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

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Seventy-eighth meeting of the Standing Committee Geneva (Switzerland), 3-8 February 2025

Compliance

National reports

REVISED GUIDELINES FOR THE PREPARATION AND SUBMISSION
OF CITES ANNUAL REPORTS AND GUIDELINES FOR THE PREPARATION
AND SUBMISSION OF CITES ANNUAL ILLEGAL TRADE REPORTS

- 1. This document has been prepared by the Secretariat.
- 2. The current versions of the *Guidelines for the preparation and submission of CITES annual reports* and of the *Guidelines for the preparation and submission of CITES annual illegal trade reports* were issued in Notification to the Parties No. 2023/132 of 24 November 2023.

<u>Seahorses</u>

3. At its 33rd meeting (AC33; Geneva, July 2024), the Animals Committee agreed to refer to the Standing Committee the proposed update to the Guidelines for the preparation and submission of CITES annual reports and the Guidelines for the preparation and submission of CITES annual illegal trade reports so that dried seahorses are reported in weight. The Secretariat notes that live seahorses should be reported in numbers (see below).

Description	Trade term code	Preferred unit	Alternative unit	Explanation
live	LIV	no.	•	live animals and plants, excluding live fingerling fish – see FIG

For dried seahorses, the Secretariat is proposing the following amendment:

Description	Trade term code	Preferred unit	Alternative unit	Explanation
body	BOD	no.	kg.	substantially whole dead animals, including whole fish, stuffed turtles, preserved butterflies, reptiles in alcohol, whole stuffed hunting trophies, etc. If referring to specimens of sharks and rays (Elasmobranchii spp.) and seahorses (<i>Hippocampus</i> spp.), the preferred unit is kg.

4. At AC33, concerns were raised about how this proposed change would impact the exemptions for four specimens of seahorses in accordance with paragraph 3 b) iv) of Resolution Conf. 13.7 (Rev. CoP17) on Control of trade in personal and household effects that reads as follows:

- 3. AGREES that Parties shall:
 - b) not require export permits or re-export certificates, for personal or household effects which are dead specimens, parts or derivatives of Appendix-II species except:
 - iv) for the following, where the quantity exceeds the specified limits:
 - seahorses (*Hippocampus* spp.) up to four specimens per person;
- 5. The Secretariat does not foresee implementation challenges linked to this proposed amendment, as CITES permits will not be issued for up to 4 specimens. If an individual wishes to travel with more than 4 dried seahorses, they would then need to request a CITES permit or certificate that will be issued in kg.

Corals

6. At AC33, the Animals Committee agreed to submit for the consideration of the Standing Committee at its 78th meeting amendments to section 3 "Regarding stony corals" and to the trade term codes LIV (live) and COR [coral (raw)] in the Guidelines for the preparation and submission of CITES annual reports and Guidelines for the preparation and submission of the CITES annual illegal trade report. Those amendments are contained in document SC78 Doc. 60 on Trade in stony corals.

Worked ivory

7. The Technical Advisory Group (TAG) of the Monitoring the Illegal Killing of Elephants (MIKE) Programme and the Elephant Trade Information System (ETIS) met in November 2024 and recommended that the Secretariat consider whether the explanations for trade term code IVC could be amended to include the definition for worked ivory in Resolution Conf. 10.10 (Rev. CoP19) on *Trade in elephant specimens*, paragraph 1 b): the term 'worked ivory' shall be interpreted to mean ivory that has been carved, shaped or processed, either fully or partially, but shall not include whole tusks in any form, except where the whole surface has been carved. The Secretariat is proposing the following amendment:

Description	Trade term code	Preferred unit	Alternative unit	Explanation
carving – ivory (worked ivory)	IVC	kg	no.	ivory carvings, including e.g. smaller worked pieces of ivory (knife handles, chess sets, marjoram sets, etc.). N.B. Worked ivory means ivory that has been carved, shaped or processed, either fully or partially, but shall not include whole tusks in any form, except where the whole surface has been carved. Whole carved tusk should be reported as carving – ivory (IVC) not as tusks (see "TUS" below). Jewellery made from carved ivory should be reported as 'jewellery – ivory' (see IJW below).

Powder

8. The United Nations Environment Programme – World Conservation Monitoring Centre (UNEP-WCMC) drew the Secretariat's attention to the fact that, for reported trade in *Aguilaria* spp. and *Gyrinops* spp., powder makes up the largest proportion of reported trade in powder by weight over the past decade. They suggested including in the guidelines a reminder of paragraph e) of annotation #14. The Secretariat therefore proposes including the following note in the explanation column.

Description	Trade term code	Preferred unit	Alternative unit	Explanation
powder	POW	kg		A dry, solid substance in the form of fine or coarse particles. NB: Exhausted powder from agarwood-producing taxa (Aquilaria spp. and

	Gyrinops spp.) is exempted in annotation #14: "All parts and derivatives except: [] e) exhausted agarwood powder, including
	compressed powder in all shapes."

Reporting on specimens taken from areas beyond national jurisdiction

- 8. At SC77, the Standing Committee invited the Secretariat to consider updating the Guidelines for the preparation and submission of CITES annual and illegal reports to include explicit guidance on reporting on specimens taken from areas beyond national jurisdiction (ABNJ) and report on this at its 78th meeting. In the same spirit, at AC33, the Animals Committee also invited the Secretariat to propose clear guidance on the reporting of specimens taken from ABNJ in the *Guidelines for the preparation and submission for CITES annual reports* to the Standing Committee.
- 9. In order to align the *Guidelines* with the Annex to Resolution Conf. 14.6 (Rev. CoP16) on *Introduction from the sea*, the Secretariat proposes to delete paragraph g) of Section 2 (General principles) of the *Guidelines* and clarify the reporting for the four types of trade transactions involving specimens taken from ABNJ by adding guidance for:
 - a) one-state transactions [Resolution Conf. 14.6 (Rev. CoP16) paragraph 2a)];
 - b) two-state transactions [Resolution Conf. 14.6 (Rev. CoP16) paragraph 2b)];
 - c) export/import occurring after introduction from the sea [section II of the Annex to Resolution Conf. 14.6 (Rev. CoP16)]; and
 - d) re-export/import occurring after a two-state transaction [section III of the Annex to Resolution Conf. 14.6 (Rev. CoP16)].
- 10. Parties have been reporting these four types of trade transactions in various ways. To indicate two-state transactions, some Parties include the code "HS" (i.e. high seas) in the column for "Country of origin of reexports" while others leave it blank. For the inclusion of the "Introduction From the Sea (IFS)" certificate number, some Parties have submitted a separate spreadsheet for one-state transactions, others have included the number of the IFS certificate in the columns for import permits, or export permits or both.
- 11. To clarify and streamline the reports on trade transactions involving specimens taken from ABNJ, the Secretariat proposes to include a new Section 4 on **Specific instructions for reporting on specimens taken from areas beyond national jurisdiction** in the *Guidelines for the preparation and submission of CITES annual reports*. The new section proposed for approval is contained in Annex 1 to the present document. For each type of trade transaction involving specimens taken from ABNJ, the Secretariat provides guidance and an example of how these instructions could be applied.
- 12. The Secretariat also proposes that the Standing Committee considers adding a column for the IFS certificate number (unique identifier) to the existing templates for import and export/re-export (Annex to the *Guidelines*). If the amendment proposals are approved by the Standing Committee, the Secretariat will implement the associated changes to the CITES Trade Database using the generous contribution of the European Union. The Secretariat appreciates the support provided in this regard. The proposed amendments to the templates for import and export/re-export are contained in Annex 2 to the present document.

Recommendations

13. In accordance with paragraphs 1 and 3 of Resolution Conf. 11.17 (Rev. CoP19), the Standing Committee is invited to approve the amendments to the *Guidelines for the preparation and submission of CITES annual reports* and the amendments to the *Guidelines for the preparation and submission of CITES annual illegal trade reports* in paragraphs 3, 7 and 8 of the present document and in the Annexes to the present document.

Proposed new section on

<u>Specific instructions for reporting on specimens taken from areas beyond national jurisdiction</u> to be included in the *Guidelines for the preparation and submission of CITES annual reports*

4. Specific instructions for reporting on specimens taken from areas beyond national jurisdiction

- a) For any transactions involving specimens taken from areas beyond national jurisdiction (ABNJ), the field corresponding to 'source code' should always be recorded as "X" to indicate that the specimens were taken from the marine environment not under the jurisdiction of any State and can be differentiated from specimens taken from the Exclusive Economic Zone (EEZ) with source code "W".
- b) For one-state transactions, the following guidelines apply:

Specimens taken from ABNJ with an introduction from the sea (IFS) certificate, i.e. one-state transactions in Resolution Conf. 14.6 (Rev. CoP16) paragraph 2a) should be included in the section on imports. The field corresponding to 'Country of export or re-export' should be recorded as "HS" (i.e. high seas). The field corresponding to "number of IFS certificate" should include the IFS certificate number.

The example below shows Party A reporting on a catch of 10000 kilograms of bodies of *Isurus oxyrinchus* in ABNJ and subsequently landing it in its own port with the IFS certificate number "IFS-00002".

IMPORTS: report compiled on the basis of actual trade

Appendiz	Species	Term code	Descriptio n of specimen (optional)	·		export or re- export	export permit or	origin of re- exports	import permit (optional)	Number of IFS certificate			Status (optional)	Year	Remarks (optional)
II	Isurus oxyrinchus	BOD		10000	KGM	HS				IFS-00002	T	X		2024	

c) For two-state transactions, the following guidelines would apply:

Specimens taken from ABNJ with an export (and, if applicable, import) permit, i.e. two-state transactions in Resolution Conf. 14.6 (Rev. CoP16) paragraph 2b), should follow the general guidelines on reporting export/import. However, the field corresponding to "Country of origin of reexports" should be left empty.

The example below shows Party A reporting on a catch of 14000 kilograms of bodies of *Isurus oxyrinchus* in ABNJ and subsequently landing it in Party B's port with the export permit number "24EP0001". The source code "X" shows that the specimens were taken from ABNJ and not the EEZ of Party A.

EXPORTS and RE-EXPORTS: report compiled on the basis of actual trade

Appendix	Species		Descriptio n of specimen (optional)	,		destination	export	origin of re- exports	original		Source	Status (optional)	Year	Remarks (optional)
II	Isurus oxyrinchus	BOD		14000	KGM		24EP0001			T	Х		2024	

For Appendix I species and for Parties with stricter domestic measures that require an import permit for Appendix II species, the example below shows the same transaction from the importing Party's

annual report. Party B is reporting on the import from Party A of 14000 kilograms of bodies of *Isurus oxyrinchus* caught in ABNJ by Party A with the export permit number "24EP0001" and for which Party B had issued an import permit with the number "IE0005 24".

IMPORTS: report compiled on the basis of actual trade

Appendix		Term code	Descriptio n of specimen (optional)	·		export or re- export	export permit or	origin of re- exports	original export	import permit (optional)	Number of IFS certificate			Status (optional)	Year	Remarks (optional)
II	Isurus oxyrinchus	BOD		14000	KGM	Α	24EP0001			IE0005_24		Т	Х		2024	

d) For export/import occurring after IFS, the following guidelines apply:

Export/import occurring after introduction from the sea, i.e. section II of Annex to Resolution Conf. 14.6 (Rev. CoP16), should follow the general guidelines on reporting export/import with the following specifications. For reporting on both exports and imports, the field corresponding to "Country of origin of re-exports" should use the code "HS" to differentiate from two-state transactions and show that an IFS certificate has been issued prior to the export. For both imports and exports, the field corresponding to "Number of IFS certificate" should include the original IFS certificate number(s), where possible.

The example below shows Party A reporting on the export to Party C of 200 kilograms of the *Isurus oxyrinchus* fresh fins with an export permit number "24EP0002", after introducing it from ABNJ with an IFS certificate number "IFS-00002". The IFS certificate number is included in "Number of IFS certificate" column. The code "HS" is included in the column "Country of origin of re-exports" to differentiate from two-state transactions.

EXPORTS and RE-EXPORTS: report compiled on the basis of actual trade

Appendix	Species	Trade Term Code	Descriptio n of specimen (optional)		- '	destination	export	origin of re- exports	original		Purpose	Source	Status (optional)	Year	Remarks (optional)
II	Isurus oxyrinchus	FFN		200	KGM	С	24EP0002	HS		IFS-00002	Т	Х		2024	

For Appendix I species and for Parties with stricter domestic measures that require an import permit for Appendix II species, the example below shows the same transaction from the importing Party's annual report. Party C is reporting on the import from Party A of 200 kilograms of *Isurus oxyrinchus* fresh fins with export permit number "24EP0002" and Party A's original IFS certificate number of "IFS-0002". Party C issued an import permit with the number "IE0006_24".

IMPORTS: report compiled on the basis of actual trade

Appendi	Species	Term code	Descriptio n of specimen (optional)			export or re- export	Number of export permit or re- export certificate	origin of re- exports	original export	import permit (optional)	IFS certificate			Status (optional)		Remarks (optional)
II	Isurus oxyrinchus	FFN		200	KGM	Α	24EP0002	HS		IE0006_24	IFS-00002	Т	Х		2024	

e) For cases of re-export/import occurring after a two-state transaction, the following guidelines apply:

Re-export/import occurring after a two-state transaction, i.e. section III of Annex to Resolution Conf. 14.6 (Rev. CoP16), should follow the general guidelines on reporting re-export/import with the following specifications. For re-exports and imports, the field corresponding to "Country of origin of re-exports" should be the Party that harvested the specimen in ABNJ (and not the Party in which it was landed).

The example below shows Party B reporting on the re-export to Party C of 400 kilograms of fresh fins of *Isurus oxyrinchus* with re-export number "24EP0003". This follows an export from Party A to Party B of the specimens taken in ABNJ with export number "24EP0001", which is now recorded as the original export permit. The source code "X" shows that the specimens were taken from ABNJ and not the EEZ of Party A.

EXPORTS and RE-EXPORTS: report compiled on the basis of actual trade

Appendix	Species	Code	Descriptio n of specimen (optional)		Unit	Country of destination	export	origin of re- exports	original	Purpose	Source	Status (optional)	Year	Remarks (optional)
II	Isurus oxyrinchus	FFN		400	KGM	С	24EP0003	Α	24EP0001	T	Х		2024	

For Appendix I species and for Parties with stricter domestic measures that require an import permit for Appendix II species, the example below shows the same transaction from the importing Party's annual report. Party C is reporting on the import from Party B of 400 kilograms of *Isurus oxyrinchus* fresh fins with re-export permit number "24EP0003". This follows an export from Party A to Party B of the specimens taken from ABNJ with export number "24EP0001" and Party C is reporting that an import permit with the number "IE0007" 24" was issued.

IMPORTS: report compiled on the basis of actual trade

Appendix		Term code	Descriptio n of specimen (optional)				export	origin of re- exports	original export	import permit (optional)	IFS certificate			Status (optional)	Year	Remarks (optional)
II	Isurus oxyrinchus	FFN		400	KGM	В	24EP0003	A	24EP0001	IE0007_24		Т	Х		2024	

SAMPLE REPORT FORMATS

IMPORTS: report compiled on the basis of actual trade [or specify if based on permits issued]

(N.B. Report should be submitted in electronic format, preferably Excel)

App- endix	Species	Trade Term code	Description of specimen (optional)	Quantity	Unit	Country of export or re-	Number of export permit or re-export certificate	Country of origin of re- exports	Number of original export permit (for re- exports) (optional)	Number of import permit (optional)	Number of IFS certificate	Purpose	Source	Status (optional)	Year	Remarks (optional)
I	Acinonyx jubatus	TRO	1 skin, 1 skull	1	NAR	NA	EX-10000			IM-00001		Н	W		2016	
I	Balaenoptera borealis	SPE		5	NAR	HS					IFS-0001	S	Х		2016	
II	Loxodonta africana	TRO	2 tusks, 4 feet, 1 tail	1	NAR	ZA	EX-150001			IM-00003		Н	W		2016	
I	Loxodonta africana	TUS	2 tusks	2	NAR	TZ	EX-22222			IM-00004		Н	W		2016	
I	Guarouba guarouba	LIV		1	NAR	CH	15CH00001			IM-00005		Т	С		2016	
II	Alligator mississippiensis	LPS	watchstraps	5	NAR	CH	15CH00002	US	15US00001	IM-00006		Т	W		2016	
II	Caiman crocodillus fuscus	LPS	handbags	13	NAR	CH	15CH00003	co	15CO0001	IM-00006		Т	С		2016	
II	Saiga tatarica	DER		0.52	KGM	CN	EX-1601	XX		-		Р	W	Х	2016	shipment seized
II	Varanus indicus	LIV		60	NAR	SB	EX2015/011			IM-0007		Т	W		2016	
II	Kobus leche	TRO	Shoulder mount, 1 tail	1	NAR	ZM	EX-0016			IM-0009		Н	W		2016	
II	Varanus salvator	LPS	2 pairs of shoes	4	NAR	CH	15CH00006	MY	MY002-EX	IM-0008		Т	W		2016	<u></u>
II	Orchidaceae hybrid	LIV		300	NAR	LK	EX-002222			IM-00010		Т	Α		2016	
II	Acropora spp.	LIV		10	NAR	ID	0001/EX/2015			IM-00012		Т	W		2016	
II	Favia pallida	COR		2	KGM	ID	0003/EX/2015			IM-00019		Т	W		2016	
II	Scleractinia spp.	COR	Live Rock	80	KGM	ID	0004/EX/2015			IM-00019		Т	W		2016	
II	<i>Madevallia</i> hybrid	LIV		6	NAR	PE	EX-11334			IM-00023		Т	А		2016	
I	Phragmipedium besseae	LIV		10	NAR	PE	EX-11223			IM-00024		S	А		2016	
l	Phragmipedium hybrid	LIV		36	NAR	PE	EX- 11224			IM-00025		Т	А		2016	
II	Gonystylus bancanus	TIM	timber	12.75	MTQ	MY	EX-09MY003E			IM-00026		Т	W		2016	
II	Acipenser hybrid	CAV		50	KGM	FR	EX-11111-R	ΙΤ	IT0001-EX	IM-00027		Т	С		2016	
<u>II</u>	Prionace glauca	<u>BOD</u>		<u>500</u>	<u>KGM</u>	<u>ES</u>	EX11123			<u>IM-00028</u>		I	<u>X</u>		2024	
<u>II</u>	Sphyrna mokarran	<u>DFN</u>		<u>200</u>	<u>KGM</u>	<u>ES</u>	EX111234	<u>HS</u>		<u>IM-00029</u>	<u>IFS-ES-</u> 00003	Ι	<u>X</u>		2024	
<u>II</u>	Carcharhinus falciformis	<u>FFN</u>		<u>150</u>	<u>KGM</u>	<u>PT</u>	EX-PT-0008	<u>ES</u>	EX-ES-0003	IM-00030		Ţ	<u>X</u>		<u>2024</u>	

EXPORTS and RE-EXPORTS: report compiled on the basis of actual trade [or specify if based on permits issued]

(N.B. Report should be submitted in electronic format, preferably Excel)

Appendix	Species	Trade Term Code	Description of specimen (optional)	Quantity	Unit	Country of destination	Number of export permit or re- export certificate	Country of origin of re- exports	Number of original export permit (for reexports) (optional)	Number of IFS certificate	Purpose	Source	Status (optional)	Year	Remarks (optional)
III	Canis aureus	LIV		1	NAR	BG	15EP0001	IN	14OP001		Z	W		2016	
II	Cebus apella	LIV		4	NAR	ID	15EP0002				Z	С		2016	
II	Lycalopex griseus	SKI		150	NAR	ΙΤ	15EP0003	AR	14OP002		Т	W		2016	
ll ll	Macaca fascicularis	LIV		2	NAR	US	15EP0004	CN	14OP003		S	С		2016	
II	Pecari tajacu	SKI		100	NAR	SG	15EP0005	AR	14OP004		Z	W	Х	2016	Shipment seized
II	Saimiri boliviensis	LIV		2	NAR	ID	15EP0006				Z	С		2016	
II	Tapirus terrestris	LIV		1	NAR	RU	15EP0007				Z	С		2016	
l	Acinonyx jubatus	TRO	2 skulls, 2 skins	2	NAR	US	15EP0008	NA			Н	W		2016	
l	Ursus arctos isabellinus	LIV		1	NAR	UA	15EP0009	UA			Q	0		2016	
II	Loxodonta africana	TUS		2	NAR	ZA	15EP0010	ZW			Н	W		2016	
II	Loxodonta africana	KEY		52	NAR	GB	15EP0011	ZA			Р	0		2016	
II	Ara ararauna	LIV		1	NAR	US	15EP0012				Р	F		2016	
I	Falco hybrid	LIV		2	NAR	QA	15EP0013				Т	С		2016	
II	Boa constrictor	LIV		50	NAR	MY	15EP0014				Т	С		2016	
II	Chamaeleo calyptratus	LIV		1	NAR	QA	15EP0015				Р	С		2016	
II	Geochelone sulcata	LIV		2	NAR	US	15EP0016				Z	F		2016	
II	Acipenser hybrid	CAV		75	KGM	CH	15EP0017	FR	14FR-075-11111-E		Т	С		2016	
II	Huso dauricus	CAV		5	KGM	CH	15EP0018	CN	14OP022		Т	С		2016	
II	Acipenser persicus	CAV		10	KGM	CH	15EP0018	IR	14OP005		Т	W		2016	
II	Acipenser ruthenus	MEA		2000	KGM	US	15EP0019				Т	С		2016	
II	Huso huso	LIV		120	NAR	CH	15EP0020				Т	F		2016	
ı	Phragmipedium hybrid	LIV		4	NAR	CH	15EP0021	PE	14OP006		Т	Α		2016	
II	Cyathea contaminans	DPL		200	KGM	US	15EP0022				Т	W		2016	
II	Swietenia macrophylla	TIM		50	MTQ	DO	15EP0023	MY			Т	W		2016	
ı	Dalbergia nigra	WPR	guitar	1	NAR	CA	15EP0024	BR			Р	0		2016	
II	Acipenser baerii	EGL	live sturgeon eggs	10000	NAR	MG	15EP0025				Т	С		2016	
II	Panthera leo	TRO	1 skin, 1 skull, 2 bones, 2 claws	1	NAR	DE	15EP0026				Н	С		2016	
<u>II</u>	<u>Isurus paucus</u>	<u>BOD</u>		<u>700</u>	<u>KGM</u>	<u>SG</u>	<u>15EP0027</u>				<u>T</u>	<u>X</u>		<u>2024</u>	
<u>II</u>	<u>Sphyrna lewini</u>	<u>FFN</u>		<u>200</u>	<u>KGM</u>	<u>SG</u>	<u>15EP0028</u>	<u>HS</u>		<u>IFS-00004</u>	I	<u>X</u>		<u>2024</u>	
<u>II</u>	Isurus oxyrinchus	<u>DFN</u>		<u>150</u>	KGM	<u>KR</u>	<u>15EP0029</u>	<u>FR</u>	<u>15FR001</u>		<u>T</u>	<u>X</u>		<u>2024</u>	