

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

Fiftieth meeting of the Standing Committee
Geneva (Switzerland), 15-19 March 2004

Interpretation and implementation of the Convention

National reports

REPORT OF THE WORKING GROUP ON REPORTING REQUIREMENTS

1. This document has been prepared by the Working Group on Reporting Requirements.
2. Within Decision 12.87, the Conference of Parties directed the Standing Committee to:

... undertake a review of the reporting requirements under the Convention with a view to identifying and analysing the causes of non-compliance with those requirements and proposing ways to turn reporting requirements into useful management tools for Parties.

3. At its 49th meeting (Geneva, April 2003), the Standing Committee:

agreed to establish an informal working group chaired by the Netherlands and consisting of Fiji, Ecuador, Japan, Saint Lucia and the Secretariat to undertake a review of reporting requirements under the Convention and to prepare a report on its findings and conclusions for the 50th meeting of the Standing Committee. UNEP-WCMC would be invited to participate in the working group

4. The Working Group decided to work electronically through means of annotated agendas and attachments on which members provided their comments. In addition the Chairman, on behalf of the Working Group, had telephone contact and a meeting with the Secretariat and UNEP-WCMC to further the work. The Working Group also sought input from other Parties through Notification to the Parties No. 2003/084 of 16 December 2003. Feedback received by the deadline of 15 February 2004 will be provided in an information document to the Standing Committee.

Reporting requirements

5. As a starting point for the Working Group, the Secretariat provided an overview of the various reporting requirements found in the Convention, the Resolutions and Decisions of the Conference of the Parties, and Notifications to the Parties. UNEP-WCMC also prepared for the Working Group a 35-page document listing Parties' implementation requirements based on Resolutions and Decisions (available on request). Annex 1 contains a list of the legally-binding (i.e. annual and biennial reports) and other reporting requirements (i.e. species-specific information which has to do with conservation and trade, the Review of Significant Trade, quota issues, legislation matters, etc.) that have been identified. All of these reporting requirements are different and have their own deadlines.

6. The Working Group decided to focus primarily on matters related to the annual and biennial reports required under the Convention, particularly the constraints faced by Parties in the preparation and submission of these reports and the tools available to them.

Purpose and usefulness of reporting

7. Working Group members agreed that the reporting of information by Parties is generally needed for monitoring the implementation of, compliance with and effectiveness of the Convention and that it forms the basis for decision making within the framework of the Convention. It could also provide a means of identifying loopholes in permit issuance, monitoring and controls.
8. On the other hand, several working group members agreed with the conclusion that Parties should benefit more by not only 'providing' information, but also 'receiving' useful information. They noted that the possibility for Parties to get 'feedback' on the information they provide is an important incentive for better reporting.
9. The Working Group concluded that reporting involves both the submission of information by the Parties and the return of information to the Parties by the Secretariat or others. It further concluded that more work is needed on facilitating Parties' submission of information and then providing them with compilations and analyses or other feedback derived from that information.
10. UNEP-WCMC pointed out that the CITES database, which encompasses trade data from the annual reports, has a huge amount of valuable data which can be used by Parties and the Secretariat. Nevertheless, it still seems that Management Authorities and Scientific Authorities are not well aware of the possibility for them to access a wide range of information on request. The Working Group concluded that Parties should be given additional advice on how they can obtain useful information from the database.
11. Both the Secretariat and UNEP-WCMC have begun to make CITES information more accessible to Parties. For example, the Secretariat has posted the table of annual report submissions on the CITES website. UNEP-WCMC has developed a search tool for the CITES trade database which can be used by Parties and others. The Working Group welcomed these developments. Although the development of a yearbook was not identified as a high priority for the Working Group, the idea was seen as valuable enough for UNEP-WCMC and the Secretariat to proceed with it.

Experience and constraints with regard to reporting

12. Members of the Working Group shared their experience and constraints with regard to reporting by Parties. These included:
 - A lack of staff, time and/or money;
 - Lack of overall record of permits being issued, used and accepted (i.e. permits not returned by Customs);
 - Computerization problems;
 - Institutional restructuring, changes in the responsibilities of staff, changes in the designated Management Authorities;
 - Poor or no institutional collaboration and clear central focal point where information is brought together (especially where there are multiple Management Authorities);
 - Lack of guidance, format and/or examples (especially regarding the biennial report);
 - Too many reporting requirements under different conventions;
 - Lack of clear purpose or usefulness of reporting;

- Lack of available information (especially under special reporting requirements for species, significant trade review, etc.); and
 - Civil unrest.
13. Additional constraints identified in document CoP12 Doc. 22.1 include more important compliance priorities and a lack of political will.
14. As mentioned above, the Working Group has sought additional information on Parties' experience with reporting (which it hopes will address successes and priorities as well as constraints) through Notification to the Parties No. 2003/084 and will report on this in a different document for deadline reasons.

Preparation and submission of reports

15. The Working Group has not yet discussed possible amendments to Resolution Conf. 11.17 (Rev. CoP12) or other Resolutions but it would seem that some future revision would be warranted, especially to remove provisions that are no longer necessary and to incorporate appropriate references to biennial reports.
16. Non-compliance with reporting was not discussed by the Working Group but rather left to discussions on the draft *Guidelines for compliance with the Convention*.

Annual reports

17. The Working Group did not conduct a detailed review of the *Guidelines for the preparation and submission of CITES annual reports* as the Guidelines themselves were not thought to be a reason for non-reporting. Nonetheless, additional information on the Guidelines is expected from those Parties that respond to Notification to the Parties No. 2003/084.
18. Assistance is available from UNEP-WCMC in the preparation of annual reports (e.g. compilation of reports from copies of permits) but very few Parties have requested such assistance to date.
19. One of the major priorities of the Working Group has been to explore the tools that might be available to Parties for permit issuance and trade reporting. Some promising and ambitious ideas have been discussed which will need further discussion to ensure their realization.
20. The Working Group decided to identify and build on existing examples of computerized permit issuance and trade reporting systems and then to use these for the development of simple, general CITES software tools and Internet-based modules. The Secretariat, together with UNEP-WCMC and interested Parties, has so far examined the computerized systems used by the Netherlands, Italy, Japan and Malta. UNEP-WCMC is at the moment preparing some simple, practical tools that can be tested by interested Parties in the near future. The Working Group also obtained a description of the electronic Catch Documentation Scheme being developed by CCAMLR. Additional information on Parties' national systems, and the extent of interest in developing such systems, has been sought through Notification to the Parties No. 2003/084.

Biennial reporting

21. Another major priority of the Working Group was to develop guidance for the preparation and submission of biennial reports. Using initial documents provided by the Secretariat and UNEP-WCMC, the Working Group has developed a draft format that was distributed to Parties for comment in Notification to the Parties No. 2003/084 (see Annex 2).

Harmonization with other biodiversity conventions

22. As CITES annual reports focus specifically on trade, Working Group members did not really see the benefit of merging such CITES reports with those of other conventions. A national project on the harmonization of reporting carried out by the Seychelles came to a similar conclusion. With regard to biennial reports, the views of Working Group members were a bit mixed but no complete integration was desired at this time because of differing institutional mandates and reporting deadlines for various conventions.

23. Several of the Working Group members had had good experience with the Ramsar format, but it was felt that such a format (tick boxes and open boxes for comments, based on the Ramsar Strategic Plan) should only be applied to biennial reports and then in a much simpler way. UNEP-WCMC provided valuable background information on its work to develop for CMS a standard reporting format and search options that could be accessed through the Internet.

24. It was suggested that reporting-related items from the CITES Strategic Vision and Action Plan should be taken into account.

Recommendations

25. The Working Group on Reporting Requirements recommends that the Standing Committee:
- a) instruct the Secretariat, in consultation with UNEP-WCMC and interested Parties, to develop and test simple software and 'Internet-based modules' for permit issuance and trade reporting, provided the necessary funding can be found;
 - b) consider and approve the biennial report format and submit it for adoption by the Conference of the Parties at its 13th meeting (CoP13);
 - c) propose in its report for CoP13 that the Conference of the Parties instructs the Secretariat, in collaboration with interested Parties, to consider consolidating various reporting requirements (e.g. those related to specific species) found in its Resolutions and Decisions;
 - d) suggest in its report for CoP13 that the Conference of the Parties consider any reporting implications before it adopts new Resolutions and Decisions;
 - e) instruct the Secretariat, in collaboration with UNEP-WCMC to continue work on the development of a 'Yearbook on International Wildlife Trade', provided the necessary funds can be found; and
 - f) consider how reporting issues can continue to be addressed in future.

Reporting requirements under the Convention

Legally-binding

- Annual and biennial reports (Article VIII, paragraph 7); and
- Responses to requests for further information from the Secretariat after the study of reports [Article XII, paragraph 2(d)].

Not legally-binding

General

- Stricter domestic measures (Resolution Conf. 4.22);
- All known manufacturers of microchip implants and associated equipment within the country [Resolution Conf. 8.13 (Rev.)];
- Any inconsistencies in trade involving States not party to the Convention (Resolution Conf. 9.5);
- Decisions taken on the disposal of certain confiscated live specimens of species that are in Appendix I or, if in Appendix II or III, involve commercial quantities (Resolution Conf. 10.7);
- Data on mortalities in transport (Resolution Conf. 10.21);
- Regional reports [Resolution Conf. 11.1 (Rev. CoP12)];
- Significant cases of illegal trade, convicted illegal traders and persistent offenders (Resolution Conf. 11.3);
- Implementation problems presented by national plant trade organizations to the Plants Committee (Resolution Conf. 11.11);
- Registration of scientific institutions entitled to the exemption provided by Article VII, paragraph 6, of the Convention [Resolution Conf. 11.15 (Rev. CoP12)];
- Reports on ranching operations (Resolution Conf. 11.16);
- Responses to review of significant trade selections and recommendations (Resolution 12.8);
- Checks on certain permits (Decisions 9.6 to 9.11);
- Best-practice methods for financing the conservation of species (Decision 12.25); and
- Copies of all new relevant legislation and CITES Legislation Plans (Decisions 11.20, 12.80).

Species-specific

- Conservation of and trade in rhinoceros [Resolution Conf. 9.14 (Rev.)];
- Raw ivory stocks and export quotas [Resolution Conf. 10.10 (Rev. CoP12)];
- Leopard and markhor hunting trophies now to be within annual report [Resolution Conf. 10.14 (Rev. CoP12) and Resolution Conf. 10.15 (Rev. CoP12)];
- Conservation of cetaceans, trade in cetacean specimens and the relationship with the International Whaling Commission [Resolution Conf. 11.4 (Rev. CoP12)];
- Trade in vicuña cloth (Resolution Conf. 11.6);
- Export quotas for Acipensiformes species and list of registered caviar processing and repackaging plants (Resolution Conf. 12.7);
- Bear conservation and trade (Decision 12.27);
- Significant seizures of illegal shipments of Asian big cat parts or derivatives (Decision 12.29);
- Ivory trade controls (Decision 12.39);
- Conservation of and trade in tortoises and freshwater turtles (Decision 12.41);

- Progress in the implementation of a regional conservation strategy and national management plan for hawksbill turtles (Decision 12.44); and
- Use of the *Dissostichus* Catch Document used by CCAMLR and verification requirements (Decision 12.57).

Note: Parties are also often asked, through Notifications or direct requests, to provide information to the Secretariat, so it can compile a required report (e.g. Decisions 12.37 and 12.39 on Control of internal ivory trade).

Information regularly required for Convention operation

- Changes in CITES authorities;
- Sample signatures, sample CITES documents;
- Invalid, lost, replacement or special permits;
- Accessions to the Convention and acceptance of the amendments;
- Reservations;
- Proposals;
- Article XIII responses;
- Registration of operations that artificially propagate or breed in captivity specimens of Appendix-I species for commercial purposes;
- Registration of scientific institutions entitled to the exemption provided by Article VII, paragraph 6, of the Convention;
- Information on nurseries involved in the export of CITES-listed plants;
- Register of legal exporters of sturgeon and paddlefish species;
- Registration of caviar processing and repackaging plants; and
- Uniform labelling scheme for caviar.

Biennial reports
(draft of 2 December 2003)

Article VIII, paragraph 7, of the Convention requires each Party to submit to the CITES Secretariat a biennial report on legislative, regulatory and administrative measures taken to enforce the provisions of the Convention.

The present format for the submission of biennial reports was prepared in accordance with Decision 12.87 [and approved by the Standing Committee at its 50th meeting (Geneva, March 2004)].

This format allows Parties to present information in a standard manner, so that it can be easily computerized, with three main objectives:

- i) To enable monitoring of the implementation and effectiveness of the Convention;
- ii) To facilitate the identification of major achievements, significant developments, or trends, gaps or problems and possible solutions; and
- iii) To inform on substantive and procedural decision-making by the Conference of the Parties and various subsidiary bodies.

Information on the nature and extent of CITES trade should be incorporated into the annual report, whereas the biennial report should focus on measures taken to implement the Convention.

General principles

- i) The biennial report format that follows is divided into five parts:
 - A. **General information;**
 - B. **Legislative and regulatory measures:** those measures related to laws and regulations;
 - C. **Compliance and enforcement measures:** those measures related to compliance monitoring as well as administrative, civil or criminal enforcement;
 - D. **Administrative measures:** those measures related to the structure and activities of CITES authorities; and
 - E. **General feedback.**
- ii) Each biennial report should cover the period from 1 January of the first year to 31 December of the second year covered by the report. The report should be submitted to the Secretariat by 31 October of the year following the reporting period.
- iii) Biennial reports should be prepared in one of the three working languages of the Convention (English, French, Spanish).
- iv) Parties are encouraged to prepare and submit their biennial reports in electronic form.

Specific instructions

- i) Parties are encouraged to respond to all questions.
- ii) Unless otherwise indicated, responses should reflect measures taken during the reporting period.
- iii) This reporting format is intended to be completed by making use of tick boxes and expandable space.
- iv) The format is designed so that a reporting agency can take as much space as required to give a full answer.
- v) Should you require any clarification in the preparation of the report, please do not hesitate to contact the Secretariat.

A. General information

Party	
Period covered in this report: 1 January 2003 to 31 December 2004	
Details of agency preparing this report	
Contributing agencies, organizations or individuals	

B. Legislative and regulatory measures

1	Has information on CITES-relevant legislation already been provided under the CITES National Legislation Project? If yes, ignore questions 2, 3 and 4.	Yes (fully) <input type="checkbox"/> Yes (partly) <input type="checkbox"/> No <input type="checkbox"/> No information/unknown <input type="checkbox"/>
2	If your country has planned, drafted or enacted any CITES-relevant legislation, please provide the following details: Title and date: _____ Status: _____ Brief description of contents: _____	
3	Is enacted legislation available in one of the working languages of the Convention?	Yes <input type="checkbox"/> No <input type="checkbox"/> No information <input type="checkbox"/>
4	If yes, please attach a copy of the full legislative text or key legislative provisions that were gazetted.	legislation attached <input type="checkbox"/> provided previously <input type="checkbox"/> not available, will send later <input type="checkbox"/>
5	Which of the following issues are addressed by any stricter domestic measures that your country has adopted for CITES-listed species (in accordance with Article XIV of the Convention)?	Tick all applicable
	The conditions for:	The complete prohibition of:
	Yes No No information	Yes No No information
	Trade <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Trade <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	Taking <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Taking <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	Possession <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Possession <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	Transport <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Transport <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	Other (specify) <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Other (specify) <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	Additional comments	

6	What were the results of any review or assessment of the effectiveness of CITES legislation, with regard to the following items? Tick all applicable				
	Item	Adequate	Partially Inadequate	Inadequate	No information
	Powers of CITES authorities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Clarity of legal obligations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Control over CITES trade	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Consistency with existing policy on wildlife management and use	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Coverage of law for all types of offences	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Coverage of law for all types of penalties	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Implementing regulations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Coherence within legislation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (please specify):	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Please provide details if available:					
7	If no review or assessment has taken place, is one planned for the next reporting period?			Yes <input type="checkbox"/>	
				No <input type="checkbox"/>	
			No information <input type="checkbox"/>		
Please provide details if available:					
8	Has there been any review of legislation on the following subjects in relation to implementation of the Convention? Tick all applicable				
	Subject	Yes	No	No information	
	Access to or ownership of natural resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Harvesting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Transporting of live specimens	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Handling and housing of live specimens	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Please provide details if available:					
9	Please provide details of any additional measures taken:				

C. Compliance and enforcement measures

		Yes	No	No information
1	Have any of the following compliance monitoring operations been undertaken?			
	Review of reports and other information provided by traders and producers:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Inspections of traders, producers, markets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Border controls	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (specify)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2	Have any administrative measures (e.g., fines, bans, suspensions) been imposed for CITES-related violations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3	If Yes, please indicate how many and for what types of violations? If available, please attach details as Annex.			
4	Have any significant seizures, confiscations and forfeitures of CITES specimens been made?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5	<p>If information available:</p> <p><input type="checkbox"/> Significant seizures/confiscations</p> <p><input type="checkbox"/> Total seizures/confiscations</p> <p>If possible, please specify per group of species or attach details on annex.</p>	Number		
6	Have there been any criminal prosecutions of significant CITES-related violations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7	If Yes, how many and for what types of violations? If available, please attach details as Annex.			
8	Have there been any other court actions of CITES-related violations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9	If Yes, what were the violations involved and what were the results? Please attach details as Annex.			
10	How were the confiscated specimens generally disposed of?	Tick if applicable		
	– Return to country of export	<input type="checkbox"/>		
	– Public zoos or botanical gardens	<input type="checkbox"/>		
	– Designated rescue centres	<input type="checkbox"/>		
	– Approved, private facilities	<input type="checkbox"/>		
	– Euthanasia	<input type="checkbox"/>		
	– Other (specify)	<input type="checkbox"/>		
	Comments:			
11	Has your country provided to the Secretariat detailed information on significant cases of illegal trade (e.g. through an ECOMESSAGE or other means), or information on convicted illegal traders and persistent offenders?	Yes	<input type="checkbox"/>	
		No	<input type="checkbox"/>	
		Not applicable	<input type="checkbox"/>	
		No information	<input type="checkbox"/>	
	Comments:			
12	Has your country been involved in cooperative enforcement activities with other countries (e.g. exchange of intelligence, technical support, investigative assistance, joint operation, etc.)?	Yes	<input type="checkbox"/>	
		No	<input type="checkbox"/>	
		No information	<input type="checkbox"/>	
13	If Yes, please give a brief description:			
14	Has your country offered any incentives to local communities to assist in the enforcement of CITES legislation, e.g. leading to the arrest and conviction of offenders?	Yes	<input type="checkbox"/>	
		No	<input type="checkbox"/>	
		No information	<input type="checkbox"/>	
15	If Yes, please describe:			
16	Has there been any review or assessment of CITES-related enforcement?	Yes	<input type="checkbox"/>	
		No	<input type="checkbox"/>	
		Not applicable	<input type="checkbox"/>	
		No information	<input type="checkbox"/>	
	Comments:			
17	Please provide details of any additional measures taken:			

D. Administrative measures

D1 Management Authority (MA)

1	Have there been any changes in the designation of or contact information for the MA(s) in your country which are not yet reflected in the CITES Directory?	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
2	If Yes, please use the opportunity to provide those changes here.		
3	If there is more than one MA in your country, has a lead MA been designated?	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
4	If Yes, please name that MA and indicate whether it is identified as the lead MA in the CITES Directory.		
5	How many staff work in each MA?		
6	Can you estimate the percentage of time they spend on CITES related matters? If yes, please give estimation	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
7	What are the skills/expertise of staff within the MA(s)?	Tick if applicable	
	- Administration		<input type="checkbox"/>
	- Biology		<input type="checkbox"/>
	- Economics/trade		<input type="checkbox"/>
	- Law/policy		<input type="checkbox"/>
	- Other (specify)		<input type="checkbox"/>
	- No information		<input type="checkbox"/>
8	Have the MA(s) undertaken or supported any research activities in relation to CITES species or technical issues (e.g. labelling, tagging, species identification) not covered in D2(8) and D2(9)?	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
9	If Yes, please give the species name and provide details of the kind of research involved.		
10	Please provide details of any additional measures taken:		

D2 Scientific Authority (SA)

1	Have there been any changes in the designation of or contact information for the SA(s) in your country which are not yet reflected in the CITES Directory?	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
2	If Yes, please use the opportunity to provide those changes here.		
3	Has your country designated a Scientific Authority independent from the Management Authority?	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
4	What is the structure of the SA(s) in your country?	Tick if applicable	
	- Government institution		<input type="checkbox"/>
	- Academic or research institution		<input type="checkbox"/>
	- Permanent committee		<input type="checkbox"/>
	- Pool of individuals with certain expertise		<input type="checkbox"/>
	- Other (specify)		<input type="checkbox"/>

5	How many staff work in each SA on CITES issues?		
6	Can you estimate the percentage of time they spend on CITES related matters? If yes, please give estimation	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
7	What are the skills/expertise of staff within the SA(s)?	Tick if applicable	
	- Botany		<input type="checkbox"/>
	- Ecology		<input type="checkbox"/>
	- Fisheries		<input type="checkbox"/>
	- Forestry		<input type="checkbox"/>
	- Welfare		<input type="checkbox"/>
	- Zoology		<input type="checkbox"/>
	- Other (specify)		<input type="checkbox"/>
	- No information		<input type="checkbox"/>
8	Have any research activities been undertaken by the SA(s) in relation to CITES species?	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
9	If Yes, please give the species name and provide details of the kind of research involved.		
	Species name	Populations	Distribution
	Off take	Legal trade	Illegal trade
	Other (specify)		
	1		
	2		
	3		
	etc.		
			No information <input type="checkbox"/>
10	Have any project proposals for scientific research been submitted to the Secretariat under Resolution Conf. 12.2?	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
11	Please provide details of any additional measures taken:		

D3 Enforcement Authorities

1	To date, has your country advised the Secretariat of any enforcement authorities that have been designated for the receipt of confidential enforcement information related to CITES?	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
2	If No, please designate them here (with address, phone, fax and email).		
3	Has your country established a specialized unit responsible for CITES-related enforcement (e.g. within the wildlife department, Customs, the police, public prosecutor's office)?	Yes No Under consideration No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
4	If Yes, please state which is the lead agency for enforcement:		
5	Please provide details of any additional measures taken:		

D4 Communication, information management and exchange

1	To what extent is CITES information in your country computerized? Tick if applicable	
	- Monitoring and reporting of data on legal trade	<input type="checkbox"/>
	- Monitoring and reporting of data on illegal trade	<input type="checkbox"/>
	- Permit issuance	<input type="checkbox"/>
	- Not at all	<input type="checkbox"/>
	- Other (specify)	<input type="checkbox"/>
2	Do the following authorities have access to the Internet? Tick if applicable	
	Authority	Please provide details where appropriate
	Yes, continuous and unrestricted access	Yes, but only through a dial-up connection
	Yes, but only through a different office	Some offices only
	Not at all	
	Management Authority	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	Scientific Authority	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	Enforcement Authority	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
3	Do you have an electronic information system providing information on CITES species?	
	Yes	<input type="checkbox"/>
	No	<input type="checkbox"/>
	No information	<input type="checkbox"/>
4	If Yes, does it provide information on: Tick if applicable	
	- Legislation (national, regional or international)?	<input type="checkbox"/>
	- Conservation status (national, regional, international)?	<input type="checkbox"/>
	- Other (please specify)?	<input type="checkbox"/>
5	Is it available through the Internet:	
	Yes	<input type="checkbox"/>
	No	<input type="checkbox"/>
	Not applicable	<input type="checkbox"/>
	No information	<input type="checkbox"/>
	Please provide URL:	
6	Do the following authorities have access to the following publications? Tick if applicable	
	Publication	Management Authority
		Scientific Authority
		Enforcement Authority
		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	<i>2003 Checklist of CITES Species</i> (book)	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	<i>2003 Checklist of CITES Species and Annotated Appendices</i> (CD-ROM)	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	<i>Identification Manual</i>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	<i>CITES Handbook</i>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

7	If not, what problems have been encountered to access to the mentioned information?		
8	Have enforcement authorities reported to the Management Authority on:	Tick if applicable	
	- Mortality in transport?		<input type="checkbox"/>
	- Seizures and confiscations?		<input type="checkbox"/>
	- Discrepancy in number of items in permit and number of items actually traded?		<input type="checkbox"/>
	Comments:		
9	Is there a government website with information on CITES and its requirements?	Yes	<input type="checkbox"/>
		No	<input type="checkbox"/>
		No information	<input type="checkbox"/>
	If Yes, please give the URL:		
10	Have CITES authorities been involved in any of the following activities to bring about better accessibility to and understanding of the Convention's requirements to the wider public?	Tick if applicable	
	- Press releases/conferences		<input type="checkbox"/>
	- Newspaper articles, radio/television appearances		<input type="checkbox"/>
	- Brochures, leaflets		<input type="checkbox"/>
	- Presentations		<input type="checkbox"/>
	- Displays		<input type="checkbox"/>
	- Information at border crossing points		<input type="checkbox"/>
	- Telephone hotline		<input type="checkbox"/>
	- Other (specify)		<input type="checkbox"/>
	Please attach copies of any items as Annex.		
11	Please provide details of any additional measures taken:		

D5 Permitting and registration procedures

1	Have any changes in permit format or the designation and signatures of officials empowered to sign CITES permits/certificates been reported previously to the Secretariat?	Yes	<input type="checkbox"/>	
		No	<input type="checkbox"/>	
		Not applicable	<input type="checkbox"/>	
		No information	<input type="checkbox"/>	
	If no, please provide details of any:			
	Changes in permit format:			
	Changes in designation or signatures of relevant officials:			
2	To date, has your country developed written permit procedures for any of the following?	Tick if applicable		
		Yes	No	No information
	Permit issuance/acceptance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Registration of traders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Registration of producers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3	Please indicate how many CITES documents were issued or denied in the two year period? (Note that actual trade is normally reported in the Annual Report by Parties. This question refers to issued documents).					
	Year 1	Import or introduction from the sea	Export	Re-export	Other	Comments
	How many documents were issued?					
	How many applications were denied because of severe omissions or mis-information?					
	Year 2					
	How many documents were issued?					
	How many applications were denied because of severe omissions or mis-information?					
4	Were any CITES documents that were issued later cancelled and replaced because of severe omissions or mis-information?				Yes	<input type="checkbox"/>
					No	<input type="checkbox"/>
					No information	<input type="checkbox"/>
5	If Yes, please give the reasons for this.					
6	Please give the reasons for rejection of CITES documents from other countries.				Tick if applicable	
	Reason			Yes	No	No information
	Technical violations			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Suspected fraud			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Insufficient basis for finding of non-detriment			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Insufficient basis for finding of legal acquisition			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (specify)			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7	Are harvest and/or export quotas as a management tool in the procedure for issuance of permits?				Yes	<input type="checkbox"/>
					No	<input type="checkbox"/>
					No information	<input type="checkbox"/>
	Comments					
8	How many times has the Scientific Authority been requested to provide opinions?					
9	Has the MA charged fees for permit issuance, registration or related CITES activities?				Tick if applicable	
	– Issuance of CITES documents:				<input type="checkbox"/>	
	– Licensing or registration of operations that produce CITES species:				<input type="checkbox"/>	
	– Harvesting of CITES-listed species :				<input type="checkbox"/>	
	– Use of CITES-listed species:				<input type="checkbox"/>	
	– Assignment of quotas for CITES-listed species:				<input type="checkbox"/>	
	– Importing of CITES-listed species:				<input type="checkbox"/>	
– Other (specify):				<input type="checkbox"/>		
10	If Yes, please provide the amounts of such fees.					

11	Have revenues from fees been used for the implementation of CITES or wildlife conservation? <ul style="list-style-type: none"> - Entirely: <input style="float: right;" type="checkbox"/> - Partly: <input style="float: right;" type="checkbox"/> - Not at all: <input style="float: right;" type="checkbox"/> - Not relevant: <input style="float: right;" type="checkbox"/> Comments:	Tick if applicable
12	Please provide details of any additional measures taken:	

D6 Capacity building

1	Have any of the following activities been undertaken to enhance effectiveness of CITES implementation at the national level?	Tick if applicable																																																															
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 40%;">Increased budget for activities</td> <td style="width: 5%; text-align: center;"><input type="checkbox"/></td> <td style="width: 50%;">Improvement of national networks</td> <td style="width: 5%; text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>Hiring of more staff</td> <td style="text-align: center;"><input type="checkbox"/></td> <td>Purchase of technical equipment for monitoring/enforcement</td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>Development of implementation tools</td> <td style="text-align: center;"><input type="checkbox"/></td> <td>Computerisation</td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td colspan="2">- Other (specify)</td> <td></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> </table>	Increased budget for activities	<input type="checkbox"/>	Improvement of national networks	<input type="checkbox"/>	Hiring of more staff	<input type="checkbox"/>	Purchase of technical equipment for monitoring/enforcement	<input type="checkbox"/>	Development of implementation tools	<input type="checkbox"/>	Computerisation	<input type="checkbox"/>	- Other (specify)			<input type="checkbox"/>																																																
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- Other (specify)			<input type="checkbox"/>																																																														
2	Have the CITES authorities in your country been the <i>recipient</i> of any of the following capacity building activities provided by external sources?																																																																
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 40%; vertical-align: top;"> Please tick boxes to indicate which target group and which activity. </td> <td style="width: 10%; text-align: center; vertical-align: middle;"> Oral or written advice/guidance </td> <td style="width: 10%; text-align: center; vertical-align: middle;"> Technical assistance </td> <td style="width: 10%; text-align: center; vertical-align: middle;"> Financial assistance </td> <td style="width: 10%; text-align: center; vertical-align: middle;"> Training </td> <td style="width: 10%; text-align: center; vertical-align: middle;"> Other (specify) </td> <td style="width: 10%;"></td> </tr> <tr> <td style="text-align: left;">Target group</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td style="text-align: center;"> What were the external sources? </td> </tr> <tr> <td>Staff of Management Authority</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td></td> </tr> <tr> <td>Staff of Scientific Authority</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td></td> </tr> <tr> <td>Staff of enforcement authorities</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td></td> </tr> <tr> <td>Traders</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td></td> </tr> <tr> <td>NGOs</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td></td> </tr> <tr> <td>Public</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td></td> </tr> <tr> <td>Other (specify)</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td></td> </tr> </table>		Please tick boxes to indicate which target group and which activity.	Oral or written advice/guidance	Technical assistance	Financial assistance	Training	Other (specify)		Target group						What were the external sources?	Staff of Management Authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Staff of Scientific Authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Staff of enforcement authorities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Traders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		NGOs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Public	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Other (specify)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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Other (specify)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																																																												

3	Have the CITES authorities in your country been the <i>providers</i> of any of the following capacity building activities?						Details
	Please tick boxes to indicate which target group and which activity.						
	Target group	Oral or written advice/guidance	Technical assistance	Financial assistance	Training	Other (specify)	
	Staff of Management Authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Staff of Scientific Authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Staff of enforcement authorities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Traders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	NGOs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Public	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Other parties/International meetings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Other (specify)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4	Please provide details of any additional measures taken:						

D7 Collaboration/co-operative initiatives

1	Is there an inter-agency or inter-sectoral committee on CITES?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	No information <input type="checkbox"/>				
2	If Yes, which agencies are represented and how often does it meet?							
3	If No, please indicated the frequency of meetings or consultancies used by the MA to ensure co-ordination among CITES authorities (e.g. other MAs, SA(s), Customs, police, others):							
		Daily	Weekly	Monthly	Annually	None	No information	Other (specify)
	Meetings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Consultations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4	At the national level have there been any efforts to collaborate with:	Tick if applicable			Details if available			
	Agencies for development and trade	<input type="checkbox"/>						
	Provincial, state or territorial authorities	<input type="checkbox"/>						
	Local authorities or communities	<input type="checkbox"/>						
	Indigenous peoples	<input type="checkbox"/>						
	Trade or other private sector associations	<input type="checkbox"/>						
	NGOs	<input type="checkbox"/>						
	Other (specify)	<input type="checkbox"/>						

5	To date, have any Memoranda of Understanding or other formal arrangements for institutional cooperation related to CITES been agreed between the MA and the following agencies?	Tick if applicable	
	SA		<input type="checkbox"/>
	Customs		<input type="checkbox"/>
	Police		<input type="checkbox"/>
	Other border authorities (specify)		<input type="checkbox"/>
	Other government agencies		<input type="checkbox"/>
	Private sector bodies		<input type="checkbox"/>
	NGOs		<input type="checkbox"/>
Other (specify)		<input type="checkbox"/>	
6	Has your country participated in any regional activities related to CITES?	Tick if applicable	
	Workshops		<input type="checkbox"/>
	Meetings		<input type="checkbox"/>
	Other (specify)		<input type="checkbox"/>
7	Has your country encouraged any non-Party to accede to the Convention?	Yes	<input type="checkbox"/>
		No	<input type="checkbox"/>
		No information	<input type="checkbox"/>
8	If Yes, which one(s) and in what way?		
9	Has your country provided technical or financial assistance to another country in relation to CITES?	Yes	<input type="checkbox"/>
		No	<input type="checkbox"/>
		No information	<input type="checkbox"/>
10	If Yes, which country(ies) and what kind of assistance was provided?		
11	Has your country provided any data for inclusion in the CITES Identification Manual?	Yes	<input type="checkbox"/>
		No	<input type="checkbox"/>
		No information	<input type="checkbox"/>
12	If Yes, please give a brief description.		
13	Has your country taken measures to achieve co-ordination and reduce duplication of activities between the national authorities for CITES and other multilateral environmental agreements (e.g. the biodiversity-related Conventions)?	Yes	<input type="checkbox"/>
		No	<input type="checkbox"/>
		No information	<input type="checkbox"/>
14	If Yes, please give a brief description.		
15	Please provide details of any additional measures taken:		

D8 Areas for future work

1	Are any of the following activities needed to enhance effectiveness of CITES implementation at the national level and what is the respective level of priority?			
	Activity	High	Medium	Low
	Increased budget for activities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Hiring of more staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Development of implementation tools	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Improvement of national networks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Purchase of new technical equipment for monitoring and enforcement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Computerisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (specify)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2	Has your country encountered any difficulties in implementing specific Resolutions or Decisions adopted by the Conference of the Parties?	Yes	<input type="checkbox"/>	
		No	<input type="checkbox"/>	
		No information	<input type="checkbox"/>	
3	If Yes, which one(s) and what is the main difficulty?			
4	Have any constraints to implementation of the Convention arisen in your country requiring attention or assistance?	Yes	<input type="checkbox"/>	
		No	<input type="checkbox"/>	
		No information	<input type="checkbox"/>	
5	If Yes, please describe the constraint and the type of attention or assistance that is required.			
6	Has your country identified any measures, procedures or mechanisms within the Convention that would benefit from review and/or simplification?	Yes	<input type="checkbox"/>	
		No	<input type="checkbox"/>	
		No information	<input type="checkbox"/>	
7	If Yes, please give a brief description.			
8	Please provide details of any additional measures taken:			

E. General feedback

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

Thank you for completing the form. Please remember to include relevant attachments, referred to in the report. For convenience these are listed again below:

Question	Item		
B4	Copy of full text of CITES-relevant legislation	Enclosed	<input type="checkbox"/>
		Not available	<input type="checkbox"/>
		Not relevant	<input type="checkbox"/>
C3	Details of violations and administrative measures imposed	Enclosed	<input type="checkbox"/>
		Not available	<input type="checkbox"/>
		Not relevant	<input type="checkbox"/>
C5	Details of specimens seized, confiscated or forfeited	Enclosed	<input type="checkbox"/>
		Not available	<input type="checkbox"/>
		Not relevant	<input type="checkbox"/>
C7	Details of violations and results of prosecutions	Enclosed	<input type="checkbox"/>
		Not available	<input type="checkbox"/>
		Not relevant	<input type="checkbox"/>
C9	Details of violations and results of court actions	Enclosed	<input type="checkbox"/>
		Not available	<input type="checkbox"/>
		Not relevant	<input type="checkbox"/>
D4(10)	Details of nationally produced brochures or leaflets on CITES produced for educational or public awareness purposes, Comments	Enclosed	<input type="checkbox"/>
		Not available	<input type="checkbox"/>
		Not relevant	<input type="checkbox"/>