

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



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

SUMMARY

TUESDAY 4 FEBRUARY
MORNING

33. Compliance matters

33.5 Application of Article XIII in the Democratic Republic of the Congo SC78 Doc. 33.5

The Committee noted the progress made by the Democratic Republic of the Congo and agreed to renew the recommendations adopted at SC77 as amended by Belgium:

*Regarding the management of trade in *Psittacus erithacus**

- a) The Parties maintain the recommendation to suspend trade in specimens of the species *Psittacus erithacus* from the Democratic Republic of the Congo pending compliance with the following recommendations:
 - i) on the basis of the reservation entered by the Democratic Republic of the Congo for the species *Psittacus erithacus*, this State is considered as a non-Party with respect to trade in this species. However, Resolution Conf. 4.25 (Rev. CoP14) states that a State not a Party to the Convention for a species included in Appendix I (*Psittacus erithacus*) should treat that species as if it were included in Appendix II for all purposes, including obligatory documents and controls, and suspend the issuance of export permits for commercial and non-commercial trade in specimens of *Psittacus erithacus* of wild origin until it is in a position to make scientifically based non-detriment findings;
 - ii) the Committee noted again the moratorium announced by the Democratic Republic of the Congo at the 69th meeting of the Standing Committee (SC69; Geneva, November 2017) to suspend trade in *Psittacus erithacus* and its announcement that it will not implement its reservation on the listing of the species in Appendix I, and it invited the Democratic Republic of the Congo to adopt a regulatory act to implement the moratorium;
 - iii) the Democratic Republic of the Congo should take steps to implement Decision 17.256 (Rev. CoP19) on African grey parrots (*Psittacus erithacus*); in this context, the Committee noted the commitment of the Democratic Republic of the Congo to undertake population surveys and develop a management plan for *Psittacus erithacus* and encouraged the country to continue its efforts launched in this regard; and
 - iv) the Democratic Republic of the Congo should not establish experimental export quotas as part of scientific surveys of the species in the country.

Regarding illegal trade and enforcement

- b) The Democratic Republic of the Congo should continue its efforts to collect all the relevant data on illegal trade and on the action of the criminal groups operating in the country, to develop a register to collect all these data, and to continue to work in close collaboration with all the authorities concerned,

including at the local level in the areas identified as most important, so as to conduct operations and investigations based on the intelligence obtained, focusing particularly on the trafficking of *Psittacus erithacus* (African grey parrots), *Manis* spp. (pangolins), great apes and other species of primates, and elephant ivory;

- c) The Democratic Republic of the Congo should consider developing and launching a strategy to fight corruption linked to wildlife crime at all levels, including anti-corruption policies, and step-up efforts to ensure the full implementation of Resolution Conf. 17.6 (Rev. CoP19) on *Prohibiting, preventing, detecting and countering corruption, which facilitates activities conducted in violation of the Convention*. The strategy should include recommendations aimed at protecting officials in charge of the implementation of CITES from undue pressures, obstructions and threats;
- d) The Democratic Republic of the Congo should continue to report on the implementation of its National Ivory Action Plan, in accordance with the guidelines in Annex 3 of Resolution Conf. 10.10 (Rev. CoP19) on *Trade in elephant specimens*.

The Democratic Republic of the Congo should report to the Secretariat on progress made in the implementation of these recommendations 90 days before the 81st meeting of the Standing Committee (SC81), in order for the Secretariat to consider it in its report to the Standing Committee on the application of Article XIII in the Democratic Republic of the Congo.

33.7 Application of Article XIII in GuineaSC78 Doc. 33.7

The Committee agreed to revise and update its recommendations adopted at SC77 as follows:

Regarding the recommendation to suspend trade

- a) The Committee recommended that Parties continue to suspend all trade in CITES-listed species with Guinea for commercial purposes until the following recommendations have been met to the satisfaction of the Standing Committee:

Regarding the proceeds from the export of the stockpile of Pterocarpus erinaceus

Guinea should:

- b) provide to the Secretariat evidence of the transfer of the 40% of the proceeds obtained from the sale of the *Pterocarpus erinaceus* pre-Convention stockpile or any income from legal proceedings (i.e. an amount equivalent to at least USD 144,716) to a separate subaccount of the Ministry of Environment and Sustainable Development, and the establishment of a budget for the use of the funds in support of CITES implementation and conservations of fauna and flora in Guinea;

Regarding national legislation

Guinea should:

- c) as a matter of priority adopt and ensure the application of the revised legislative measures that meet the minimum requirements of CITES set out in Resolution Conf. 8.4 (Rev. CoP15) on *National laws for implementation of the Convention* and in accordance with the guidance provided under the National Legislation Project; this should include the issuance of a legally binding instrument on the functions and responsibilities of the CITES Management and Scientific Authorities;

Regarding management and issuance of CITES permits and certificates

Guinea should:

- d) validate the protocol for the making of non-detriment findings by the CITES Scientific Authority prior to the issuance of export permits;

Regarding compliance and law enforcement

Guinea should:

- e) under the aegis of the Advocate General of the Conakry Court of Appeal (Focal Point for Wildlife Crime of the Ministry of Justice), and in accordance with national law, continue to conduct criminal and financial investigations, through specialized agencies such as INTERPOL's National Central Bureau, the National Financial Information Processing Unit (*Cellule Nationale de traitement des Informations Financières*), the National Anti-corruption and good governance promotion agency, and the National Wildlife and Forest Crime Brigade; and undertake judicial prosecutions against all individuals and entities involved in alleged offences associated with the illicit trafficking of *Pterocarpus erinaceus*, including the members of the National Commission, irrespective of their position;
- f) continue its efforts to investigate and collect information on the transnational organized syndicates operating in the country so that they can be brought to justice and avoid that only small perpetrators are targeted;
- g) continue to investigate and prosecute other cases of illegal trade in specimens of CITES-listed species and inform the Secretariat of the results of any legal proceedings by submitting the annual illegal trade report in accordance with the *Guidelines for the preparation and submission of the CITES annual illegal trade report*;
- h) consider developing and implementing a strategy to counter corruption linked to wildlife crime at all levels, including anti-bribery policies, and intensify efforts to ensure full implementation of Resolution Conf. 17.6 (Rev. CoP19) on *Prohibiting, preventing, detecting and countering corruption, which facilitates activities conducted in violation of the Convention*. The strategy should include recommendations to protect officials responsible for the implementation and enforcement of CITES from undue pressure, obstruction and threats;
- i) validate and implement the formal agreement between the CITES Management Authority and the Customs Service on collaboration, coordination and exchange of information;
- j) validate and implement the developed protocol for the management and disposal of seized and confiscated specimens (live and dead), taking into account the provisions of the Convention and the recommendations of Resolution Conf. 17.8 (Rev. CoP19) on *Disposal of illegally traded and confiscated specimens of CITES-listed species*;
- k) continue taking action to address the gaps identified through the implementation of the International Consortium on Combating Wildlife Crime (ICWC) Indicator Framework.

The Committee requested that Guinea prepare a comprehensive report on the implementation of these recommendations, including the budget and the use of the funds mentioned in recommendation b) and any progress in the criminal investigations mentioned in recommendations e) to g) and any other pertinent information and evidence needed to confirm implementation by the Secretariat. Guinea shall submit the report to the Secretariat 90 days before the 81st meeting of the Standing Committee so that the Secretariat can in turn submit its report and recommendations to the Standing Committee at that meeting.

33.8 Application of Article XIII in the Lao People's Democratic Republic SC78 Doc. 33.8

The Committee established an in-session working group to discuss a lifting or partial lifting of the trade suspension proposed in paragraph 71 a) of document SC78 Doc. 33.8. Membership was agreed as follows: Belgium, Indonesia, Kuwait, Lao People's Democratic Republic, Morocco, Poland, Singapore (Chair), United Kingdom of Great Britain and Northern Ireland, and the United States of America.

The Committee agreed the following recommendations:

- b) The Lao People's Democratic Republic should consider whether the Prime Minister Order No. 5 of 2018 has been superseded by more recent legislation and if so, consider promulgating a new Prime Minister's Order to mandate the effective implementation of the Lao People's Democratic Republic's obligations as a Party to the Convention.

Regarding CITES Authorities

The Lao People's Democratic Republic should:

- c) with the support of the CITES Secretariat, continue to address the need for strengthening capacity and training of staff of the CITES Management and Scientific Authority on the effective implementation of the Convention, and organize regular training for the staff of the CITES Scientific Authority;
- d) take measures to improve the collaboration between national CITES authorities *inter alia* by developing a standard operating procedure for the two authorities and finalizing the development of the national CITES permit database.

Regarding law enforcement

The Lao People's Democratic Republic should:

- e) continue to investigate and prosecute cases involving organized and transboundary illegal trade activities, such as those identified by international partners; and provide to the Secretariat the results (including arrests) of any investigations conducted by competent national authorities and the results of any legal proceedings against alleged perpetrators, in the annual illegal trade report format;
- f) continue to work with the law enforcement agencies from Cambodia, China, Malaysia, Myanmar, Singapore, Thailand and Viet Nam, including within the context of the ASEAN Working Group on CITES and Wildlife Enforcement, the ASEAN Senior Officials Meeting on Transnational Crime, and other relevant networks, to improve the practical, on-the-ground cooperation between enforcement authorities, including justice, police and customs, on the issues of illegal wildlife trade and tourism;
- g) implement all of the recommendations of the Wildlife and Forest Crime Toolkit of the International Consortium on Combating Wildlife Crime (ICWC), report on the full implementation, and request support from ICWC to conduct a follow-up implementation of the ICWC indicator framework for wildlife and forest crime to monitor performance over time and to identify areas for improvement; and
- h) continue to report on the implementation of its National Ivory Action Plan, in accordance with the guidelines contained in Annex 3 to Resolution Conf. 10.10 (Rev. CoP19) on *Trade in elephant specimens*.

Regarding monitoring of wildlife farms and related trade

The Lao People's Democratic Republic should:

- i) complete the evaluation of the utilization of the "TigerBase" and introduce regular monitoring inspections and samplings to ensure that it is maintained up-to-date to assist with identification of individual specimens;
- j) takes steps to identify, if possible, any pure specimens of tigers referable to the mainland Southeast Asian lineage (also known as *Panthera tigris corbetti*) and encourage facilities to engage in coordinated conservation breeding of such animals, if identified;
- k) implement and enforce measures to limit the number of tigers to a level supportive only to conserving wild tigers by:
 - i) restricting the breeding of tigers in captivity (sterilizing, separating male and female specimens), except for specimens of tigers referable to the mainland Southeast Asian lineage (also known as *Panthera tigris corbetti*);
 - ii) not authorizing any further import of tiger live specimens, except for specimens of tigers referable to the mainland Southeast Asian lineage (also known as *Panthera tigris corbetti*) for conservation breeding purposes; and
 - iii) prohibiting the establishment of any new tiger facilities;
- l) implement stringent regulations for tiger husbandry standards to improve care and discourage expansion of captive-breeding facilities;

- m) develop standard operating procedures for inspections and disposal of dead tiger specimens (including destruction of carcasses after verification of the dead individual) and train officials to undertake inspections and monitor the disposal of carcasses;
- n) consider and implement [relevant outcomes of the Big Cat Task Force](#) Meeting with specific reference to section 2: Strengthen regulation of facilities breeding big cats in captivity to prevent and detect any illegal trade from such facilities and deploy strengthened enforcement measures;
- o) take measures to reduce the demand for tiger parts and derivatives through the implementation of campaigns and strategies taking into consideration the guidance in [Resolution Conf. 17.4 \(Rev. CoP19\)](#) on *Demand reduction strategies to combat illegal trade in CITES-listed species*.

Regarding trade in live Asian elephants

The Lao People's Democratic Republic should:

- p) take measures to demonstrate to the satisfaction of the Secretariat that specimens to be traded with source code C comply with the definition of captive-bred specimens set out in Resolution Conf. 10.16 (Rev. CoP19) on *Specimens of animal species bred in captivity*; and
- q) continue to take substantive steps to manage captive Asian elephant populations by strengthening its system for registration, marking and tracing Asian elephants held in captivity in the Lao People's Democratic Republic.

Regarding captive breeding and trade in Macaca fascicularis

- r) The Lao People's Democratic Republic should not issue export permits for *Macaca fascicularis*, including for captive bred specimens of *Macaca fascicularis*, until it proves the legal acquisition of original breeding stocks for captive-breeding facilities, as well as for additional wild caught specimens added to these breeding stocks, where relevant, to the satisfaction of the Secretariat and the Chair of the Standing Committee.

Regarding trade in Dalbergia spp.

- s) The Lao People's Democratic Republic should continue not to issue export permits for *Dalbergia* spp. until it develops a non-detriment finding indicating that it would be sustainable to resume trade and submits a corresponding export quota.

The Committee requested that the Lao People's Democratic Republic:

- t) prepare a Compliance Action Plan to the satisfaction of the Secretariat within 60 days following the present meeting, detailing how it will address these recommendations, using the template provided by the Secretariat with actions, milestones and timelines; and
- u) report on the implementation of the above recommendations/Compliance Action Plan to the Secretariat 60 days before the 79th meeting of the Standing Committee for the Secretariat to take into account in its report on the application of Article XIII in the Lao People's Democratic Republic to the Standing Committee.

33.9 Application of Article XIII in Nigeria.....SC78 Doc. 33.9

The Standing Committee agreed to revise and update its recommendations adopted at SC77 as follows:

Regarding trade in specimens of Pterocarpus erinaceus

- a) The Standing Committee recommended that Parties continue to suspend commercial trade in specimens of the species *Pterocarpus erinaceus* from Nigeria under Article XIII until the following conditions are met:
 - i) The Party concerned makes a scientifically based non-detriment finding for trade in the species to the satisfaction of the Secretariat and the Chair of the Plants Committee, having regard to

Resolution Conf. 16.7 (Rev. CoP17) on *Non-detriment findings* and based on the outcomes of the Review of Significant Trade process for this species; and

- ii) The Party 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. CoP19) on *Legal acquisition findings*.

Regarding legislation and law enforcement

- b) Nigeria should ensure the adoption of the Endangered Species Conservation and Protection Bill, 2024 and continue to improve the regulatory framework in relation to forestry management, including forestry legislation at the State level, to close any loopholes created by the distribution of competences between Federal and State levels.
- c) Nigeria should continue implementing its national Strategies aiming to counter corruption linked to illegal wildlife trade at all levels, including anti-bribery policies, and intensify efforts to ensure full implementation of Resolution Conf. 17.6 (Rev. CoP19) on *Prohibiting, preventing, detecting and countering corruption* and reporting on results achieved through implementation. Measures implemented in the framework of these strategies should protect officials responsible for the implementation and enforcement of CITES from undue pressure, obstruction and threats.
- d) Nigeria should maintain and strengthen inter-agency coordination to control trade in CITES-listed species and to combat transnational organized wildlife crime, through the National Stakeholders Forum on Combating Wildlife Crime in Nigeria and the Wildlife Law Enforcement Task Force, in line with relevant paragraphs of Resolution Conf. 11.3 (Rev. CoP19) on *Compliance and enforcement*, and report on results achieved through this coordination.
- e) Nigeria should scale up efforts to map out organized crime groups involved in illegal wildlife trade and operating in the country. Nigeria should continue convening multidisciplinary investigative teams involving all relevant authorities to perform intelligence-driven operations and investigations, and report on the activities conducted and results achieved.
- f) Nigeria should continue to report on the implementation of its NIAP, in accordance with the guidelines contained in Annex 3 to Resolution Conf. 10.10 (Rev. CoP19) on *Trade in elephant specimens*.

Regarding issuance of export permits and information systems

- g) Nigeria should scale up efforts towards establishment and functioning of an efficient and secure information system, preferably an electronic system (resources permitting), to facilitate the issuance of permits and certificates, and the verification of all CITES provisions applicable to the specimens to be exported, including with support from the CAP.
- h) Nigeria should facilitate liaison and integration with other permitting/certification systems relating to the harvest of and trade in CITES-listed resources, e.g., timber concession authorizations, phytosanitary/veterinary documentation, or customs declarations.

Handling and disposal of seized stockpiles CITES-listed species

- i) Nigeria should continue to implement adequate control measures to secure storage facilities for seized stocks of CITES-listed species, including for pangolins and ivory, and dispose of confiscated specimens in line with recommendations contained in Resolution Conf. 17.8 (Rev. CoP19) on *Disposal of illegally traded and confiscated specimens of CITES-listed species*.

The Secretariat should remain in close contact with Nigeria, monitor the Party's progress in the implementation of the above recommendations of the Standing Committee, and bring any matters of concern to the attention of the Committee.

The Committee requested Nigeria to report on progress made in the implementation of recommendations a) to i) 90 days before SC81, in order for the Secretariat to convey this report and its comments, as well as recommended follow-up measures, if any, to the 81st meeting of the Standing Committee.

The Committee commended the significant efforts made by Viet Nam and agreed with the conclusion of the Secretariat that there is currently no evidence of compliance issues to be addressed under Article XIII of the Convention concerning Viet Nam.

The Committee recommended that Viet Nam:

Concerning the management of imports

- a) assess its national procedures concerning imports of CITES-listed species to ensure that the Management Authority has adequate time and capacity to conduct appropriate due diligence verifications;
- b) continue to build the capacities of the Scientific Authority and law enforcement authorities, in particular with regard to species identification and forensic analysis, with an emphasis on timber species;

Concerning the disposal of confiscated specimens illegally traded or possessed

- c) assess its national procedures concerning the confiscation of specimens illegally traded or possessed, taking into account paragraph 1 of Resolution Conf. 17.8 (Rev. CoP19) on *Disposal of illegally traded and confiscated specimens of CITES-listed species*;
- d) assess its national procedures and the roles of the different institutions involved in the management of stockpiles, taking into account Resolution Conf. 17.8 (Rev. CoP19), and take any necessary measure to ensure the proper management and recording of such stockpiles;
- e) conduct an inventory of all existing stockpiles of CITES-listed specimens, and report on such stockpiles in accordance with relevant resolutions, as appropriate;
- f) submit a response to Notification to the Parties No. 2024/096 on *Request for information on pangolins (Manis spp.) and pangolin stocks* by 31 March 2025;

Concerning enforcement

- g) review its annual illegal trade reports and include any relevant data on seizures related to CITES-listed species of flora, particularly timber species;
- h) take additional measures to combat transnational organized wildlife crime by strengthening criminal intelligence, exchange of intelligence, controlled delivery, wildlife crime investigation and prosecution, and financial investigations linked to wildlife crime;
- i) take further action to develop and implement strategies to reduce the demand for ivory, rhino horn, pangolin, and big cats specimens and products;
- j) strengthen international collaborations with international organizations and other CITES Parties to strengthen the control of trade in CITES-listed species, exchange information and combat transnational organized wildlife crime;
- k) further support the capacity of law enforcement agencies in combatting wildlife crime; and
- l) submit its implementation report covering 2021 to 2023, in accordance with Article VIII of the Convention and Resolution Conf. 11.17 (Rev CoP19) on *National reports*.

The Committee recommended that the Secretariat continue to provide technical support to Viet Nam in implementing these recommendations, subject to the availability of extrabudgetary resources, including in the context of the compliance support provided by the Secretariat and initiatives conducted under ICCWC.

The Committee invited Viet Nam to a report on any action taken to implement these recommendations, to be integrated with related reports, 90 days before SC81.

Regarding the implementation of Article VII, paragraph 4 of the Convention by the European Union and the United Kingdom of Great Britain and Northern Ireland

The Committee:

- a) noted the progress made by the United Kingdom and the European Union and its Member States in ensuring that facilities that are breeding specimens of Appendix-I listed species for commercial purposes be registered with the CITES Secretariat in accordance with the procedures established in Resolution Conf. 12.10 (Rev. CoP15) on *Registration of operations that breed Appendix-I animal species in captivity for commercial purposes*;
- b) recalled paragraph 8 a) of Resolution Conf. 12.10 (Rev. CoP15) and reminded Parties to restrict imports for primarily commercial purposes of captive-bred specimens of Appendix-I species to those produced by operations included in the CITES Register and to reject any permit or certificate if the specimens concerned do not originate from a registered facility;

*Regarding potential compliance matters related to trade in *Amazona imperialis*, *A. arausiaca* and *Cyanopsitta spixii**

- c) noted that no further information or response has been provided by Dominica regarding the export of two specimens of *Amazona imperialis* and ten specimens of *A. arausiaca* and, noting that work is ongoing with Dominica in the context of the National Legislation Project, requested the Secretariat to continue to seek information from Dominica on these exports and to report back to the 79th meeting of the Standing Committee;

Regarding trade in live animals to India

- d) noted the information provided by India, the Bolivarian Republic of Venezuela and Mexico regarding the trade in live animals with purpose code Z to the facility of the Greens Zoological Rescue & Rehabilitation Center (GZRRC) in India; and requested the Secretariat to keep close communication and strengthen the cooperation with India on this potential case and, subject to the availability of external funds and human resources, accept an invitation from India to provide in-country assistance, conduct a technical assessment and a verification mission to understand how the CITES authorities ensure that live animal specimens are legally acquired and imported in full compliance with CITES and present its findings and recommendations to the Standing Committee;

Regarding trade in live birds from Suriname

- e) requested the Secretariat to continue its close communication and strengthened cooperation with Suriname on a potential compliance matter related to trade in birds and other species and to seek an invitation from Suriname to provide, subject to the availability of external and human resources, in-country assistance, conduct a technical assessment and a verification mission in response to Suriname's invitation to understand how the CITES Authorities ensure that live bird specimens are legally acquired and traded in full compliance with CITES; and present its findings and recommendations to a forthcoming meeting of the Standing Committee;
- f) noted the comment by the United States of America to advise importing Parties to be particularly vigilant with regard to CITES documents issued by Suriname and to take steps to ensure that such trade is conducted in accordance with the requirements of the Convention;

*Regarding exports of *Macaca fascicularis* from Cambodia*

- g) requested the Secretariat to continue its close communication and strengthened cooperation with Cambodia to ensure that any trade in wild caught *Macaca fascicularis* and captive breeding of this species is conducted in compliance with the provisions of the Convention, in particular Articles IV and VII and seek an invitation from Cambodia to provide, subject to the availability of external and human resources, in-country assistance, conduct a technical assessment and a verification mission to understand how the CITES authorities ensure that trade and captive-breeding of *M. fascicularis* are

compliant with the Convention; the Secretariat shall present its findings and recommendations to the forthcoming meeting of the Standing Committee;

- h) urged Parties importing live specimens of *M. fascicularis* to exercise due diligence in accordance with Resolution Conf. 11.3 (Rev. CoP19) on *Compliance and enforcement* to ensure that no imports are accepted in violation of the Convention, in particular Articles IV and VII;

Regarding trade reported from Guyana by importing Parties

- i) urged Parties to liaise with the CITES Management Authority for Guyana to verify the validity of any export permit or re-export/captive breeding certificate attributed to Guyana;
- j) requested Bangladesh, Indonesia, Oman and Sri Lanka to support the CITES Management Authority of Guyana in verifying any necessary information in instances of trade of live specimens reported as imports from Guyana; and
- k) requested the Secretariat to support the CITES Management Authority of Guyana to clarify the matters and follow-up with relevant Parties regarding the cases identified by Guyana, as needed;

Regarding guidance on the scope and application of recommendations to suspend trade

- l) requested the Secretariat to prepare an in-session document with the edits to the draft decision on the scope and application of a recommendation to suspend trade contained in Annex 1 to document SC78 Doc. 33.1 proposed by Canada, Mexico, the United Kingdom of Great Britain and Northern Ireland and the United States of America; and

Regarding the development and adoption of a compliance action plan template

- m) agreed on the draft template of a compliance action plan contained in Annex 2 to document SC78 Doc. 33.1 as amended by Canada and requested the Secretariat to submit it for consideration by the 20th meeting of the Conference of the Parties, together with amendment to paragraph 29 h) of Annex 1 to Resolution Conf. 14.3 (Rev. CoP19) on *CITES compliance procedures*, also contained in Annex 2 to document SC78 Doc. 33.1.

DRAFT AMENDMENTS TO
RESOLUTION CONF. 14.3 (REV. COP19) ON *CITES COMPLIANCE PROCEDURES*

New text is underlined.

Insert in Annex 1, paragraph 29:

- h) request a compliance action plan to be submitted to the Standing Committee by the Party concerned identifying appropriate steps, a timetable for when those steps should be completed and means to assess satisfactory completion. The template contained in Annex 2 may be used as a basis for the compliance action plan to be submitted.

Insert a new Annex 2:

ANNEX 2
OPTIONAL COMPLIANCE ACTION PLAN TEMPLATE

Introduction

Resolution Conf. 14.3 (Rev. CoP19) on *CITES compliance procedures*, in the section on *Measures to achieve compliance*, provides as follows in paragraph 29 of Annex 1:

If a compliance matter has not been resolved, the Standing Committee decides to take one or more of the following measures:

- h) request a **compliance action plan** to be submitted to the Standing Committee by the Party concerned identifying **appropriate steps**, a **timetable** for when those steps should be completed and **means to assess satisfactory completion**.

The following template is a guiding tool for Parties that are subject to an Article-XIII compliance process for which the Standing Committee has agreed on a set of recommendations for the Party to achieve compliance with the obligations of the Convention. The Compliance Action Plan is first and foremost intended to be a tool for the Party itself to ensure that the recommendations of the Standing Committee to the Party with regard to the compliance matter will be considered and addressed in an adequate and timely manner. The Compliance Action Plan will also assist Parties in monitoring progress and preparing progress reports to the Secretariat for onward reporting to the Standing Committee.

Any Party subject to an Article-XIII process is therefore invited to use the Compliance Action Plan template even if the Standing Committee has not requested the submission of an action plan in accordance with paragraph 29 h) of Annex 1 to the Resolution. It is important to keep in mind that the recommendations of the Standing Committee are addressed to the Party concerned, i.e. the Government of the State that is a Party to the Convention. They are not addressed to the CITES Management Authority. Therefore, the CITES Management Authority may need to consult with other entities of the Government on the actions to be taken to implement the recommendations as such entities need to be engaged and committed to achieve the goals of the action plan.

It is also important that relevant actors and stakeholders are consulted by the Party concerned when developing the draft Compliance Action Plan before it is finalized and submitted to the CITES Secretariat, if so required.

The Compliance Action Plan template can be modified by the Party if additional fields are required to fit the circumstances of a particular Party. For instance, Parties that are also subject to a separate process under the Review of Significant Trade (RST) in Resolution Conf. 12.8 (Rev. CoP18) on *Review of Significant Trade in specimens of Appendix-II species* may incorporate the recommendations by the Animals or Plants Committee into the Compliance Action Plan, if appropriate.

Guidance

The following explanations are offered to assist in the development of a Compliance Action Plan.

Terminology in the Compliance Action Plan template	Explanation
Header	It is important to refer to the Summary Record of the meeting in which the Standing Committee agreed to the recommendations. If the recommendations are amended/updated at subsequent meetings, the references in the <u>Compliance Action Plan</u> may need to be updated as well.
Area of work	The recommendations of the Standing Committee are often structured around certain areas of work, e.g. <i>Regarding national legislation; Regarding issuance of export permits; Regarding national coordination; Regarding law enforcement;</i> etc. These areas of work can be used to structure the elements of the Compliance Action Plan.
Recommendation of the Standing Committee	The text of each recommendation agreed by of the Standing Committee can be included in full in the <u>Compliance Action Plan</u> , if considered helpful. The recommendation can also be reformulated into a more concise goal if that will help the Party navigate the actions and the steps required to implement the recommendation of the Standing Committee – as long as the goal achieves the recommendation.
Steps/actions	With respect to each recommendation of the Standing Committee, Parties may identify several actions or steps to be taken to respond to the recommendation.
Timeline for implementation	It is important to provide a timeline for implementing the steps. Realistic timeframes (month and year) should be set for each element needed to complete the step/action corresponding to the Standing Committee recommendation
Means to assess satisfactory	The means to assess satisfactory completion should follow naturally from the recommendations and the steps/actions devised to implement them. They can

completion (milestones and indicators)	be formulated as indicators and in essence must provide a way to determine whether the step/action has been completed. If the achievement of a recommendation requires several steps, several milestones may be set with associated indicators to determine that the milestone has been met.
Leading national entity and other involved entities	The national entity (CITES Management Authority, Scientific Authority, customs, Ministry of Justice etc.) that will lead on and take responsibility for the implementation of the action should be identified. Where appropriate, additional involved entities should be included as well.
Costs, funding source	The estimated cost for implementation of each action as well as the funding source if external funding has been identified. The recommendations of the Standing Committee should ideally be possible to implement with existing means but, if external resources are required, this can be indicated here and in the next column. Identification of budget needs and gaps for implementation of selected actions is an important component for potential mobilization of external resources.
Comments (risks, assumptions, mitigation measures)	If there are certain assumptions or risks related to the completion of the action/steps, it should be noted in this column. With regard to the risks, a short explanation on how such will be mitigated should be included as well.

Regarding trade in oceanic whitetip shark (*Carcharhinus longimanus*)

- n) The Committee established an in-session drafting group to draft a recommendation for consideration by Standing Committee in order to request the Secretariat to explore an issue raised by the Maldives regarding trade in oceanic whitetip shark (*Carcharhinus longimanus*) that may not be in compliance with Article IV of the Convention. Membership was agreed as follows: Belgium, Canada, Maldives, New Zealand (Chair), Panama, the United Kingdom of Great Britain and Northern Ireland, as well as the Secretariat.

64. Spix's macaw (*Cyanopsitta spixii*)..... SC78 Doc. 64

The Committee noted the information provided in document SC78 Doc. 64 and invited Brazil, Belgium, Denmark, Germany, India, Switzerland and other relevant Parties to engage in a dialogue to enhance exchange of information with respect to the specimens of *Cyanopsitta spixii* held in captivity in their territory, in support to the Spix's Macaw Population Management Programme, and to report back to the Standing Committee at its 79th meeting.

61. Resolution Conf. 12.10 (Rev. CoP15) on
Registration of operations that breed Appendix-I animal species in captivity for commercial purposes

61.1 Review of Resolution Conf. 12.10 (Rev. CoP15) (Decision 19.181)..... SC78 Doc. 61.1

The Committee established an in-session drafting group to discuss the additional edits proposed by the European Union, India, the United Kingdom of Great Britain and Northern Ireland to the amendments to Resolution Conf. 12.10 (Rev. CoP15) contained in Annex 1 to document SC78 Doc. 61.1. Membership was agreed as follows: Belgium, the European Union, India, Israel, the United Kingdom of Great Britain and Northern Ireland, United States of America (Chair).

61.2 Implementation of paragraph 5 j) of Resolution Conf. 12.10 (Rev. CoP15) SC78 Doc. 61.2

The Committee:

- a) agreed to submit the following draft amendment to paragraph 5 j) of Resolution Conf. 12.10 (Rev. CoP15) on *Registration of operations that breed Appendix-I animal species in captivity for commercial purposes* supported by the Animals Committee to the Conference of the Parties at its 20th meeting:
- j) *the Management Authority, in collaboration with the Scientific Authority, shall satisfy itself that the captive-breeding operation will make a continuing meaningful contribution according to the conservation needs of the species concerned;*

- b) agreed that the following provide guidance to Parties to implement the requirement stated in paragraph 5 j) of Resolution Conf. 12.10 (Rev. CoP15) that Management Authorities shall satisfy itself that the captive-breeding operation will make a continuing meaningful contribution to the conservation needs of the species concerned:
- i) the [IUCN Guidelines for reintroductions and other conservation translocations](#);
 - ii) Resolution Conf. 13.9 on [Encouraging cooperation between Parties with ex situ breeding operations and those with in situ conservation programmes](#);
 - iii) [Non-binding best practice guidance on how to determine whether “the trade would promote in situ conservation”](#); and
 - iv) the IUCN/SSC [Guidelines on the Use of Ex Situ Management for Species Conservation](#); and
- c) encouraged Parties to implement Resolution Conf. 13.9 on *Encouraging cooperation between Parties with ex situ breeding operations and those with in situ conservation programmes*, as appropriate, according to the conservation needs of the species; and
- d) established an in-session drafting group to discuss the additional edits to the recommendation in paragraph 15 b) i) of document SC78 Doc. 61.2 proposed by the Russian Federation and the United States of America. Membership was agreed as follows: Belgium, the Russian Federation, the United Kingdom of Great Britain and Northern Ireland, the United States of America, as well as the Secretariat.