No <input type="checkbox"/></td> <td>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></td> </tr> </tbody> </table>				Management Authority(ies)	Scientific Authority(ies)	Enforcement Authority(ies)	Funding?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Staff?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Skills?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
	Management Authority(ies)	Scientific Authority(ies)	Enforcement Authority(ies)																
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Staff?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>																
Skills?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>																

Indicator 2.2.2: The number of Parties that have undertaken one or more of the following activities:

- changed the budget for activities;
- hired more staff;
- developed implementation tools;
- purchased technical equipment for implementation, monitoring or enforcement.

2.2.2a	<p>Have any of the following activities been undertaken during the period covered in this report to enhance the effectiveness of CITES implementation at the national level?</p> <p style="text-align: right;">Tick if applicable</p> <p>Hiring of more staff <input checked="" type="checkbox"/></p> <p>Development of implementation tools <input checked="" type="checkbox"/></p> <p>Purchase of technical equipment for implementation, monitoring or enforcement <input checked="" type="checkbox"/></p> <p>Other (please specify):</p>
--------	--

2.2.2b	During the period covered in this report, was the budget for your:	Increased	Stable	Decreased	
	Management Authority(ies)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Scientific Authority(ies)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
	Enforcement authorities	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
2.2.2c	Have you been able to use international development funding assistance to increase the level of implementation of your	Yes	No	Not applicable	
	Management Authority(ies)?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	Scientific Authority(ies)?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	Enforcement authorities?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
2.2.2d	What is the respective level of priority for enhancing the effectiveness of CITES implementation at the national level through the following activities?				
	Activity	High	Medium	Low	Not a Priority
	Hiring of more staff	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Development of implementation tools	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Purchase of new technical equipment for implementation, monitoring or enforcement	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	e-permitting	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (please specify):	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.2.2e	Do you have a operational system (e.g. electronic database) for managing	Yes	Under development	No	
	Species information	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Trade information	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Non-detriment findings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Indicator 2.2.3: The number of Parties raising funds for CITES implementation through user fees or other mechanisms.

2.2.3a	Does the Management Authority charge fees for:	Tick all that are applicable	
	– Administrative procedures	<input checked="" type="checkbox"/>	
	– Issuance of CITES documents (e.g. for import, exports, re-export, or introduction from the sea)	<input checked="" type="checkbox"/>	
	– Shipment clearance (e.g. for the import, export, re-export, or introduction from the sea of CITES-listed species)	<input type="checkbox"/>	
	– Licensing or registration of operations that produce CITES species	<input checked="" type="checkbox"/>	
	– Harvesting of CITES-listed species	<input type="checkbox"/>	
	– Use of CITES-listed species	<input type="checkbox"/>	
	– Assignment of quotas for CITES-listed species	<input type="checkbox"/>	
– Other (please specify):	<input type="checkbox"/>		
2.2.3b	Is a fee schedule publicly available? If 'Yes', please provide an internet link, or a copy of the schedule to the Secretariat:	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

2.2.3c	<p>Have revenues from fees been used for the implementation of CITES or wildlife conservation?</p> <p style="text-align: right;">Entirely <input type="checkbox"/></p> <p style="text-align: right;">Partly <input type="checkbox"/></p> <p style="text-align: right;">Not at all <input type="checkbox"/></p> <p style="text-align: right;">Not relevant <input checked="" type="checkbox"/></p>																					
2.2.3d	<table border="0" style="width: 100%;"> <thead> <tr> <th style="width: 80%;"></th> <th style="width: 10%; text-align: center;">Yes</th> <th style="width: 10%; text-align: center;">No</th> </tr> </thead> <tbody> <tr> <td>Do you raise funds for CITES management through charging user fees?</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input checked="" type="checkbox"/></td> </tr> <tr> <td>Do your fees recover the full economic cost of issuing permits?</td> <td style="text-align: center;"><input checked="" type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>Do you have case studies on charging or using fees?</td> <td style="text-align: center;"><input checked="" type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td colspan="3">If 'Yes' to any of the above, please provide brief details: See attachment!</td> </tr> <tr> <td>Do you use innovative financial mechanisms to raise funds for CITES implementation?</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td colspan="3">If 'Yes', please provide brief details:</td> </tr> </tbody> </table>		Yes	No	Do you raise funds for CITES management through charging user fees?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Do your fees recover the full economic cost of issuing permits?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Do you have case studies on charging or using fees?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	If 'Yes' to any of the above, please provide brief details: See attachment!			Do you use innovative financial mechanisms to raise funds for CITES implementation?	<input type="checkbox"/>	<input type="checkbox"/>	If 'Yes', please provide brief details:		
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Do you use innovative financial mechanisms to raise funds for CITES implementation?	<input type="checkbox"/>	<input type="checkbox"/>																				
If 'Yes', please provide brief details:																						

Indicator 2.2.4: The number of Parties using incentive measures as part of their implementation of the Convention.

2.2.4a	<p>Do you use incentive measures¹⁷ such as those described in CoP14 Doc 14.32 to implement the Convention?</p> <table border="0" style="width: 100%;"> <thead> <tr> <th style="width: 80%;"></th> <th style="width: 10%; text-align: center;">Yes</th> <th style="width: 10%; text-align: center;">No</th> </tr> </thead> <tbody> <tr> <td>Due diligence</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input checked="" type="checkbox"/></td> </tr> <tr> <td>Compensatory mechanisms</td> <td style="text-align: center;"><input checked="" type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>Certification</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input checked="" type="checkbox"/></td> </tr> <tr> <td>Communal property rights</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input checked="" type="checkbox"/></td> </tr> <tr> <td>Auctioning of quotas</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input checked="" type="checkbox"/></td> </tr> <tr> <td>Cost recovery or environmental charges</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input checked="" type="checkbox"/></td> </tr> <tr> <td>Enforcement incentives</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input checked="" type="checkbox"/></td> </tr> </tbody> </table> <p>If 'Yes' to any of the above, or if you use other measures, please provide a summary or link to further information: https://www.dbb-wolf.de/wolfsmanagement/herdenschutz/praeventions-und-ausgleichszahlungen</p>		Yes	No	Due diligence	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Compensatory mechanisms	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Certification	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Communal property rights	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Auctioning of quotas	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Cost recovery or environmental charges	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Enforcement incentives	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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Cost recovery or environmental charges	<input type="checkbox"/>	<input checked="" type="checkbox"/>																							
Enforcement incentives	<input type="checkbox"/>	<input checked="" type="checkbox"/>																							
2.2.4b	<p>Have incentives harmful to biodiversity been eliminated?</p> <p style="text-align: right;">Not at all <input type="checkbox"/></p> <p style="text-align: right;">Very little <input type="checkbox"/></p> <p style="text-align: right;">Somewhat <input type="checkbox"/></p> <p style="text-align: right;">Completely <input type="checkbox"/></p>																								

¹⁷ Defined as 'Social and economic incentives that promote and regulate sustainable management of and responsible trade in, wild flora and fauna and promote effective enforcement of the Convention'. The intent of such measures is not to promote wildlife trade as such, but rather to ensure that any wildlife trade undertaken is conducted in a sustainable manner.

Objective 2.3 Sufficient resources are secured at the national and international levels to implement capacity-building programmes.
Aichi Target 12, Target 19 and Target 20.

Indicator 2.3.1: The number of capacity building activities mandated by Resolutions and Decisions that are fully funded.

2.3.1a	How many training and capacity building activities ¹⁸ have you run during the period covered in this report?	Without assistance from the Secretariat	Conducted or assisted by the Secretariat				
	None	<input type="checkbox"/>	<input checked="" type="checkbox"/>				
	1	<input type="checkbox"/>	<input type="checkbox"/>				
	2-5	<input type="checkbox"/>	<input type="checkbox"/>				
	6-10	<input type="checkbox"/>	<input type="checkbox"/>				
	11-20	<input type="checkbox"/>	<input type="checkbox"/>				
	More than 20	<input checked="" type="checkbox"/>	<input type="checkbox"/>				
Please list the Resolutions or Decisions involved:							
2.3.1b	What sorts of capacity building activities have taken place? See attachment!						
2.3.1c	What capacity building needs do you have?						
Please tick all boxes which apply to indicate which target group and which activity.		Oral or written advice/guidance	Technical assistance	Financial assistance	Training	Other (specify)	Details
Staff of Management Authority		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Staff of Scientific Authority		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Staff of enforcement authorities		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Traders / other user groups		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
NGOs		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Public		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Other (please specify)		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

¹⁸ An activity might be a single day training e.g. for a group of staff from the Management Authority, or a longer course / project undertaken by an individual.

GOAL 3 CONTRIBUTE TO SIGNIFICANTLY REDUCING THE RATE OF BIODIVERSITY LOSS AND TO ACHIEVING RELEVANT GLOBALLY-AGREED GOALS AND TARGETS BY ENSURING THAT CITES AND OTHER MULTILATERAL INSTRUMENTS AND PROCESSES ARE COHERENT AND MUTUALLY SUPPORTIVE

Objective 3.1 Cooperation between CITES and international financial mechanisms and other related institutions is enhanced in order to support CITES-related conservation and sustainable development projects, without diminishing funding for currently prioritized activities.
[Aichi Target 2 and Target 20.](#)

Indicator 3.1.1: The number of Parties funded by international financial mechanisms and other related institutions to develop activities that include CITES-related conservation and sustainable development elements.

3.1.1a	Has funding from international financial mechanisms and other related institutions been used to develop activities that include CITES-related conservation and sustainable development elements? If 'Yes', please provide brief details:	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not applicable <input type="checkbox"/> No information <input type="checkbox"/>
3.1.1b	During the period covered in this report, has funding for your country from international funding mechanisms and other related institutions:	Increased <input type="checkbox"/> Remained stable <input type="checkbox"/> Decreased <input type="checkbox"/>

Indicator 3.1.2: The number of countries and institutions that have provided additional funding from CITES Authorities to another country or activity for conservation and sustainable development projects in order to further the objectives of the Convention.

3.1.2a	Have you provided technical or financial assistance to another country or countries in relation to CITES?						Yes <input type="checkbox"/> No <input type="checkbox"/> No information <input type="checkbox"/>	
If 'Yes', please tick boxes to indicate type of assistance provided								
Country(ies)		Species Management ¹⁹	Habitat Management ²⁰	Sustainable use	Law Enforcement	Livelihoods	Other (specify)	Details (provide more information in an Appendix if necessary)
See Annex 2 as xlsx file attached:		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
DE_3.1.2a_2018-2020_Annex_2		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

¹⁹ Use species conservation column for work directly related to species – e.g. population surveys, education programmes, conflict resolution, etc.

²⁰ Use habitat conservation column for work that will indirectly support species conservation – e.g. habitat management, development of policy frameworks for how land is managed, etc.

Objective 3.2 Awareness of the role and purpose of CITES is increased globally.
Aichi Target 1, Target 4, Target 12 and Target 18.

Indicator 3.2.1: The number of Parties that have been involved in CITES awareness raising activities to bring about better awareness by the wider public and relevant user groups of the Convention requirements.

3.2.1a	Have CITES authorities been involved in any of the following activities to bring about better awareness of the Convention's requirements by the wider public and relevant user groups?	Wider public	Relevant User Groups
	– Press conferences	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	– Press releases	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
	– Newspaper articles, brochures, leaflets	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
	– Television appearances	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	– Radio appearances	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	– Presentations	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
	– Public consultations / meetings	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
	– Market surveys	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
	– Displays	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
	– Information at border crossing points	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	– Telephone hotline	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
	– Website(s) – if so please provide link(s)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
	– Other (specify): Information stand at regional or international tourism and consumer fairs	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Please attach copies of any items or describe examples: See attachment!			

Indicator 3.2.2: The number of visits to the CITES website.

3.2.2a	How regularly do your Authorities consult the CITES website?												
	Please tick boxes to indicate the most frequent usage (decide on an average amongst staff if necessary).												
	Target group	Daily	Weekly	Monthly	Less frequently	Not known							
	Staff of Management Authority	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>							
	Staff of Scientific Authority	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>							
	Staff of enforcement authorities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>							
3.2.2b	What has been your experience with using the CITES website?	Excellent	<input type="checkbox"/>	Good	<input checked="" type="checkbox"/>	Average	<input type="checkbox"/>	Poor	<input type="checkbox"/>	Very Poor	<input type="checkbox"/>	No information	<input type="checkbox"/>
Any further comments on the CITES Website? (e.g. useful aspects, any difficulties encountered, which authorities find which functions/tools most useful, what is missing, etc): Difficult to keep information up-dated!													

Indicator 3.2.3: The number of Parties with web pages on CITES and its requirements.

A question relating to this indicator is within question 3.2.1a.

Objective 3.3 Cooperation with relevant international environmental, trade and development organizations is enhanced.

Indicator 3.3.1 The number of Parties which report that they have achieved synergies in their implementation of CITES, other biodiversity-related conventions and other relevant multilateral environmental, trade and development agreements.

3.3.1a	Have measures been taken to achieve coordination and reduce duplication of activities between the national CITES authorities and national focal points for other multilateral environmental agreements (e.g. the other biodiversity-related conventions: CBD, CMS, ITPGR, Ramsar, WHC) ²¹ to which your country is party? If 'Yes', please give a brief description: Coordination between the different focal points for CITES and other biodiversity-related conventions is secured through coordination within the Ministry of Environment by the different units and officers responsible for the various conventions.	Yes	<input checked="" type="checkbox"/>
		No	<input type="checkbox"/>
		No information	<input type="checkbox"/>

Indicator 3.3.2: The number of biodiversity conservation or sustainable use projects, trade and development goals, or scientific and technical programmes that integrate CITES requirements.

3.3.2a	How many international projects which integrate CITES issues has your country contributed towards?	16	
3.3.2b	In addition to 3.2.2a, how many national level projects has your country implemented which integrate CITES issues?	5	
3.3.2c	Have there been any efforts at a national scale for your CITES Management or Scientific Authorities to collaborate with:	Yes	No
	Agencies for development?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Agencies for trade?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Provincial, state or territorial authorities?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Local authorities or communities?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Indigenous or local peoples?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Trade or other private sector associations?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	NGOs?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Other (please specify)	<input type="checkbox"/>	<input type="checkbox"/>
3.3.2d	Are CITES requirements integrated into?	Yes	No
	National and local development strategies?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	National and local poverty reduction strategies?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Planning processes?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	National accounting?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

²¹ CBD = Convention on Biological Diversity; CMS = Convention on the Conservation of Migratory Species of Wild Animals, ITPGR = International Treaty on Plant Genetic Resources for Food and Agriculture, Ramsar = The Convention on Wetlands of International Importance, WHC = World Heritage Convention.

Indicator 3.3.3: The number of Parties cooperating / collaborating with intergovernmental and non-governmental organizations to participate in and/or fund CITES workshops and other training and capacity-building activities.

3.3.3a	Has funding been provided or received to facilitate CITES workshops, training or other capacity building activities to / from:	Tick if applicable	Which organizations?
	Inter-governmental organizations?	<input checked="" type="checkbox"/>	ACTO
	Non-governmental organizations?	<input checked="" type="checkbox"/>	CMS, TRAFFIC

Objective 3.4 The contribution of CITES to the relevant Millennium Development Goals, the sustainable development goals set at WSSD, the *Strategic Plan for Biodiversity 2011-2020* and the relevant *Aichi Biodiversity Targets*, and the relevant outcomes of the United Nations Conference on Sustainable Development is strengthened by ensuring that international trade in wild fauna and flora is conducted at sustainable levels.

This objective may also be assessed by a variety of means beyond the reporting format, including action taken to implement many of the CITES resolutions and decisions.

[Aichi Target 1](#), [Target 2](#), [Target 3](#), [Target 4](#), [Target 5](#), [Target 6](#), [Target 7](#), [Target 12](#), [Target 14](#), [Target 17](#), [Target 18](#) and [Target 19](#).

Indicator 3.4.1: The conservation status of species listed on the CITES Appendices has stabilized or improved.

3.4.1a	Do you have data which shows that the conservation status of naturally occurring species in your country listed on the CITES Appendices has stabilized or improved?	Yes	No	Not Applicable
	Appendix I	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Appendix II	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Appendix III	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If there are such studies that you are willing to share, please provide: Species name (scientific) Link to the data, or a brief summary				
3.4.1b	Do you have examples of specific examples of success stories or emerging problems with any CITES listed species?	Yes	<input type="checkbox"/>	
		No	<input type="checkbox"/>	
		No information	<input type="checkbox"/>	
If 'Yes', please provide details:				

Indicator 3.4.2: The number of Parties incorporating CITES into their National Biodiversity Strategy and Action Plan (NBSAP).

3.4.2a	Has CITES been incorporated into your country's National Biodiversity Strategy and Action Plan (NBSAP)?	Yes	<input checked="" type="checkbox"/>
		No	<input type="checkbox"/>
		No information	<input type="checkbox"/>
3.4.2b	Have you been able to obtain funds from the Global Environment Facility (GEF) or other sources to support CITES aspects of NBSAP implementation?	Yes	<input type="checkbox"/>
		No	<input type="checkbox"/>
		No information	<input checked="" type="checkbox"/>

Objective 3.5 Parties and the Secretariat cooperate with other relevant international organizations and agreements dealing with natural resources, as appropriate, in order to achieve a coherent and collaborative approach to species which can be endangered by unsustainable trade, including those which are commercially exploited.

[Aichi Target 2](#), [Target 4](#), [Target 5](#), [Target 6](#), [Target 7](#), [Target 10](#), [Target 12](#), [Target 14](#) and [Target 19](#).

Indicator 3.5.1: The number of cooperative actions taken under established bilateral or multilateral agreements to prevent species from being unsustainably exploited through international trade.

3.5.1a	Has your country taken action under established bilateral or multilateral agreements other than CITES to prevent species from being unsustainably exploited through international trade? If 'Yes', please provide details:	Yes	<input type="checkbox"/>
		No	<input checked="" type="checkbox"/>
		No information	<input type="checkbox"/>

Indicator 3.5.2: The number of times other relevant international organizations and agreements dealing with natural resources are consulted on issues relevant to species subject to unsustainable trade.

3.5.2a	Average number of times per year that international organizations or agreements have been consulted by CITES Authorities	Once	2-5 times	6-20 times	More than 20 times	No consultation	Optional comment about which organizations and issues consulted on
	Management Authority(ies)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Scientific Authority(ies)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Enforcement Authority(ies)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

General feedback

Please provide any additional comments you would like to make, including comments on this format.

Item		
Copy of full text of CITES-relevant legislation if changed	Enclosed	<input type="checkbox"/>
Web link(s):	Not available	<input type="checkbox"/>
	Previously provided	<input type="checkbox"/>
Please list any materials annexed to the report, e.g. fee schedules, awareness raising materials, etc:		
Have any constraints to implementation of the Convention arisen in your country requiring attention or assistance?	Yes	<input type="checkbox"/>
	No	<input type="checkbox"/>
	No Information	<input checked="" type="checkbox"/>
If 'Yes', please describe the constraint and the type of attention or assistance that is required.		
Are there examples of good practice you would like to share with other Parties?	Yes	<input type="checkbox"/>
	No	<input type="checkbox"/>
	No Information	<input checked="" type="checkbox"/>
If 'Yes' please provide details / links:		
How could this report format be improved?		

Germany: Implementation Report 2018 – 2020, Annex 1



Department or agency preparing this report:
Federal Agency for Nature Conservation

Contributing departments, agencies and organizations:
Ministry for the Environment, Nature Conservation and Nuclear Safety
Ministry for Economic Cooperation and Development

Attachment to certain questions

To **1.1.1a**: *Have any CITES relevant policies or legislation been developed during the period covered in this report?*

Trade in ivory

The EU and its Member States continue to be firmly committed to combating elephant poaching and ivory trafficking. This ambition is a key element of the EU Action Plan against Wildlife Trafficking, and has been reaffirmed in the EU's Biodiversity Strategy for 2030. The EU and its Member States are currently in the process of finalising a set of additional measures that will target the import and re-export of ivory as well as the EU internal market. It is expected that the new measures will be adopted by mid-2021; they will come on top of the already stricter domestic measures (compared to CITES requirements) that have been in place in the EU for many years.

The additional measures will significantly restrict ivory trade to, from and within the EU. Exceptions to the general prohibition for commercial trade will be narrow and controlled by Member States' authorities on a case-by-case basis. The EU and its Member States are putting in place additional guidance for national CITES authorities to ensure that any exceptional trade authorisation will not contribute to poaching or illegal trade.

Currently, trade in ivory is strictly regulated in the EU through the EU Wildlife Trade Regulations and trade to, within and from the EU of ivory for commercial purposes is generally not permitted, e.g. EU Member States stopped issuing re-export certificates for raw ivory from 1st July 2017; the German MA did not allow commercial re-exports of tusks (whole tusks of any size and cut pieces of ivory that are both 20 cm or more in length and one kilogram or more in weight) since April 2014.

1.1.1b: *Does your legislation or legislative process allow easy amendment of your national law(s) to reflect changes in the CITES Appendices (e.g. to meet the 90 day implementation guidelines)?*

Germany: The provisions of CITES have been implemented uniformly in all EU Member States since 1984, through a set of Regulations known as the EU 'Wildlife Trade Regulations'. Changes in the CITES Appendices have to be reflected at EU level via changes to the Annexes to Council Regulation (EC) No 338/97 through a Commission Regulation. These regulations are binding in their entirety and

are directly applicable in all EU Member States. An implementation in the domestic legislation is not required.

An easier legislative process is provided through regulations set out in Articles 19.5 and 18.4 which allow a shortened law-making procedure: objections either by the European Parliament or the Council have to be expressed only within a period of two months of notification of that act to the European Parliament and the Council.

However, it is difficult to comply with the period of 90 days as set out in Article XV.1c CITES. The new Appendices after CITES CoP 18 were notified to the CITES Parties by Notification No 2019/055 on 16th October 2019. Hence, changes to the CITES Appendices entered into force at the international level on 26th November 2019, whereas at EU level changes entered into force on 14th December 2019.

1.2.1b *If you are planning to move towards e-permitting, please explain what might help you to do so:*

We are a participant in the EU project to introduce an e-permitting system. Within the framework of this project, it is planned to introduce the issuing of electronic permits as well as a full data exchange with all EU member states and participating CITES Parties outside the EU from around 2024. The necessary developments for this project will be implemented step by step.

1.2.2a *Has your country developed simplified procedures for any of the following?*

Germany's additional information:

The Standard CITES form (as set out in annex 1 on Commission Regulation No 792/2012) for an export permit or re-export certificate is used instead of a special pre-Convention certificate or a certificate of captive breeding or artificial propagation in accordance with Article VII, paragraph 5 CITES. In both cases source code 'O' or source codes 'A' or 'C' are verified on those permits.

In substance, the derogation as set out in Article VII.2 for pre-Convention specimens has been only partly transposed (with a slightly different wording) into *Regulation (EC) No 338/97* through Article 5(6)(ii) of *Regulation 338/97*, which states that export permits or re-export certificates can be issued without the production of a 'Non-detriment finding' and for commercial purposes for : *"dead specimens and parts and derivatives thereof for which the applicant provides documentary evidence that they were legally acquired before the provisions of this Regulation, or of Regulation (EEC) No 3626/82 or of the Convention became applicable to them"*.

The same derogation does not apply for imports into the EU which means that commercial imports of Appendix-I species must not be allowed. However, when verifying 'legal acquisition' the special case of 'pre-Convention' is considered as sufficient.

Are there other cases judged by a Management Authority to merit the use of simplified procedures? Details:

The EU has implemented “other cases” of section XIII of Resolution Conf. 12.3 (rev. CoP17), under paragraph 22a iv), by Article 19 Commission Regulation (EC) No 865/2006 providing legal means to grant pre-issued (partially-complete) export permits or re-export certificates of dead specimens.

‘Simplified procedures’ under Article 19 Commission Regulation (EC) No 865/2006 were applied to in total three registered applicants/firms/companies that were active in the following three fields:

1. Cosmetic products or extracts for cosmetics known as ‘caviar crème’ containing very small portions of captive bred specimens of the species *Acipenser baerii*, *Acipenser gueldenstaedtii* and *Acipenser transmontanus*.
2. Snake venom for medical products using the species *Daboia russelii* (App. III CITES; Annex C of Council Regulation EC No 337/97) from captive bred specimens, imported mainly from USA and less from Sweden.
3. Medical products (MED) using wild specimens of the plant species *Cyclamen purpurascens* (medicine), originated in France. Taking from the wild has been allowed by the competent regional authority in France. The products do contain only a very small share (homeopathy) of the protected plant species.

The quantities of export and re-export certificates issued in Germany by using the simplified procedure referred to above were the following:

year 2018= 5710 certificates, year 2019 = 7097 certificates and year 2020 = 4847 certificates.

Certificates issued in the simplified procedure referred to above are identified in ‘Annual reports’ by using ‘REMARKS’ with the text “blank form-blanket”.

Finally, we refer to other derogations, e.g. Article VII paragraph 6 and Resolution Conf. 11.15 (exchange between registered scientific institutions) or Resolution Conf. 9.19 (rev. CoP 15), Annex 2 letter d) (simple procedure for the issuance of export permits to a registered nursery), which are not mentioned in Resolution 12.3 but do also allow derogations or facilitations.

1.4.1a *Have you undertaken any reviews of whether species would benefit from listing on the CITES Appendices?*

<https://cites.org/sites/default/files/eng/cop/18/prop/19032019/E-CoP18-Prop-41.pdf>: Proposal to include the genus *Tylototriton spp.* in CITES Appendix II in co-operation with the EU, the People’s Republic of China and the Socialist Republic of Viet Nam.

<https://cites.org/sites/default/files/eng/cop/18/prop/060319/E-CoP18-Prop-40.pdf>: Proposal to include the genus *Paramesotriton spp.* In CITES Appendix II in co-operation with the EU, the People’s Republic of China and the Socialist Republic of Viet Nam.

<https://cites.org/sites/default/files/eng/cop/18/prop/19032019/E-CoP18-Prop-27.pdf>: Proposal to include the species of *Goniurosaurus spp.* from China and Vietnam In CITES Appendix II in co-operation with the EU, the People’s Republic of China and the Socialist Republic of Viet Nam.

<https://www.sciencedirect.com/science/article/pii/S2351989420307344>: Study on population status and impact of trade on *Physignathus cocincinus* in Vietnam.

<https://natureconservation.pensoft.net/article/33590/>: Study on impact of trade on *Goniurosaurus* species in Viet Nam and updated information on abundance of *G. catbaensis*.

The German Scientific Authority has commissioned reviews of the status of the genus *Rhodiola* and of *Griffonia simplicifolia* (medicinal plants) including the question whether trade poses a threat to the species. Reviews on three species (*Griffonia simplicifolia*, *R. rosea*, *R. sachalinensis*) have been published or are in press in a scientific journal:

Rhodiola rosea: <https://www.sciencedirect.com/science/article/abs/pii/S0378874120335984>

Rhodiola sachalinensis: in press at World Journal of Traditional Chinese Medicine

Griffonia simplicifolia: in press at Journal of Ethnopharmacology.

1.5.1a Have any surveys, studies or other analyses been undertaken in your country in relation to certain species, please provide links to published reference material:

Canis lupus: <https://www.dbb-wolf.de/>

<https://www.dbb-wolf.de/mehr/literatur-download/statusberichte>

<https://www.bfn.de/presse/pressearchiv/2021.html>

<https://www.bfn.de/fileadmin/BfN/service/Dokumente/skripten/Skript413.pdf>

Lynx lynx: <https://www.bfn.de/fileadmin/BfN/service/Dokumente/skripten/Skript413.pdf>

<https://www.bfn.de/presse/pressearchiv/2021.html>

Ursus arctos: <https://www.bfn.de/fileadmin/BfN/service/Dokumente/skripten/Skript413.pdf>

<https://www.lfu.bayern.de/pressemitteilungen/archiv/>

Aquila pomarina: <https://www.deutschewildtierstiftung.de/naturschutz/das-schreiadler-schutzprogramm>

<https://lfu.brandenburg.de/cms/detail.php/bb1.c.316066.de>

<https://www.bfn.de/foerderung/e-e-vorhaben/liste-aktueller-vorhaben/e-e-lfdsteckbriefe-as-tiere/schreiadler.html>

Lutra lutra: https://www.bfn.de/fileadmin/BfN/natura2000/Dokumente/Mam_Lutrlutr.pdf

Anguilla anguilla: <https://www.thuenen.de/en/fi/projects/improving-management-with-new-data/>

Study: "Strategies for reducing demand for reptiles, amphibians and small mammals kept as pets", available at: https://www.bfn.de/fileadmin/BfN/service/Dokumente/skripten/Skript_545.pdf (in German language only).

1.5.1b: How are the results of such surveys, studies or other analyses used in making non-detriment findings (NDFs)? Please provide a short summary.

With the exception of the European eel (*Anguilla anguilla*) all species concerned are strictly protected as set out in national and European regulations (Federal Nature Conservation Act, Federal Ordinance on the Conservation of Species – ‘Bundesartenschutzverordnung’ -, EU Fauna Flora Habitats Directive 92/43/EEC, EU Bird Directive 2009/147/EC , Council Regulation (EC) No 338/97). Any commercial harvest and any commercial export is prohibited. *Anguilla anguilla* is still commercially used within the EU according to the EU-Regulation 1100/2007 establishing measures for the recovery of the stock of the European eel.

1.5.1c: *Do you have specific conservation measures or recovery plans for naturally occurring Appendix-I listed species? Please provide a brief summary, including, if possible, an evaluation of their impact:*

<https://www.bfn.de/fileadmin/BfN/service/Dokumente/skripten/Skript449.pdf> (see page 6 for English information)

https://www.bfn.de/fileadmin/BfN/natura2000/Dokumente/Mam_Lutrlutr.pdf

1.5.1d: *Have you published any non-detriment findings that can be shared?*

No. Native species are not in trade or exported from Germany; however, regarding import applications of non-native species into Germany there are -internal- case-by-case-studies.

1.5.2a: *Do you have standard procedures for making non-detriment findings in line with Resolution Conf. 16.7? Please briefly describe your procedures for making non-detriment findings, or attach as an annex to this report, or provide a link to where the information can be found on the internet:*

EU Scientific Review Group Guidelines:

<http://ec.europa.eu/environment/cites/pdf/srg/guidelines.pdf>

The 9-steps NDF Guidance has been developed and is available online at

<https://www.bfn.de/en/activities/species-conservation/species-conservation-legislation-and-conventions/cites/non-detriment-findings.html>

It is available for *perennial plants* [CITES Non-detriment Findings Guidance for Perennial Plants: A nine-step process. V 3.0: Bundesamt für Naturschutz \(BfN\), 2016](#) (see CoP 17 Inf. 45), which for the time being is available in seven languages,

and for *timber* “[CITES Non-detriment Findings for Timber, VS 3.0](#)”, which for the time being is available in four languages.

Germany developed a guideline for producing NDFs for *shark* species,

<https://cites.org/eng/prog/shark/sustainability.php>. This guidance and its application is currently under further development (ongoing, start 2020), aiming for a user friendly “eNDF” application with the potential also to be applied to selected other taxa in the future.

1.6.1a *Is your country a signatory to any bilateral and/or multilateral agreements for co-management of shared species? Please provide brief details, including the names of the agreements, and which other countries are involved:*

Germany is signatory state of following agreements:

Convention on the Conservation of European Wildlife and Natural Habitats (Bern Convention)

Convention on the Conservation of Migratory Species of Wild Animals (CMS)

Convention on Wetlands of International Importance especially as Waterfowl Habitat, called the Ramsar Convention

Trilateral Wadden Sea Cooperation (TWSC with Netherlands, Denmark and Germany).

Within the European Union the following regulations for the protection of species apply and they are set out below:

EU Bird Directive 2009/147/EC:

see http://ec.europa.eu/environment/nature/legislation/birdsdirective/index_en.htm :

Europe is home to more than 500 wild bird species. The Birds Directive aims to protect all wild bird species naturally occurring in the European Union, including the species covered by CITES.

EU Fauna Flora Habitats Directive 92/43/EEC,

see http://ec.europa.eu/environment/nature/legislation/habitatsdirective/index_en.htm ,

The Habitats Directive ensures the conservation of a wide range of rare, threatened or endemic animal and plant species, including some of the European species covered by CITES.

Council Regulation (EC) 1100/2007, establishing measures for the recovery of the stock of European eel, see https://ec.europa.eu/fisheries/marine_species/wild_species/eel/management_plans_en.

1.7.1a *Parties are enforcing the Convention to reduce illegal wildlife trade, being engaged in ...
If 'Yes' to any of the above, please specify the level of engagement and provide additional details:*

German representatives

- are regularly attending the EU Enforcement Group Meetings
- do participate in the Wildlife Enforcement Network Meeting at CITES CoP 18
- do participate in the Interpol Wildlife Crime Working Group
- do participate in the project Interpol Thunder series
- do participate in enforcement operations coordinated by EUROPOL
- do participate in European multidisciplinary platform against criminal threats (EMPACT) in the framework of the EU Policy Cycle 2018 – 2021 (see <https://www.europol.europa.eu/empact>),
- do regularly attend 'Standing Committee on Species and Biotope Conservation' of the Bund/Länder Association for Nature Conservation (BLANA)¹ in order to set main focus area of CITES enforcement
- do implement and enforce the EU Action Plan against Wildlife Trafficking which was adopted by the EU Commission and the Council in 2016, see details on actions and initiatives taken under http://ec.europa.eu/environment/cites/trafficking_en.htm and adopted in 2017 on a high political level a national 'German Enforcement Action Plan'.

¹ Germany is a federal state consisting of 16 so called 'Länder'. Local and regional 'Länder' authorities have powers for issuing intra-Community certificates (for commercial use; for movement of live animals), to carry out investigations and for controlling trade within the EU. An important body to coordinate activities and to ensure the uniform application of regulations within Germany is the Standing Committee on 'Species and Biotope Conservation' of the "Bund/Länder" Association for Nature Conservation" (BLANA).

1.7.2b *Have you used the International Consortium on Combating Wildlife Crime (ICWC) Wildlife and Forest Crime Analytic Toolkit, or equivalent tools?*

If 'No', please provide feedback on why not or what is needed to make the toolkit or equivalent tools useful to you:

The relevant regulations with regards to wildlife crime have been established long ago and have been updated regularly reflecting the changes and challenges. Currently, considering the national enforcement challenges in Germany that toolkit is not additionally used; indeed, there is an existing, very good and long-lasting cooperation between management authorities and enforcement agencies such as customs investigation agencies. In addition, a curriculum for comprehensive training for customs officers as well as for police officers and for staff of authorities in charge of inspections has been prepared and such training is conducted regularly.

1.7.3a *Do you have law and procedures in place for investigating, prosecuting, and penalizing CITES offences as a crime? If 'Yes', please provide the title of the legislation and a summary of the penalties available:*

General regulations regarding environmental crime are set out in the national (penal) criminal code. Specific regulations regarding CITES offences are set out in the Federal Nature Conservation Act. Most important rules are:

Deliberate, Illegal import or export of CITES listed species: imprisonment of up to 5 years (for species listed in App.-I CITES) or up to 3 years for other species

Deliberate infringement of ban on marketing within the EU: comparable punishment as foreseen for illegal import or export.

Illegal catching or taking from the wild in Germany: the same as above.

1.7.3b: *Are criminal offences such as poaching and wildlife trafficking recognized as serious crime in your country? If 'Yes', please explain what criteria must be met for poaching or wildlife trafficking offences to be treated as serious crimes:*

The Federal Nature Conservation Act distinguishes between species which are 'strictly protected' (e.g. listed in Appendix I CITES) or only 'specially protected' (e.g. listed in Appendix II CITES). Several domestic species listed in Appendix II CITES are also ranked as strictly protected by our domestic law.

For 'strictly protected' species imprisonment for up to 5 years is set out. Specific sanctions are also set out in the German Criminal Code when both species groups (App. I and II CITES) are poached in 'Nature Conservation Areas'. In such cases imprisonment for up to 5 years is set out, too.

1.7.3c) forensic technology

DNA analysis is used for species identification and to prove parentage; isotope analysis is used for the determination of age and geographical source.

Several facilities are able to carry out such forensic analysis, especially for birds (parrots, birds of prey), certain reptile species like tortoises, ivory and sturgeon caviar.

Currently several scientific projects are running to improve forensic techniques especially with regard to species identification and to simplify and speed up such analysis.

1.7.3d: *Did your authorities participate in or initiate any multi-disciplinary law enforcement operation(s) targeting CITES-listed species during the period covered in this report?*

If 'Yes', please provide a brief summary, including any lessons learned which might be helpful for other Parties:

Regularly, there is close cooperation between CITES Management Authority and customs investigation offices or police forces; also representatives of the CITES Scientific Authority are ready to support the investigation offices. Meetings between the relevant authorities will take place on a regular basis.

1.7.3f: *Do you have legislative provisions for any of the following that can be applied to the investigation, prosecution and/or sentencing of CITES offences as appropriate?*

Specialized investigation techniques may be used by investigating offices after these were allowed by the competent public prosecutor. In general, those techniques are measures in accordance with Articles 161, 163 StPO (code of criminal procedure) and for covert investigators Articles 110a – e StPO whereby prerequisites for 'controlled deliveries' are set out in directives (in German: 'Richtlinien für das Strafverfahren und das Bußgeldverfahren').

"Asset forfeiture" is set out in German penal code (Section 73 et seq., StGB – 'Strafgesetzbuch' - Penal Code, available under https://www.gesetze-im-internet.de/englisch_stgb/) which was reworded in 2017, fully considering the terms of Directive 2014/42/EU of the European Parliament and of the Council of 3 April 2014 on the freezing and confiscation of instrumentalities and proceeds of crime in the European Union. That allows the confiscation of criminal assets; in practice, it will be used if such assets can be identified.

"Controlled deliveries" are used regularly if transit shipments are stopped at German border posts and if the destination country is willing to accept and support such controlled deliveries.

Criminal law on corruption is set out in German penal code (Section 331 et seq., StGB – 'Strafgesetzbuch' and further detailed regulations). The '*UN Convention against Corruption*' was ratified by Germany.

1.7.5 a *Have any administrative measures (e.g. fines, bans, suspensions) been imposed for CITES-related offences? If 'Yes', please indicate how many and for what types of offences. If available, please attach details:*

In addition to charges fined by public prosecutors and courts, the Federal Agency for Nature Conservation (BfN) is the responsible authority to initiate administrative offence procedures in case of import or export offences. Fines of up to 50.000 € may be imposed.

Especially, illegal import of small amounts of protected specimen, especially by tourists or via postal or courier services will be handled as administrative offences and will be punished by fines. Several hundred of such cases will be handled by the management authorities per year. In addition, the specimens involved will be seized and confiscated.

The examples listed below include fines of 1.000 € and more which were imposed within the reporting period for the following illegal shipments, partly after they had been referred back by public prosecutors to the BfN for an administrative offence procedure:

Import of 3 live tortoises of the species <i>Testudo graeca</i> hidden in a chocolate box:	4000€
Import of around 900 small boxes made of <i>Dalbergia sisso</i> :	2800€
Import of an ashtray made of a Crocodile head (<i>Crocodylus niloticus</i>)	2000€

Import of 5 pieces of furniture made of <i>Dalbergia baronii</i>	2000€
Import of the skin and head of a European Lynx (<i>Lynx lynx</i>)	1500€

1.7.5 b *Have there been any criminal prosecutions of CITES-related offences?*

If 'Yes', how many and for what types of offences? If available, please attach details:

Mostly, criminal prosecutions refer to illegal imports of specimens of species listed in App. I CITES but also illegal internal trade of such specimens will be handled as criminal case and must be presented to the courts. The punishment reaches from fines up to imprisonment. In addition, the specimens involved will be seized and confiscated.

1.7.5 c *Have there been any other court actions against CITES-related offences?*

If 'Yes', what were the offences involved and what were the results? Please attach details:

Most of the court cases are dealing with the illegal import or export of specimens of species listed in App. I CITES or with the illegal commercial trade in such specimens. In many cases the court will impose fine but also imprisonment up to 5 years is possible. Imprisonment on probation will be imposed usually if the offender will be convicted to imprisonment up to 2 years.

Significant cases to 1.7.5 a, b and c)

Ivory case

On May 20th, 2016 the German customs authority at Berlin Airport has stopped a shipment of 11 boxes containing raw and manufactured ivory. In total, 625 kg of ivory have been seized by the authorities.

During investigations in that case further premises had been identified which were searched in September 2016. In addition to the first seizure in May 2016, again around 570 kg of ivory carvings, inclusive 40 tusks of different sizes, were seized by German authorities. Also different tools like drills or a mortising machine which might be used to work on the ivory could be seized. Samples were taken to determine the age and the geographical source of the ivory.

In total the investigation led to the seizure of around 1200 kg of ivory.

Finally, in 2020 the court has sentenced the main offender to 20 months imprisonment on probation.

Orchids

In June 2017, a shipment of wild taken orchids were seized by the German customs. In total, 650 wild taken orchids of the Genus *Paphiopedilum* and *Dendrobium* all occurring in Southeast Asia only could be identified. Some of the plant species were described just recently. Comparable to the two other seizures the plants were transported by a courier. Effectively, further investigations led to an additional seizure of several hundred orchid plants (*Paphiopedilum*) at the premises of the person involved.

Meanwhile the consignee of the shipment who was the owner of an orchid nursery has been sentenced to 1 year imprisonment on probation. In addition all the plants have been finally confiscated.

Amphibians

In March 2020, following some previous intelligence measures, the German authorities carried out some investigations regarding the illegal trade in poison arrow frogs of the genus *Oophaga*. The authorities seized in total 112 live frogs of two different species. We seized 108 live *Oophaga pumilio* which could be identified as animals of specific very small populations and 4 animals of the species *Oophaga vicentei*. Animals of the latter species have never been imported legally. This case is still under investigation.

Eels

In 2018/2019 the German customs has seized in total more than 300.000 young glas-eels (*Anguilla anguilla*) which were illegally caught and which should be exported to Southeast Asia. These eels could be detected at German airports. During the investigation the German customs was able to identify a place where further young eels were kept till they could be packed for the illegal export by couriers. Additionally, around 210.000 glas-eels could be seized by the customs. In connection with this international smuggling of elvers (young eels), already four offenders have been sentenced to custodial sentences of between eight and 12 months.

1.7.5d *How were any confiscated specimens disposed of? ... Have you encountered any challenges in disposing of confiscated specimens?*

Identified problems are:

Animal welfare and diseases:

Many institutions are not willing to take animals with unknown source and condition!

Great amounts of live animals or plants:

There are problems with accommodation - regarding the capacity of rescue centers, zoological or botanical gardens and – also in general - with veterinary or phytosanitary issues (quarantine, etc.).

2.2.1a *Do you have an approved service standard(s)² for your Management Authority(ies)? If 'Yes', for which services are there standards, and what are those standards?*

Information on the procedure how to apply for a CITES permit/certificate is available at website <https://www.bfn.de/en/activities/cites/application-procedure.html>, e.g. permit forms are supplied by the German Federal Agency for Nature Conservation.

The relevant EU regulation for the implementation of CITES in the EU requires that the decision to grant or refuse permits should be taken within one month, provided that all the necessary information is available.

2.2.1b: *Do you have an approved service standard(s)³ for your Scientific Authority(ies)?*

² For example, a time frame in which you are required to provide a response on a decision to issue or not issue a permit, certificate, or re-export certificate.

³ For example, a time frame in which you are required to provide a response on a decision to issue or not issue a permit, certificate, or re-export certificate.

Any request from the Management Authority should be responded to within 10 working days. The exchange of information required for this purpose and the submission of scientific opinions take place within an agreed electronic system.

2.2.3d Do your fees recover the full economic cost of issuing permits?

Do you have case studies on charging or using fees?

Over a period of 3 months, we determined the time required to process and issue permits and certificates and calculated the corresponding fee. The survey was conducted separately for each permit and certificate type. The new fee structure for CITES documents contained in a federal regulation that will enter into force on 1 October 2021 is based on the results of the detailed survey.

2.3.1b *What sorts of capacity building activities have taken place?*

- Training on legal requirements and document requirements for customs officers, police officers and staff of regional and local enforcement authorities
- Training on identification of protected specimens for customs officers, police officers and staff of regional and local enforcement authorities
- Advanced courses for officers, police officers and staff of regional and local enforcement authorities regarding dealing with case studies, seizure and punishment

The abovementioned training for customs officers will be carried out by specially trained customs officers with support of staff from the CITES authorities.

For the training of officers from other authorities a specific trainer team has been established to provide uniform basic training and specialized training depending on the particular needs of the participants.

Further activities:

- Basic training on CITES documents and application procedure for staff of botanical gardens
- 9-steps NDF-Guidance for plants: an e-learning tool was developed together with TRAFFIC. It is publicly available under <https://www.9steps-cites-ndf.org/>
- In 2018 a workshop on timber NDF has been conducted together with the SA of Gabon, Traffic and three other Central-African countries
- In 2019 a workshop on timber NDF has been conducted together with TRAFFIC, the SA of Mozambique and three other East-African countries
- Update of the timber identification tool (CITESwoodID) and development of an application to be used in smartphones and on desktop pc.
- Update of the Annotation Handbook:
(<https://cites.org/sites/default/files/eng/com/pc/25/Inf/E-PC25-Inf-09.pdf>)
- Development of a visual identification guide to the monitor lizard species of the world (genus *Varanus*):
(<https://www.bfn.de/fileadmin/BfN/service/Dokumente/skripten/Skript552.pdf>)
- Development of a guidance for authorities to determine the captive breeding potential of reptile species listed/up-listed in the CITES Appendices I and II at CoP17:
(<https://www.google.de/url?sa=t&rct=j&q=&esrc=s&source=web&cd=&cad=rja&uact=8&ved=2ahUKEwjqtX7g57uAhUC6qQKHQoVBb8QFjABegQIAxAC&url=https%3A%2F%2Fwww.dg>

The 'Costs Ordinance' (for acts by the Federal Agency for Nature Conservation) regulates the level of fees charged; regarding CITES please see details and an extract of the costs ordinance at website <https://www.bfn.de/en/activities/cites/regulationslegalbases/costs-ordinance.html>.

The fees will change as of 1 October 2021. The new rules were subject to a wide consultation and will be published shortly. (For a link to the draft legislative text see <https://www.bmu.de/gesetz/referentenentwurf-zur-besonderen-gebuehrenverordnung-des-bundesministeriums-fuer-umwelt-naturschutz-u/>).

Awareness raising materials

Since 2007 awareness raising material can be ordered for free at the German CITES MA. Brochures and rollups for display are available to inform tourists about CITES and the most important species groups. This material has been updated just recently. The current version is available on the website of the Federal Agency for Nature Conservation, www.bfn.de.

In addition, the German customs authority and the German CITES MA is managing www.artenschutz-online.de. The aim of the website (in German only) is to inform tourists about the relevant protected species offered in their holiday countries. The information is based on seizure data since 1996 and will be updated regularly. In 2019 a new version was presented to the public. The outlook of the webpages has been refreshed and new developments how to consume internet based information were taken into consideration.

Country	Species Management	Habitat Management	Sustainable use	Law Enforcement	Livelihoods	Other	Number of projects
ASEAN (BN, ID, KH, LA, MM, MY, PH, SG, TH, VN)	X	X	X	X	X	Research, DR	2
Bangladesh	X	X	X	X	X	Research	2
Benin	X	X	X		X	Research	2
Bhutan	X	X	X	X	X		1
Cameroon	X	X	X	X	X	DR, capacity building	6
Central African Republic				X		consultancy	2
China	X	X	X	X	X	Research	1
COMIFAC (CD, CF, CG, CM, GA, RW, ST, TD)	X	X	X	X	X	Research	8
Democratic Republic of Congo	X	X	X		X	Research, DR	5
Gabon				X			3
Ghana				X			2
Global (Sub-sahara Africa, China, Vietnam, Myanmar)	X	X	X	X	X	Research, DR	2
Great Limpopo TP (Moz, RSA, Zim)	X	X	X	X	X		3
India	X	X	X	X	X		6
Indonesia	X	X	X	X	X	Research, capacity building	5
Ivory Coast	X	X	X	X	X	Research	5
Kambodscha			X	X	X		2
KAZA (Angola, Botswana, Namibia, Zambia, Zimbabwe)	X	X	X		X	DR	3
Kazakhstan	X	X	X	X	X	Research, DR	3
Kenya	X					Monitoring	1
Kyrgyzstan	X	X	X	X	X	Research, DR	2
Laos	X	X	X	X	X	Research, capacity building	5
Liberia	X	X	X		X	Research	1
Madagascar	X	X	X	X	X	Research	4
Mali				X			1
Mozambique	X	X	X	X	X	consultancy	3
Myanmar	X	X	X	X	X		3
Namibia	X	X	X	X	X	Research	7
Nepal	X	X	X	X	X	Research	2
Nigeria	X			X		capacity building	1
Philippines	X	X	X	X	X	Research	2
Regional (AF, BT, CN, IN, MM, NP, PK)				X		Research, DR	1
Regional (Burkina Faso, Benin, Niger)	X	X	X	X	X	Research	1
Regional (Côte d'Ivoire, Liberia)	X	X	X	X	X	Research	2
Republic of Congo				X			1
SADC (BW, MW, MZ, NA, SZ, TZ, ZA, ZM, ZW)	X	X	X	X	X	Research, DR	3
South Africa	X			X		capacity building	1
Sri Lanka	X	X	X		X		1
Sumatra	X	X	X	X	X		1
Tajikistan	X	X	X	X	X	Research, DR	2
Tanzania	X	X	X	X	X	Research, DR	5
Thailand	X	X		X		capacity building	1
Turkmenistan			X	X	X	Research, DR	2
Uganda				X	X	consultancy	3
Uzbekistan			X	X	X	Research, DR	2
Vietnam	X	X	X	X	X		3
Zambia				X			1

DR= demand reduction