

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



Nineteenth meeting of the Conference of the Parties  
Panama City (Panama), 14 – 25 November 2022

Interpretation and implementation matters

General compliance and enforcement

Compliance matters

IMPLEMENTATION OF ARTICLE XIII AND RESOLUTION CONF. 14.3 (REV. COP18)  
ON *CITES COMPLIANCE PROCEDURES*

1. This document has been prepared by the Secretariat.
2. It should be read in conjunction with document CoP19 Doc. 30 on the *Compliance Assistance Programme* and the report of the Chair of the Standing Committee (document CoP19 Doc. 9.1.1).
3. Resolution Conf. 11.3 (Rev. CoP18) on *Compliance and enforcement*, in paragraph 22. c) instructs the Secretariat to report on the implementation of Article XIII and Resolution Conf. 14.3 (Rev. CoP18) on *CITES compliance procedures* to the Standing Committee and at each regular meeting of the Conference of the Parties. Resolution Conf. 14.3 (Rev. CoP18) provides, *inter alia*, in paragraph 10. b), that the Conference of the Parties directs and oversees the handling of compliance matters, particularly through the identification of key obligations and procedures.

Background

4. In accordance with the *Guide to CITES compliance procedures* contained in the Annex to Resolution Conf. 14.3 (Rev. CoP18) on *CITES compliance procedures*, the approach of CITES towards compliance matters is “supportive and non-adversarial” with the aim of ensuring long-term compliance. Compliance matters are handled as quickly as possible. Such matters are considered by the Standing Committee and ensuing compliance measures are applied in a fair, consistent and transparent manner. There are four steps for handling compliance matters in a diligent manner:
  - a) identification of potential compliance matters;
  - b) consideration of compliance matters;
  - c) measures to achieve compliance; and
  - d) monitoring and implementation of such measures and reporting.
5. As explained in the CITES webpage dedicated to compliance (<https://cites.org/eng/prog/compliance>), compliance matters handled under Article XIII cover a number of obligations under the Convention, particularly the designation of authorities (Article IX), permitting procedures and trade conditions (Articles III, IV, V, VI, VII and XV), domestic measures taken to enforce the Convention (Article VIII, paragraph 1), and maintaining and submitting records of trade (Article VIII, paragraphs 7-8). In addition, paragraph 30 of the Annex to Resolution Conf. 14.3 (Rev. CoP18) also specifies other Resolutions under which the Standing Committee may recommend measures. These measures can include the suspension of commercial or all trade in specimens of one or more CITES-listed species.

6. The compliance webpage established by the Secretariat on its website is currently being expanded with a search function to find all Parties affected by one or more of the established compliance procedures. The Secretariat has furthermore created new country profiles on the CITES website to facilitate access to information regarding the compliance status of the Parties.
7. At its 73rd meeting, (SC73, online, May 2021), the Standing Committee did not consider compliance matters due to the restricted agenda of this meeting and the circumstances related to the COVID-19 pandemic.
8. At the 74th meeting (SC74, Lyon, March 2022) of the Standing Committee, the Secretariat reported to the Standing Committee on matters concerning the identification of potential compliance cases (see document [SC74 Doc. 28.1](#)). Progress made by Parties subject to a recommendation of the Standing Committee under Article XIII was reported to SC74 by the Secretariat in separate documents (see documents SC74 Doc. 28.2.1 to Doc. 28.2.5).

#### Identification of potential compliance matters

##### *Trade in live Asian elephants (Elephas maximus)*

9. In addition to the application of Article XIII in the Lao People's Democratic Republic (Lao PDR) discussed below, the Secretariat reported to SC74 on its communication with the Lao PDR and with China regarding the trade in live Asian elephants (*Elephas maximus*) from the Lao PDR during the period from 2010 to 2018, including the use of source code C on CITES documents. All relevant details can be found in paragraphs 5 to 11 of document SC74 Doc 28.1. This case regarding trade in live elephants from the Lao PDR may represent a potential compliance matter concerning the use of source code C, with respect to the conditions for trade in specimens of species included in Appendix I as set out in Article III of the Convention.
10. At SC74, the Standing Committee agreed that Secretariat shall continue to keep close communication and strengthen the cooperation with China and Lao PDR on this potential case and seek an invitation from China and Lao PDR to provide in-country assistance and conduct a technical assessment and a verification mission to understand the type of trade controls that are put in place, once the specimens had been introduced into the country, to ensure compliance with Article III of the Convention with respect to the import of live Asian elephants (*Elephas maximus*). The Secretariat is seeking an invitation from China and Lao PDR in order to conduct the technical assistance missions. Findings and recommendations will be reported by the Secretariat to the 75th meeting of the Standing Committee (SC75).

##### *Trade in Pericopsis elata from Cameroon*

11. In June 2021, the Secretariat received information from several Parties regarding various irregularities in trade in *Pericopsis elata* from Cameroon, including in the making of legal acquisition findings and internal controls regarding the legal origin of specimens. Information was provided suggesting that CITES documents may have been falsified and trafficked to facilitate trade in *Pericopsis elata* and that permits do not in all cases correspond with relevant non-detriment findings (NDF) and annual quotas. According to national legislation recorded under the CITES National Legislation Project, the export of *Pericopsis elata* logs from Cameroon is prohibited, with only processed *Pericopsis elata* wood allowed for export<sup>1</sup>. All relevant details including of communication between the CITES Secretariat and Cameroon can be found in paragraphs 17 to 20 of document SC74 Doc 28.1.
12. At SC74, the Standing Committee agreed that pursuant to Article II, paragraph 1, Articles IV and VI of the Convention and Resolution Conf. 12.3 (Rev. CoP18) on *Permits and certificates*, the Secretariat shall continue to keep close communication and strengthen the cooperation with Cameroon on this potential case, and is seeking an invitation from Cameroon to provide in-country assistance and conduct a technical assessment and a verification mission to understand how the CITES authorities ensure that timber species are legally acquired and exported in full compliance with CITES. Findings and recommendations shall be reported by the Secretariat to SC75.

##### *Registration of operations that breed Appendix-I animal species in captivity for commercial purposes – European Union and the United Kingdom of Great Britain and Northern Ireland*

13. Prior to SC74, the Secretariat received several queries concerning trade from the European Union and the United Kingdom of live birds and reptiles listed in Appendix I, using source code C and purpose code T on

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<sup>1</sup> Order No. 0021 of 19.02.2018 amending the classification of forest species in relation to the export of timber

CITES documents. According to the explanations provided, the specimens in question were not considered by the CITES authorities to have been bred for commercial purposes [Resolution Conf. 12.10 (Rev. CoP15)] but as produced by hobby breeders and therefore traded under Article VII(5) of the Convention. Despite significant trade using source code C, there are no operations registered for birds and reptile species in the 27 Member States of the European Union, except for the breeding of falcons (i.e. Czech Republic, Denmark, Germany and Spain) and only five operations registered for bird species in the United Kingdom of Great Britain and Northern Ireland. All relevant details and specific transactions of interest are set out in paragraphs 22 to 28 of document SC74 Doc 28.1. This case concerning trade in specimens under source code C and purpose code T from the European Union and the United Kingdom may represent a potential compliance matter.

14. In accordance with the Standing Committee's recommendations, the Secretariat continues to keep close communication with the European Union and the United Kingdom of Great Britain and Northern Ireland and notes with appreciation the ready engagement of the relevant Parties. The Secretariat is seeking an invitation in each case to provide in-country assistance and conduct a technical assessment and a verification mission to several selected operations to know the type of trade controls that are put in place and to verify the legal origin of the parental stock and their commercial or non-commercial nature. Findings and recommendations shall be reported by the Secretariat to SC75.

#### *Timber trade – Viet Nam*

15. The Secretariat received information concerning Viet Nam's possible engagement in trade in illegally harvested or traded timber, including transactions of *Dalbergia cochinchinensis* with the Lao People's Democratic Republic (Lao PDR) following the recommendation to suspend trade from or to the Lao PDR adopted by the Standing Committee. Evidence was submitted by Cambodia as part of the Review of Significant Trade of Siamese rosewood (*D. cochinchinensis*) that Viet Nam repeatedly accepted fake CITES permits when authorising imports of Siamese rosewood between 2013-2015. The Secretariat received a message from Viet Nam in relation to the replacement of lost permits in one transaction which indicated Vietnamese companies receive several permits for the same shipment. All relevant details are set out in paragraphs 31 to 36 of document SC74 Doc. 28.1.
16. At SC74, the Standing Committee agreed that the Secretariat shall continue to keep close communication and strengthen the cooperation with Viet Nam to understand how the CITES authorities ensure that timber and other species are imported and re-exported in full compliance with CITES. The Secretariat is seeking an invitation from Viet Nam to provide in-country assistance, conduct a technical assessment and a verification mission to further investigate allegations related to Viet Nam's possible engagement in trade in timber and other species that have been illegally harvested or traded, including timber that has been traded contrary to CITES provisions. Findings and recommendations shall be reported by the Secretariat to SC75.

#### *Trade in birds – Bangladesh*

17. The Secretariat received allegations related to bird imports into Bangladesh, including CITES-listed species being imported as "non-CITES" species. Therefore, the CITES Secretariat is writing to the CITES authorities of Bangladesh to seek further information on this matter and will report to the Standing Committee orally on the results of those communications.

#### Compliance matters pursuant to Article XIII considered by the Standing Committee

18. This section should be read in conjunction with the report of the Chair of the Standing Committee in document CoP19 Doc. 9.1.1. In accordance with Article XIII of the Convention, and pursuant to the directions of the Standing Committee, the Secretariat maintained communication with the CITES Authorities of the Democratic Republic of the Congo (DRC), Lao People's Democratic Republic (Lao PDR), Guinea, Japan and Nigeria.
19. At SC74, the Standing Committee considered these compliance matters and recommended appropriate actions and compliance measures. A brief summary of the salient elements in each case is provided below together with the references to the reports prepared by the Secretariat and the Parties concerned.

#### *Application of Article XIII in the Democratic Republic of the Congo*

20. The Secretariat reported to SC74 on the progress of the Democratic Republic of the Congo (DRC) in the implementation of certain recommendations on the setting and management of quotas; the management of

trade in *Psittacus Erithacus*; trade in pangolin stockpiles; trade in timber of *Pericopsis elata*; illegal trade and support for the implementation of the Convention [see document [SC74 Doc. 28.2.2 \(Rev. 1\)](#)]. The Secretariat's report was based upon the report submitted by the DRC in March 2021, which could not be reviewed as intended at SC73. At SC74, the Standing Committee also noted the oral update provided by the Congo (Committee Member for Africa) on behalf of the DRC and invited the Secretariat to review the information provided in the DRC's information document SC74 Inf. 17 and provide any relevant updates to SC75.

21. In its report to SC74, the Secretariat congratulated the authorities of the DRC for the efforts made and indicated that they are well on track towards implementing the recommendations of the Standing Committee on illegal trade. The Secretariat acknowledged significant efforts made by the DRC in the setting and management of quotas and encouraged the continued provision of training to the Scientific Authority. The Secretariat noted that recommendations on trade in African grey parrots (*Psittacus erithacus*) had been partially implemented; that the recommendation to suspend trade in pangolins had been followed; and that the recommendation regarding trade in *Pericopsis elata* was covered by the Review of Significant Trade process under way. A new issue concerning the repatriation of pangolin scales from the Republic of the Congo to the DRC had arisen in June 2021, and the Secretariat was still waiting at that time for explanations from both Parties. Full details of the steps taken by the DRC to comply with all recommendations which were reported by the Secretariat to SC74 can be found in document [SC74 Doc. 28.2.2 \(Rev. 1\)](#).
22. The Standing Committee made recommendations concerning quota setting and management; management of trade in *Psittacus erithacus*; trade in pangolin stockpiles; illegal trade; compliance assistance and recommended that the DRC should report to the Secretariat on progress made on the implementation of these recommendations by 31 December 2022, in order for the Secretariat to convey its report and its comments to the 77th meeting of the Standing Committee (SC77). The complete set of recommendations can be found in document [SC74 Sum. 3 \(Rev. 1\)](#).

#### *Application of Article XIII in the Lao People's Democratic Republic*

23. Pursuant to Article XIII of the Convention and Resolution Conf. 14.3 (Rev. CoP18) on *CITES compliance procedures*, at SC74, the Standing Committee reviewed the progress made by the Lao People's Democratic Republic (Lao PDR) on the implementation of its recommendations. The Secretariat commended the Lao PDR for its progress and its commitment to the implementation of the Standing Committee's recommendations but noted with concern that many issues were still outstanding. All relevant details are set out in document [SC74 Doc. 28.2.1](#).
24. At SC74, the Standing Committee recommended that the suspension of commercial trade in specimens of the genus *Dalbergia* spp., including finished products, such as carvings and furniture from the Lao PDR should be maintained, until the Lao PDR makes scientifically based non-detriment findings for trade in the relevant species to the satisfaction of the Secretariat. The Standing Committee also made recommendations in relation to national legislation; strengthening the capacity of CITES authorities; enforcement; monitoring and outreach. The Standing Committee recommended that Parties, the CITES Secretariat, international non-governmental organizations and development partners make efforts to respond to the requests for capacity-building and technical support expressed by the Lao PDR to implement the action plan and aim to coordinate their support to maximize effectiveness and minimize overlap. The recommendations can be found in full in document [SC74 Sum 3 \(Rev. 1\)](#). The Secretariat will report on any relevant progress to SC75.
25. The Standing Committee also requested the Lao PDR to submit a report to the Secretariat by 28 February 2023 on activities undertaken in the period January – December 2022 to implement the recommendations a) to m) as set out in document [SC71 Doc. 10.1](#), in order for the Secretariat to convey this report and its comments and recommendations to SC77. Based on reported progress, at SC77, the Standing Committee will decide on appropriate compliance measures, including a recommendation to suspend trade in specimens of all CITES-listed species for commercial purposes if progress is considered insufficient.

#### *Application of Article XIII in Nigeria*

26. At SC74, in document [SC74 Doc. 28.2.4](#), the Secretariat reported on Nigeria's efforts to progress the implementation of the Standing Committee's recommendations, agreed at SC70 (Sochi, October 2018)<sup>2</sup>, in particular those recommendations related to the management of trade in *P. erinaceus* and certain law enforcement-related activities. The Secretariat noted in its report that Nigeria did not provide information on

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<sup>2</sup> See document [SC70 SR](#)

activities concerning the issuance of permits; the development of associate information systems; or the handling of seized specimens and stockpiles. The Secretariat expressed concern about the continuing seizures of illegal specimens from Nigeria and the role of organised crime groups which are using Nigeria as a transit or source country. The Secretariat also expressed concern in its report about issues around the timing and substance of Nigeria's reporting and a lack of responsiveness to the Secretariat's offers of assistance.

27. The Standing Committee made recommendations directed to Nigeria in relation to trade in specimens of *Pterocarpus erinaceus*; legislation and law enforcement; issuance of export permits and information systems; handling and disposal of seized stockpiles of CITES listed species; collaboration with partners and monitoring of progress. The recommendations can be found in full in document [SC74 Sum. 4 \(Rev. 1\)](#), and the Secretariat will report on any relevant progress to SC75. The Committee also requested Nigeria to report on progress by the SC75 document deadline (14 September 2022) and agreed that if no progress is reported by SC75, the Committee may consider a suspension of commercial trade in specimens of all CITES-listed species from Nigeria.

#### *Application of Article XIII in Guinea*

28. At SC74, the Secretariat reported on and acknowledged Guinea's efforts to implement the recommendations of the Standing Committee taken at SC71. The Secretariat reported that it had held numerous online meetings with the Guinean authorities to develop a consistent action plan addressing all these recommendations in the framework of the Compliance Assistance Programme (CAP). The signing of a small-scale funding agreement (SSFA) related to the CAP was anticipated to allow Guinea to make substantial progress with regards to those recommendations where minor progress had been noted. Full details of Guinea's progress as reported to SC74 can be found in document [SC74 Doc. 28.2.3](#).
29. In this context, the Standing Committee agreed to reiterate the recommendations made at SC71, with a few minor adjustments on the export of pre-Convention specimens of *Pterocarpus erinaceus* and national legislation, and to uphold the recommendation that Parties should suspend all commercial trade of CITES-listed species with Guinea. Regarding the export of pre-convention specimens of *Pterocarpus erinaceus*, the Standing Committee recommended that Guinea take all the necessary measures by 13 November 2022 to export the stockpile and implement the Standing Committee decision adopted on 21 April 2021 (Notification to the Parties No. 2021/033 of 26 April 2021).
30. The Standing Committee requested Guinea to submit a report to the Secretariat on the implementation of these recommendations before SC77 so that the Secretariat can in turn submit its report and recommendations to the Standing Committee at that meeting. The Standing Committee requested the Secretariat to provide capacity building and training to Guinea, subject to the availability of resources, which could include another mission to Guinea before SC77. These recommendations can be found in document [SC74 Sum. 3 \(Rev. 1\)](#).

#### *Introduction from the sea of sei whale (Balaenoptera borealis) by Japan*

31. At SC74, the Standing Committee reported in document [SC74 Doc. 28.2.5](#) on information provided by Japan concerning the case related to the introduction from the sea (IFS) of specimens from the North Pacific population of sei whale (*Balaenoptera borealis*) by Japan. Japan had reported that all the specimens of sei whale meat and blubber introduced prior to SC70 had been sold by the Institute of Cetacean Research (ICR) and distributed domestically and that proceeds of the sales of meat and blubber obtained in 2017 and before were refunded by ICR to the national treasury and appropriated to the costs of subsequent cetacean research programmes. The proceeds of 2018 were refunded by ICR to the national treasury. Japan provided to the Secretariat explanations concerning its national legislation on the issue of retrospective confiscation and reiterated its commitment to follow the Standing Committee's recommendations not to issue any IFS certificates for sei whales from the North Pacific population except for biopsy samples obtained via nonlethal methods.
32. The Standing Committee noted the information provided by Japan and Japan's commitment not to issue any introduction from the sea certificates for sei whales from the North Pacific population except for biopsy samples obtained via non-lethal methods. The Standing Committee agreed to consider the compliance matter resolved and proceed to close the case [see executive summary [SC74 Sum. 4 \(Rev. 1\)](#)].

#### Expedited Article XIII process concerning *Pterocarpus erinaceus* mandated by the Standing Committee

33. At SC74, the Chair of the Plants Committee and Senegal introduced documents [SC74 Doc. 35.1.1](#) and [SC74 Doc. 35.1.2](#) regarding unsustainable and illegal trade in *Pterocarpus erinaceus* from all range States. Given high levels of illegal trade in this species, Senegal suggested a general trade suspension for the species and the establishment of an in-session working group that would draft recommendations in order to restrict illegal trade.
34. The Standing Committee established an in-session working group to discuss this unprecedented compliance case; identify ways to respect due process; and present options to be discussed by the Committee: 1) that the Committee should agree a trade suspension and support for capacity-building and assistance from transit and destination countries to the range States; or 2) the Committee should recommend that the process outlined in Resolution Conf. 14.3 (Rev. CoP18) be followed, requesting importing Parties to reject permits where concerns existed about the NDF and recommending that all permits should be verified by the Secretariat.
35. Accordingly, the Committee requested the Secretariat to open an expedited Article XIII procedure for *Pterocarpus erinaceus* for all range States based on the exceptional circumstances due to pervasive documented illegal trade. The complete set of recommendations can be found in executive summary [SC74 Sum. 13 \(Rev. 1\)](#). The Committee also recommended that the Plants Committee expedite its Review of Significant Trade of *Pterocarpus erinaceus* in order for the Committee to receive a progress report from the Plants Committee at SC75. The Committee further recommended that range States explore support from the CITES Secretariat and the Container Control Programme of the United Nations Office on Drugs and Crime (UNODC) and the World Customs Organization (WCO) to provide training to frontline officers involved in this matter.
36. The Secretariat issued Notification [No. 2022/021](#) of 28 March 2022 inviting range States of *Pterocarpus erinaceus* to submit to the Secretariat within 30 days (i.e., by 27 April 2022), a written justification that the expedited compliance procedure pursuant to Article XIII is not applicable to them, by either providing their non-detriment finding and legal acquisition finding or by requesting the Secretariat to publish a voluntary zero export quota for commercial trade in specimens of this species. Following this, the Secretariat conducted a detailed analysis of the responses received from the range States, in consultation with the Chairs of the Standing Committee and of the Plants Committee. They evaluated the NDFs submitted having regard to Resolution Conf. 16.7 (Rev. CoP17) on *Non-detriment findings* as well as the preliminary outcomes of the Review of Significant Trade for this species. They also assessed the legal acquisition findings (LAF) having regard to Resolution Conf. 18.7 (Rev. CoP18) on *Legal acquisition findings* and took note of the requests to publish voluntary export quotas. The results of the analyses and the details of the status of each range State can be found in the table included in the Annex to the present document. A comprehensive report will be submitted to SC75.
37. Subsequently, the Secretariat issued Notification [No. 2022/045](#) of 8 June 2022 to inform Parties on progress to implement the recommendations of the Standing Committee. A voluntary zero-export quota for commercial trade in specimens of *Pterocarpus erinaceus* was published on the date of the Notification for Benin, Burkina Faso, Côte d'Ivoire, Ghana, Niger, Senegal and Sierra Leone at their request. Notification No. 2022/045 stated that the expedited compliance procedure pursuant to Article XIII was therefore applicable to Cameroon, the Central African Republic, Chad, Gambia, Guinea-Bissau, Mali and Togo and that a suspension of commercial trade of specimens of *Pterocarpus erinaceus* from those States became applicable on the date of the Notification. This recommendation remains in effect until the Party:
  - a) makes scientifically based non-detriment findings for trade in the species in their countries to the satisfaction of the Secretariat and the Chair of the Plants Committee, having regard to Resolution Conf. 16.7 (Rev. CoP17) and based on the outcomes of the Review of Significant Trade process for this species; and
  - b) provides evidence of adequate legal acquisition findings to the satisfaction of the Secretariat and the Chair of the Standing Committee, having regard to Resolution Conf. 18.7 (Rev. CoP18).
38. With regards to shipments of specimens of *Pterocarpus erinaceus* that left the port of the country of export or re-export with valid permits before the publication of Notification to the Parties No. 2022/021 on 28 March 2022, the Secretariat clarified in Notification No. 2022/045 of 8 June 2022 that it is at the discretion of the importing Party to decide if the trade is in accordance with the Convention and to accept or reject the shipment, and recalled the general duties incumbent upon Parties to exercise due diligence in accordance with Resolution Conf. 11.3 (Rev. CoP18) on *Compliance and enforcement*.

Compliance matters pursuant to Resolution Conf. 11.17 (Rev. CoP17) on *National reports* considered by the Standing Committee

39. At SC74, the Standing Committee noted the call from the Secretariat for Parties to submit their annual reports in a timely manner and for the Secretariat to explore ways to support Parties in the submission of their annual reports. The Standing Committee instructed the Secretariat to determine whether Albania, Burundi, Chad, Dominica, Iran, Libya, Mongolia, Paraguay, Saint Lucia, Sao Tome and Principe and the Syrian Arab Republic had failed to provide annual reports for three consecutive years, without having provided adequate justification. Accordingly, the Secretariat liaised with the CITES authorities of these Parties and issued Notifications No. 2022/023 of 5 April 2022 and No. 2022/024 of 14 April 2022 recommending the suspension of trade in CITES-listed specimens with Libya and Sao Tome and Principe due to the non-submission of annual reports by those Parties, until such time as they have provided the missing reports.

Compliance matters pursuant to Resolution Conf. 8.4 (Rev. CoP15) on *National laws for implementation of the Convention* considered by the Standing Committee

40. At SC74, the Standing Committee considered the Secretariat's reports on Parties' progress in adopting appropriate measures for the effective implementation of the Convention and on legislative and technical assistance to Parties with legislation in Category 2 or 3 provided by the Secretariat and partners (see document [SC74 Doc. 26](#)). The Committee *inter alia* agreed on a recommendation to all Parties to suspend commercial trade with Dominica, Grenada, Kazakhstan, Libya, Mongolia and Sao Tome and Principe, unless the Party concerned adopts appropriate measures before the expiry of the 60 days or takes significant and substantive steps to do so. The Standing Committee also requested the Secretariat to issue a formal warning to the Parties that had not reported any legislative progress for more than three years (Azerbaijan, Belarus, Bosnia and Herzegovina, Kyrgyzstan, Lebanon, Maldives, Montenegro, Sierra Leone and Zambia), requesting them to immediately take steps to ensure progress be made before CoP19 and to report such progress to the Secretariat by 1 September 2022 [see executive summary [SC74 Sum. 4 \(Rev. 1\)](#)].
41. Details of the compliance measures agreed by the Standing Committee and subsequent actions by the Secretariat and Parties pursuant to Resolution Conf. 8.4 (Rev. CoP15) on *National laws for implementation of the Convention* and Decisions 18.62 to 18.67 can be found in document CoP19 Doc. 28.

Recommendations

42. The Conference of the Parties is invited to:
- a) note the information provided in the present document in accordance with Resolution Conf. 11.3 (Rev. CoP17) on *Compliance and enforcement* as a periodic report on the implementation of Article XIII and Resolution Conf. 14.3 (Rev. CoP18) on *CITES compliance procedures*;
  - b) note the information provided in paragraphs 33 to 38 concerning the Article XIII expedited process applied to range States of *Pterocarpus erinaceus* upon the recommendations of the Standing Committee and to provide its view on the efficacy and desirability of taking such an expedited and range State focussed approach to any future cases of pervasive, illegal trade in specimens of CITES-listed species; and
  - c) reflect about possible approaches to facilitate the handling of compliance cases in an efficient and expeditious manner while rationalizing the agenda of the Standing Committee and the need to respond quickly to urgent cases involving one or more Parties, given the number of ongoing compliance cases and the length of the agenda of the Standing Committee.

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

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

For the continued implementation of Article XIII and Resolution Conf. 14.3 (Rev. CoP18) on *CITES compliance procedures*, the Secretariat is dependent on external funding. The Secretariat proposes the following tentative budget and source of funding for continued work.

<p>The level of evaluation, analysis and support required in the budgeting period will depend on the number of ongoing compliance cases. The Secretariat anticipates that monitoring, assessment and support will be required for in the range of 4 to 5 active cases. Based on past experience, the Secretariat estimates that the budget required for implementation of Article XIII and Resolution Conf. 14.3 (Rev. CoP18) during the intersessional period will be around USD 50,000 per case depending on the size of the Party in geographic and population terms, volumes and diversity of trade, capacity constraints, etc.</p>	<p>USD 250,000</p>
<p>Total extra-budgetary funding needed</p>	<p>USD 250,000</p>