

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



Sixty-fifth meeting of the Standing Committee
Geneva (Switzerland), 7-11 July 2014

Interpretation and implementation of the Convention

Compliance and enforcement

SPECIAL REPORTING REQUIREMENTS

Working Group on Special Reporting Requirements

5th meeting in the margins of the 65th meeting of the Standing Committee
7-10 July 2014, Geneva

This note is written as a single note of a meeting that happened in four sessions in the evenings after conclusion of Plenary.

Monday 7 July

Present: Australia, Botswana, Canada, China, Cote d'Ivoire, Germany, New Zealand, USA, UK (Chair), IUCN, EIA, SSN, CITES Secretariat.

The Chair gave a brief introduction to Document 24.2 on Special Reporting Requirements and Reporting on Trade in Artificially Propagated Plants, noting the importance of making reporting work for Convention processes rather than being a burden. The purpose of the Working Group meeting at SC65 is to particularly focus on a critical scrutiny of the annexes of the paper.

Reporting Requirements

The Group worked sequentially row by row through the reporting requirements in Annex 1 to Document 24.2. Unfortunately the discussion was curtailed at row key 59 (Asian big cats) due to closure of the building.

The Working Group agreed with the draft WG SRR advice and agreed AC/PC advice for each of the reporting requirements examined. The text in Annex 1 will therefore be amended to read 'WG SRR Recommendation to SC' in front of the bold text for these rows.

There was a short discussion of the following reporting requirements:

- Row key 33 (Lost Permits). The group noted the importance of Secretariat being informed as well as the other Party(ies) involved in the individual case, as this would allow patterns to be identified more easily.
- Row key 7 (Regional reports). The group noted that there had been a reasonably large discussion of this at the joint Animals and Plants Committee session in Veracruz in May. There was agreement to retaining the reports provided they were focussed on activities of an individual representative (noting that Party implementation of the Convention should be reported through the implementation report). However it was also agreed that if there were time critical specific items relevant to the discussions at a particular session of a Committee which the Region wished to bring to the attention of that Committee, then that should also be possible.

- Row key 37 (Registered scientific institutions). The register of scientific institutions permitted to operate under Article VII paragraph 6 is seen as important information, and it is incumbent on Management Authorities to check that it is up-to-date for their countries.
- Row key 43 (Convicted traders). The ‘when possible’ in the text of this requirement was seen to be important, as clearly there might be issues about transmission of nominal information outside of secure enforcement channels such as INTERPOL. It was agreed that the Secretariat should be asked for information about how frequently reports had been provided.
- Row key 78 (Agarwood-producing taxa). The time-bound nature of the requirement was noted.

Tuesday 8 July

Present: Canada, China, Colombia, European Union, Germany, Mexico, New Zealand, Switzerland, USA, UK (Chair), UNEP-WCMC, IUCN, EIA, SSN, CITES Secretariat.

The working group continued its deliberations of Annex 1 to Document 24.2, commencing with Row key 16 (Cetaceans). The Working Group agreed with the draft WG SRR advice and agreed AC/PC advice for each of the reporting requirements examined with the exception of the following:

- Row key 16 (Cetaceans). A number of Parties wished to keep the reporting requirement, so the Recommendation was changed to ‘Maintain’.
- Row key 56 (Pangolins). Although Decision 16.41 is time limited to SC65, it was felt that this is a live issue and that the requirement should be maintained subject to Standing Committee’s decision on the Pangolins papers in the meeting.

The text in Annex 1 will therefore be amended to read ‘WG SRR Recommendation to SC’ in front of the bold text for these rows, and the Recommendation to ‘Maintain’ for both Row keys 16 and 56.

Comments were also made on the following requirements:

- Row key 63 (Rhinos). It was noted that IUCN and TRAFFIC had identified a clear set of information to report based on Resolution Conf. 9.14.
- Row keys 69 and 77 (Snake trade). It was noted that more information about parts and derivatives was needed.
- Row key 19 (Sturgeon certificates). Given the zero quotas for the wild now implemented, it was noted that trade is based on farmed stock and that the reporting requirement can be deleted.
- Row key 67 (Tibetan antelope). It was noted that reporting with the implementation report would be rather long after the event, and that this perhaps needed to be brought into the considerations on reporting illegal trade.

Following the review of Annex 1, five reporting requirements were marked for deletion (row key 4 on marking of live animals, row key 9 on plants, row key 27 on tortoise, row key 19 on sturgeons / certificates, and row key 44 on Tibetan antelope), leaving 52 requirements remaining in the spreadsheet. It was noted that for the requirements recommended for deletion which are based on a Resolution a proposal for the change would need to be part of a paper to the next Conference of the Parties.

Strategic Vision indicators and proposed Implementation report format

The working group then started examining Annexes 2 and 3 of document 24.2 which relate to changes to the Strategic Vision indicators and a revised proposal for a format for the new implementation report. These are intimately linked so were discussed in parallel.

After some discussion of the first question it became clear that more clarity of how the indicators would be implemented would help Parties to understand how the questions in the report compliment information gathered through other processes – such as information already provided to or maintained by the CITES Secretariat in reporting progress against the CITES Strategic Vision. It was agreed that some extra text should

be inserted into the report format to clarify this. Comments were made on some specific indicators and questions:

- Indicator 1.2.1, question 1.2.1b it was noted that the text 'if want to' should be edited to make it clear that this relates to the desire of Parties to move to e-permitting, rather than to whether Parties wish to answer the question!
- Indicator 1.3.1, a recommendation was made that a graded scale should be used rather than a yes/no type of answer.

Wednesday 9 July

Present: Australia, Canada, China, Germany, Kenya, Mexico, New Zealand, UK (Chair), USA, UNEP-WCMC, UNODC, EIA, SSN, CITES Secretariat.

The Working Group continued its discussions of Annexes 2 and 3 of SC65 Document 24.2. The Chair noted that it seemed sensible to put the details in the annexes out for consultation via a Notification. The working group agreed with this approach.

Comments were made on the following questions or indicators:

- Question 2.2.1b: It was suggested that the wording of this question should be tweaked to clarify that it relates to performance against service standards.
- Question 1.5.1b: It was suggested that some sort of categorisation should be provided for this question.
- Indicator 1.4.2: There was considerable discussion of the proposal to delete this indicator as it was seen as unimplementable as previously stated. A number of possibilities were considered, including tracking the periodic review of species listed on the Appendices of the Convention, projects undertaken by Parties to consider which species might be appropriate for a listing proposal, but it was recognised that there the Objective could be read to focus on just the species currently listed on the appendices, or all species. It was also recognised that there is no overall process for a strategic review of unlisted species. The Working Group concluded that a 'free text' box which allows Parties to report if they have undertaken any reviews might be helpful rather than seeking to collect data for an indicator – which might be very variable and cause difficulties in interpretation of any trends.
- Indicator 1.5.3: Concern was expressed about the proposed revision to the indicator, as basing quotas on science was seen as important in making effective non-detriment findings. It was decided to revert to the original indicator and to adjust the questions asked in the report format accordingly.
- Indicators 1.7.3 and 1.7.4. It was noted that the use of the word 'criminal' has translation problems to Spanish and that the word should either be deleted or qualified as 'criminal (penal) law'.
- Question 1.7.3a: It was suggested that an extra follow-on question should be added along the lines of 'if yes, please provide a summary of the penalties available'.
- Concern was expressed whether the questions under objective 1.7 on enforcement could be concluded given the need for further discussion of reporting illegal trade, and the special report required from Parties under Decision 16.43.
- It was noted that it might be helpful to have another column in Annex 2 to indicate which information to implement the indicators would come from existing information sources rather than the implementation report.

Reporting illegal trade

The working group commenced consideration of the issue of reporting illegal trade by the Secretariat explaining the work done to date to implement Decision 16.43 paragraph b) on a special report on illegal trade and UNODC explaining the global research effort they are undertaking on wildlife crime with a report planned by the end of 2015. The Secretariat explained that they had been considering a possible format for the report required under Decision 16.43 from a summary perspective, but had re-considered following discussions with UNODC

in terms of the greater potential for analysis and in-depth reporting that would be offered by requesting seizure data on an incident by incident basis.

The Working Group was asked to consider a possible matrix for requesting data for the CITES report and noted that this would also help the UNODC research effort. It was noted that the existing code '1' in annual trade reports offered some data, though it might not be consistently used. More specific data is included in certain biennial reports. Some concerns were expressed that using such a matrix might not focus on the key issues for CITES, the perceived confidentiality of certain information being requested and the effort required to analyse large quantities of data.

Thursday 10 July

Present: Australia, Canada, China, Germany, Kenya, USA, UK (Chair), UNEP-WCMC, UNODC, EIA, SSN, CITES Secretariat.

The Working Group continued its discussions of a possible format for the special report on illegal trade. A number of Parties felt that providing detailed seizures data to UNODC for analysis should be possible subject to discussion with enforcement colleagues, and provided the effort involved in providing the data was minimal (noting Parties do not have spare capacity for extra work; that the intention is not to increase the reporting burden; and limited resources, either in time, fund or staff with appropriate expertise in developing countries).

The importance of getting a better picture of illegal wildlife trade was recognised by some members of the WG, although some members considered that this is not directly linked with collecting and analyzing a very complicated and huge quantity of data. The opportunity of working with UNODC was welcomed by some members, but while collecting feedback on the Working Group report, a member also advised that, they welcome ICCWC playing a more active role in combating illegal trafficking subject to a clear operational mechanism decided by the CITES CoP, and a consolidated mandate or TOR of any organization in this regard needs to be decided by the CoP before taking on any analysis on these sensitive data.

It was agreed that analyses based on the currently available mechanism of data collecting should be used to avoid duplication, but that testing the more detailed matrix might also be undertaken as a pilot to examine the feasibility of more detailed data collection.

Annex 1. CITES Reporting Requirements, and draft recommendations on whether they should be maintained or deleted.

Row Key is the number of the reporting requirement in the spreadsheet developed by the Working Group on Special Reporting Requirements (WG SRR), and is included to allow cross reference with the spreadsheet, which is the master version of this information. If any reader wishes to have access to the actual spreadsheet they are recommended to contact the Chair of the Working Group via the Secretariat.

SC = Standing Committee, AC = Animals Committee, PC = Plants Committee. A '1' in any of these columns indicates that the relevant committee should review the requirement and provide comment in the last column of the table on whether it is (a) still current and valid or (b) outdated or otherwise unnecessary, and therefore no longer required (see paragraph 16 of this document). For those rows reviewed by the Animals and Plants Committees the phrase 'Agreed AC/PC advice' is used in the last column, otherwise the draft recommendation is from the WG SRR.

Row key	Short subject	Text of requirement	Links	Categorisation	S C	A C	P C	WG SRR or AC/PC recommendation
1	Annual and Implementation Reports	Wording from Res Conf 11.17 (Rev CoP16): URGES all Parties to submit their annual reports required under the provisions of Article VIII, paragraph 7 (a), by 31 October following the year for which they are due and in accordance with the most recent version of the Guidelines for the preparation and submission of CITES annual reports distributed by the Secretariat, as may be amended with the concurrence of the Standing Committee; URGES all Parties to submit their reports required under the provisions of Article VIII, paragraph 7 (b), one year before each meeting of the Conference of the Parties, beginning with the 17th meeting of the Conference of the Parties and in accordance with the report format distributed by the Secretariat, as may be amended by the Secretariat from time to time with the concurrence of the Standing Committee;	Article VIII, paragraph 7 Res. Conf. 11.17 (Rev. CoP16) Res. Conf. 4.6 (Rev. CoP16) Notification 2011/019 Notification 2006/005 Notification 2005/035	1. Essential	1			<u>WG SRR Recommendation to SC: Maintain.</u> These are the core and legally-binding reporting requirements of the Convention. Note alterations to annual and Implementation reports through changes to Res. Conf 11.17 at CoP16. <i>WG SRR advice = (a)</i>
13	National legislation programme	Wording from Res Conf 8.4 (Rev CoP15): URGES all Parties that have not adopted appropriate measures for effective implementation of the Convention to do so and inform the Secretariat when such measures have been adopted	Res. Conf. 8.4 (Rev. CoP15)	1. Essential	1			<u>WG SRR Recommendation to SC Maintain.</u> This is an important element of the Convention, and aspects of it are legally-binding as reflected in paragraphs 1 and 7 of Article VIII. Certain information should be submitted under a compliance programme known as the National Legislation Project (NLP; see Decisions 16.33 and 16.34 below). Parties with legislation in Category 2 or 3 under the NLP should be reporting on their progress to achieve Category 1 status. Parties with Category 1 legislation might treat this as an ongoing requirement for information to be

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								provided if changes have occurred. <i>WG SRR advice = (a)</i>
34	Reservations	During the period of 90 days provided for by sub-paragraph (c) of paragraph 1 or sub-paragraph (l) of paragraph 2 of this Article any Party may by notification in writing to the Depositary Government make a reservation with respect to the amendment. Until such reservation is withdrawn the Party shall be treated as a State not a Party to the present Convention with respect to trade in the species concerned	Article XXIII Article XV.3, Article XVI.2 Res. Conf. 9.25 (Rev. CoP16)	1. Essential	1			<u>WG SRR Recommendation to SC Maintain.</u> This is an important element of the Convention and aspects of it are legally-binding. Treat as information which needs to be provided if changes have occurred. <i>WG SRR advice = (a)</i>
2	Responses to Secretariat's requests	The functions of the Secretariat shall be to study the reports of Parties and to request from Parties such further information with respect thereto as it deems necessary to ensure implementation of the present Convention;	Article XII, paragraph 2(d)	1. Essential	1			<u>WG SRR Recommendation to SC Maintain.</u> A legally-binding mechanism for Secretariat to request information from Parties. This is important to maintain the running of the Convention. Treat as information which needs to be provided if the situation has occurred. <i>WG SRR advice = (a)</i>
52	Artificial agarwood production	RECOMMENDS exporting States to establish a registration system of exporters who export pure or mixed oil of agarwood. Samples of the labels used and lists of relevant exporters should be communicated to the Secretariat by exporting States, and then be provided to all Parties through a Notification	Res Conf 16.10	2. Implementation	1			<u>WG SRR Recommendation to SC Maintain.</u> The control of international trade in agarwood is an important issue under the Convention at present and this recommendation should assist with such control. <i>WG SRR advice = (a)</i>
18	Caviar processing / re-packaging plants	RECOMMENDS, with regard to regulating trade in sturgeon products, that each importing, exporting and re-exporting Party establish, where consistent with national law, a registration system for caviar processing plants, including aquaculture operations, and repackaging plants in its territory and provide to the Secretariat the list of these facilities and their official registration codes. The list should be updated when changes occur and communicated to the Secretariat without delay. The Secretariat should distribute this information via a Notification to the Parties and include it in its register on the CITES website	Res. Conf. 12.7 (Rev. CoP16)	2. Implementation	1			<u>WG SRR Recommendation to SC Maintain.</u> Caviar is a high value product and therefore there is the potential for fraud in, or for overexploitation through, international trade. Clarity should be provided whether this covers other sturgeon and paddlefish products. <i>WG SRR advice = (a)</i>
39	Compliance	Wording from Res Conf 11.3 (Rev CoP16):	Article XIII	2. Implementation	1			<u>WG SRR Recommendation to SC</u>

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		RECOMMENDS that when, in application of Article XIII of the Convention and Resolution Conf. 14.3 on CITES compliance procedures, the Secretariat requests information on a potential compliance matter, Parties reply within one month or, if this is impossible, acknowledge within the month and indicate a date, even an approximate one, by which they consider it will be possible to provide the information requested;	Res. Conf. 14.3 Res. Conf. 11.3 (Rev. CoP16)					Maintain. This is linked to a legally-binding provision of the Convention and is important for the efficient functioning of the Convention. Treat as information which needs to be provided if a Secretariat request has been made. <i>WG SRR advice = (a)</i>
31	Enforcement authorities	Parties, as a matter of urgency, inform the Secretariat of contact details of their relevant national law-enforcement agencies responsible for investigating illegal trafficking in wild fauna and flora	Res. Conf. 11.3 (Rev. CoP16)	2. Implementation	1			<u>WG SRR Recommendation to SC</u> Maintain. Treat as administrative information which needs to be provided if changes have occurred. <i>WG SRR advice = (a)</i>
42	Export quotas	In accordance with Resolution Conf. 12.3 (Rev. CoP15), Parties should inform the CITES Secretariat of their nationally established export quotas and of revisions of such quotas. Such information can be provided at any time but, as far as possible, should be communicated at least 30 days before the start of the period to which the export quota relates	Res. Conf. 14.7 (Rev. CoP15)	2. Implementation	1	1	1	<u>WG SRR Recommendation to SC</u> Maintain. Still current and valid. <i>Agreed AC/PC advice = (a)</i>
58	Introduction from the sea - chartering	Parties taking advantage of the provision on chartering arrangements provided for in Resolution Conf. 14.6 (Rev. CoP16) should provide in a timely manner all information that might be requested from them by the Secretariat in view of the establishment of its report on this issue at the 65th and 66th meetings of the Standing Committee	Decision 16.49	2. Implementation	1			<u>WG SRR Recommendation to SC</u> Maintain. This is a new provision which has resulted from extensive discussions within the Convention. The reporting requirement is time limited to SC66. <i>WG SRR advice = (a)</i>
33	Lost permits	When a permit or certificate has been cancelled, lost, stolen or destroyed, the issuing Management Authority immediately inform the Management Authority of the country of destination, as well as the Secretariat regarding commercial shipments	Res. Conf. 12.3 (Rev. CoP16)	2. Implementation	1			<u>WG SRR Recommendation to SC</u> Maintain. This is important for the efficient functioning of the Convention. Treat as administrative information which needs to be provided if the relevant situation has arisen. <i>WG SRR advice = (a)</i>
30	Management and scientific authorities	A State depositing an instrument of ratification, acceptance, approval or accession shall at that time inform the Depositary Government of the name and address of the Management Authority authorized to communicate with other Parties and with the	Article IX	2. Implementation	1			<u>WG SRR Recommendation to SC</u> Maintain. Treat as administrative information which needs to be provided if changes have occurred.

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		Secretariat. Any changes in the designations or authorizations under the provisions of this Article shall be communicated by the Party concerned to the Secretariat for transmission to all other Parties.						<i>WG SRR advice = (a)</i>
4	Marking of live animals	(b) The Management Authority of each Party to inform all known manufacturers of microchip-implants and associated equipment on its territory about the present Resolution, urge them to strive towards the production of compatible equipment that can be applied universally and ask them for information about their products compatible with CITES needs; and to advise the Secretariat about the results, for the information of the Parties (c) the Animals Committee to monitor developments in microchip-implant technology and application techniques and to advise the Secretariat about such developments, for the information of the Parties.	Res. Conf. 8.13 (Rev.)	2. Implementation	1	1		<u>WG SRR Recommendation to SC Delete.</u> No longer required. (c) not considered to be a reporting requirement. <i>Agreed AC/PC advice = (b)</i>
54	National laws for implementation of the Convention	By the 66th meeting of the Standing Committee (SC66), Parties whose legislation is in Category 2 or 3 under the National Legislation Project and which have been party to the Convention for more than five years as of March 2013 should submit to the Secretariat, in one of the working languages of the Convention, appropriate measures that have been adopted for effective implementation of the Convention.	Decision 16.33	2. Implementation	1			<u>WG SRR Recommendation to SC Maintain.</u> As indicated in Row key 13 above, this is a NLP-related provision to aid the efficient functioning of the Convention. Links should be made between Decisions 16.33 and 16.34. <i>WG SRR advice = (a)</i>
55	National laws for implementation of the Convention	For any Party affected by Decision 16.33 that has been party to the Convention for less than 20 years, should exceptional circumstances prevent them from adopting appropriate measures for effective implementation of the Convention, that Party should advise the Secretariat in writing of those exceptional circumstances by SC66.	Decision 16.34	2. Implementation	1			<u>WG SRR Recommendation to SC Maintain.</u> As indicated in Row key 13 above, this is a NLP-related provision to aid the efficient functioning of the Convention. Links should be made between Decisions 16.33 and 16.34. <i>WG SRR advice = (a)</i>
38	Nurseries	Any Management Authority that wishes to register any commercial nursery artificially propagating specimens of species included in Appendix I for export purposes shall provide to the Secretariat, for inclusion in its Register, all appropriate information to obtain and maintain the registration of each such nursery.	Res. Conf. 9.19 (Rev. CoP15)	2. Implementation			1	<u>WG SRR Recommendation to SC Maintain.</u> Still current and valid. <i>Agreed AC/PC advice = (a)</i>
40	Personal and household effects	Wording from Notification 2006/041: In Notification to the Parties No. 2005/016 of 22 March 2005 on Party-specific information, the Secretariat reminded Parties of the need to advise it whether export permits are	Article VII paragraph 3 Notification 2006/041	2. Implementation	1			<u>WG SRR Recommendation to SC Maintain.</u> Treat as administrative information which

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		needed for the movement of personal effects of Appendix-II species. The Secretariat urges Parties that have not yet done so to provide information on their legislation or practice regarding personal and household effects.						needs to be provided if changes have occurred. <i>WG SRR advice = (a)</i>
41	Personally owned live animals	Parties maintain records of the number of certificates of ownership issued under this Resolution and if possible include the certificate numbers and the scientific names of the species concerned in their annual reports.	Res. Conf. 10.20	2. Implementation	1			<u>WG SRR Recommendation to SC Maintain.</u> This is important for the efficient functioning of the Convention. It should become part of the annual report. <i>WG SRR advice = (a)</i>
9	Plants	RECOMMENDS that Parties develop and maintain a good liaison with national plant-trade organizations, to inform them about all aspects of the implementation of CITES for plants, and to communicate to the Secretariat specific implementation problems presented by these national organizations, for consideration by the Plants Committee	Res. Conf. 11.11 (Rev. CoP15)	2. Implementation			1	<u>WG SRR Recommendation to SC Delete</u> last part of paragraph: ' <i>and to communicate to the Secretariat specific implementation problems presented by these national organizations, for consideration by the Plants Committee</i> '. <i>Agreed AC/PC advice = (b)</i>
11	Ranching	Annual reports on all relevant aspects of each approved ranching operation be submitted to the Secretariat by the Party concerned, including the following: i) the status of the wild population concerned established by monitoring at an appropriate frequency and with sufficient precision to allow recognition of changes in population size and structure owing to ranching; ii) the number of specimens (eggs, young or adults) taken annually from the wild and the percentage of this off take used to supply ranching operations; and iii) details of the annual production levels, and product types and quantity produced for export;	Res. Conf. 11.16 (Rev. CoP15)	2. Implementation	1	1		<u>WG SRR Recommendation to SC Maintain.</u> Still current and valid. Consideration should be given to extending the timeline – for example by incorporating into implementation reports. <i>Agreed AC/PC advice = (a)</i>
7	Regional reports	RESOLVES that the duties of members elected by the regions of the Animals and Plants Committees and their alternates are as follows: the members should submit a written report, covering the preceding period, to each meeting of the Committee;	Res. Conf. 11.1 (Rev. CoP16); See AC Doc.25 6.7	2. Implementation	1	1	1	<u>WG SRR Recommendation to SC Maintain.</u> However AC / PC might want to review the content of the reports and how reports are presented to the Committee. <i>Agreed AC/PC advice = (a)</i>
36	Registered operations	The Management Authority shall provide the Secretariat with appropriate information to obtain, and	Res. Conf. 12.10 (Rev. CoP15)	2. Implementation	1	1	1	<u>WG SRR Recommendation to SC Maintain.</u>

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		to maintain, the registration of each captive-breeding operation as set out in Annex 1.						Still current and valid. <i>Agreed AC/PC advice = (a)</i>
37	Registered scientific institutions	Wording from Conf Res 11.15: Each Management Authority should communicate to the Secretariat as soon as practicable the names and addresses of those scientific institutions so registered, and the Secretariat without delay then communicate this information to all other Parties.	Article VII, paragraph 6 Conf Res 11.15	2. Implementation	1	1	1	<u>WG SRR Recommendation to SC Maintain.</u> Still current and valid. WG SRR suggest this could be treated as administrative information which needs to be provided if changes have occurred. <i>Agreed AC/PC advice = (a)</i>
57	Reporting requirements	Parties should: a) submit the report for 2013-2014 using the revised format agreed at the 65th meeting of the Standing Committee (SC65) for reporting under the provisions of Article VIII, paragraph 7 (b), of the Convention; and b) submit a special report by 30 June 2014, using a format provided by the Secretariat, which provides statistical information for the calendar year 2013 on: administrative measures (e.g. fines, bans, suspensions) imposed for CITES-related violations; significant seizures, confiscations and forfeitures of CITES specimens; criminal prosecutions or other court actions; and disposal of confiscated specimens	Decision 16.43	2. Implementation	1			<u>WG SRR Recommendation to SC Maintain.</u> This is a new requirement for operationalizing the new implementation report to be adopted at SC65 and to maintain information about enforcement activities while considering possible revisions to the annual report and changing to the new implementation report. <i>WG SRR advice = (a)</i>
32	Sample documents	Parties that have not yet done so communicate to the Secretariat the names of the persons empowered to sign permits and certificates, as well as three specimens of their signatures, and that all the Parties communicate, within one month of any change thereto, the names of persons who have been added to the list of those already empowered to sign, the names of persons whose signatures are no longer valid and the dates the changes took effect. Any Party using phytosanitary certificates as certificates of artificial propagation inform the Secretariat and provide copies of the certificates, stamps, seals, etc. that are used. Parties send to the Secretariat copies of permits, electronic and paper, issued for species subject to quotas if so requested by the Conference of the Parties, the Standing Committee or the Secretariat.	Res. Conf. 12.3 (Rev. CoP16)	2. Implementation	1			<u>WG SRR Recommendation to SC Maintain.</u> This is important for efficient functioning of the Convention. Treat as administrative information which needs to be provided if changes have occurred. <i>WG SRR advice = (a)</i>
3	Stricter domestic measures	Wording from Res Conf 12.3 (Rev CoP16): each Party inform the other Parties, direct or through the Secretariat, of any stricter internal measures it has taken under Article XIV, paragraph 1 (a), of the	Article 14, paragraph 1 Res. Conf. 4.22 Res Conf 6.7? Res Conf 12.3 (Rev CoP16)	2. Implementation	1			<u>WG SRR Recommendation to SC Maintain.</u> This is important for efficient functioning of the Convention. Treat as administrative

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		Convention, and that, when a Party is informed of this, it refrain from issuing permits and certificates that run counter to these measures						information which needs to be provided if changes have occurred. <i>WG SRR advice = (a)</i>
49	e-commerce	Parties are urged to: a) submit information to the CITES Secretariat on best practices and on websites adhering to codes of conduct for posting on the CITES website; b) publish results of scientific research on correlations between use of the Internet and the rate of wildlife crime, and share these results with the CITES Secretariat; c) assess the extent of and trends in commerce of CITES-listed species via the Internet, and submit such information to the Secretariat for analysis; and d) submit information to the CITES Secretariat for analysis on any changes in trade routes and methods of shipment that have been	Decision 15.57	3. Ongoing work	1			<u>WG SRR Recommendation to SC Maintain.</u> The use of e-commerce for CITES trade is still under review and is the subject of a Standing Committee Working Group. <i>WG SRR advice = (a)</i>
12	Review of significant trade	The Secretariat shall, within 30 days after the meeting of the Animals or Plants Committee at which species are selected, notify range States of the species selected, providing an explanation for this selection and requesting comments regarding possible problems of implementing Article IV identified by the Committee. Range States shall be given 60 days to respond; the Secretariat shall report to the Animals or Plants Committee on the response of the range States concerned, including any other pertinent information	Res. Conf 12.8 (Rev. CoP13)	3. Ongoing work	1	1	1	<u>WG SRR Recommendation to SC Maintain.</u> Still current and valid. This is an important on-going process. <i>Agreed AC/PC advice = (a)</i>
43	Convicted traders	Parties inform the Secretariat, when possible, about convicted illegal traders and persistent offenders	Res. Conf. 11.3 (Rev. CoP16)	4. Enforcement	1			<u>WG SRR Recommendation to SC Maintain.</u> This is important for the efficient functioning of the Convention. However, clarity is needed on what is required (as compared to what may go through secure channels). Treat as administrative information which needs to be provided if changes have occurred. <i>WG SRR advice = (a)</i>
8	Significant seizures	Parties provide to the Secretariat detailed information on significant cases of illegal trade	Res. Conf. 11.3 (Rev. CoP16) Notification 2009/028	4. Enforcement	1			<u>WG SRR Recommendation to SC Maintain.</u> These data are helpful for enforcement authorities as alerts can be issued for other Parties. Clarity is needed on what is

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								defined as significant. There are numerous channels where this information can be reported, so clarity is also needed on how this should be reported. Note the link to Row key 57 above. Could be addressed in possible revisions to annual / implementation reports through other work of the WG SRR. <i>WG SRR advice = (a)</i>
27	Tortoise	Commercial trade in specimens of this species is apparently taking place on some parts of the world. The CITES Management Authority of Madagascar has advised the Secretariat that no export permit has ever been issued to authorize exports of specimens of this species for commercial trade but only for scientific purposes. In view of the above information, the Secretariat recommends that any trade in this species should be investigated and be reported to the Secretariat	Notification 2004/44	4. Enforcement		1		<u>WG SRR Recommendation to SC Delete.</u> Notification is 10 years old, relating to the endemic <i>Geochelone yniphora</i> . Madagascar have confirmed the reporting requirement is no longer required. <i>Agreed AC/PC advice = (b)</i>
78	Agarwood-producing taxa	The Plants Committee shall monitor the implementation of Resolution Conf. 16.10 (Implementation of the Convention for agarwood-producing taxa) to assess any potential conservation impacts to the long-term survival of agarwood-producing species and possible problems arising from the implementation, and shall report on these issues at the 17th meeting of the Conference of the Parties.	Decision 16.157	5. Species		1		<u>WG SRR Recommendation to SC Maintain</u> Still current and valid. WG SRR suggest considering how best to obtain information needed for PC assessment (e.g. workshop reports and discussion rather than a Notification as recommended in document PC21 Doc. 18.5). <i>Agreed AC/PC advice = (a)</i>
59	Asian big cats	Decision 16.68 All Parties, particularly Appendix-I Asian big cat range States, are encouraged to: a) support the activities to be conducted in compliance with Decision 16.70, paragraph c), to enable the Secretariat to prepare a report with findings and recommendations, including reporting on the implementation of Resolution Conf. 12.5 (Rev. CoP16) (Conservation of and trade in tigers and other Appendix-I Asian big cat species), at the 65th meeting of the Standing Committee; and b) provide information on incidents of poaching of and illegal trade in all Asian big cat species, including their parts and derivatives, which will enable the compilation of a report for the law enforcement	Res. Conf. 12.5 (Rev. Cop16) Decision 16.68	5. Species		1		<u>WG SRR Recommendation to SC Maintain.</u> Still current and valid. Note language from Decision 16.68 a) and b), and cross reference to Res. Conf. 12.5. Notification to the Parties No. 2013/037 (27 August 2013) was issued to clarify what needs to be reported, by whom, and when. <i>WG SRR advice = (a)</i>

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		community, in compliance with Decision 16.70, paragraph d). Res. Conf. 12.5 (Rev. Cop16) Urges: (d) all range States and other relevant Parties to implement systems for the recording of information relating to illegal trade in Asian big cats and to share this information as appropriate to ensure coordinated investigations and enforcement; INSTRUCTS the Secretariat to: a) report to the Standing Committee and the Conference of the Parties on the status of Asian big cats in the wild, their conservation, and trade controls in place in Parties, using information provided by the range States on measures taken to comply with this Resolution and related relevant Decisions and any relevant additional information provided by relevant countries;						
16	Cetaceans	URGES every country concerned to submit to the CITES Secretariat any information relevant to its inventory of whale parts and derivatives and to examination of unknown whale products, for dissemination by the Secretariat to interested Parties upon request	Res. Conf. 11.4 (Rev. CoP12)	5. Species	1			<u>WG SRR Recommendation to SC Maintain.</u> Delete. It is unclear if this is still needed. <i>WG SRR advice = (b)</i>
15	Elephants	Regarding trade in elephant specimens: URGES e) those Parties in whose jurisdiction there is an ivory carving industry, a legal domestic trade in ivory, an unregulated market for or illegal trade in ivory, or where ivory stockpiles exist, and Parties that may be designated as ivory importing countries, to ensure that they have put in place comprehensive internal legislative, regulatory, enforcement and other measures to maintain an inventory of government-held stockpiles of ivory and, where possible, of significant privately held stockpiles of ivory within their territory, and inform the Secretariat of the level of this stock each year before 28 February, indicating: the number of pieces and their weight per type of ivory (raw or worked); for relevant pieces, and if marked, their markings in accordance with the provisions of this Resolution; the source of the ivory; and the reasons for any significant changes in the stockpile compared to the preceding year	Res. Conf. 10.10 (Rev. CoP16)	5. Species	1			<u>WG SRR Recommendation to SC Maintain.</u> This is a live and high profile issue. There is a possible link with Ivory Action Plans. This requirement is potentially gathering a lot of information, so clarity is needed on what needs to be reported, when, and by whom. <i>Draft WG SRR advice = (a)</i>

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		Regarding quotas for trade in raw ivory as part of elephant hunting trophies: RECOMMENDS that b) each export quota be communicated to the CITES Secretariat in writing by 1 December for the following calendar year (1 January to 31 December); Details of submitting information to the MIKE and ETIS programmes are provided in Annexes 1 and 2 of Res. Conf. 10.10 (Rev. CoP16).						
61	Elephants and ivory	Wording from Dec 16.79 & 16.80 - Subject to external funding, the Secretariat shall contact each Party identified in document CoP16 Doc. 53.2.2 (Rev. 1) (ETIS report of TRAFFIC) as being of 'secondary concern' (Cameroon, the Congo, the Democratic Republic of the Congo, Egypt, Ethiopia, Gabon, Mozambique and Nigeria) & of being 'importance to watch' (Angola, Cambodia, Japan, the Lao People's Democratic Republic, Qatar and the United Arab Emirates) to seek clarification on their implementation of CITES and other provisions concerning control of trade in elephant ivory and ivory markets, and report its findings and recommendations	Decision 16.79 & Decision 16.80	5. Species	1			<u>WG SRR Recommendation to SC Maintain.</u> This is a live and high profile issue. There is a possible link with Ivory Action Plans. This requirement is potentially gathering a lot of information, so clarity is needed on what needs to be reported, when, and by whom. <i>WG SRR advice = (a)</i>
60	Leopards	Parties shall, by the 66th meeting of the Standing Committee, submit a report to the Secretariat on the implementation of the system as set out in paragraphs c) to j) of Resolution Conf. 10.14 (Rev. CoP16), including details of any problems with the processing of CITES documents, the management and tracking system in general, and the system in place to replace lost or damaged tags	Decision 16.76	5. Species	1			<u>WG SRR Recommendation to SC Maintain.</u> This is an issue that has been the subject of recent discussion in CITES. The requirement is time limited to SC66. <i>WG SRR advice = (a)</i>
56	Pangolins	All range States for Asian pangolin species are requested to compile information on the conservation of and illegal trade in Asian pangolins, and their efforts to address such trade, and to report at the 65th meeting of Standing Committee, subject to available resources for the purpose	Decision 16.41	5. Species	1			<u>WG SRR Recommendation to SC Maintain.</u> Delete. This is an issue that has been the subject of recent discussion in CITES. However the requirement is time limited to SC65. <i>WG SRR advice = (b)</i>
75	Queen conch	Range States of <i>S. gigas</i> should: a) in coordination with the Working Group on Queen Conch mentioned in Decision 16.141, develop conversion factors at different levels of processing of <i>S. gigas</i> for standardization of data and reporting instruments on the catch and trade in meat and other	Decision 16.143	5. Species	1	1		<u>WG SRR Recommendation to SC Maintain.</u> Still current and valid. WG SRR note that reports are due by the end of 2015; a decision on whether to delete the

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		products; b) adopt these conversion factors by the end of 2015 and report them to all range States of <i>S. gigas</i> , FAO and the CITES Secretariat; and c) by the end of 2016, apply the agreed conversion factors in their <i>S. gigas</i> fishery management and national, regional and international reporting, and include the degree of processing of <i>S. gigas</i> products in the description field of the export permit						requirement should be taken in 2016. <i>Agreed AC/PC advice = (a)</i>
14	Rhinos	RECOMMENDS that the IUCN/SSC African and Asian Rhino Specialist Groups and TRAFFIC submit at least six months before each meeting of the Conference of the Parties a written report to the Secretariat on: a) the national and continental conservation status of African and Asian rhinoceros species; b) trade in specimens of rhinoceroses; c) stocks of specimens of rhinoceroses and stock management; d) incidents of illegal killing of rhinoceroses; e) enforcement issues; f) conservation actions and management strategies with an evaluation of their effectiveness; and g) measures by implicated States to end the illegal use and consumption of rhinoceros parts and derivatives	Res Conf. 9.14 (Rev CoP15)	5. Species	1	1		<u>WG SRR Recommendation to SC Maintain.</u> Still current and valid. This is a live and high profile issue. WG SRR note that this requirement is potentially gathering a lot of information, so clarity is needed on what needs to be reported, when, and by whom. <i>Agreed AC/PC advice = (a)</i>
63	Rhinos	All Parties should: a) immediately bring every seizure of illegal rhinoceros specimens made within their territories to the attention of authorities in countries of origin, transit and destination, as applicable, and to the attention of the Secretariat. Information on the seizure should be accompanied by available associated information, to enable follow-up investigations to take place; b) notify the CITES Secretariat of seizures of rhinoceros horn for which the origin cannot be determined. Such a notification should include information describing the circumstances of the seizure; (d) submit rhinoceros horn samples from specimens subject to criminal investigation, to designated accredited forensic laboratories as described in document CoP16 Doc. 54.2 (Rev. 1), for DNA analysis, in accordance with relevant legislation regulating the exchange of such specimens;	Decision 16.84	5. Species	1			<u>WG SRR Recommendation to SC Maintain.</u> This is a live and high profile issue. This requirement is potentially gathering a lot of information, so clarity is needed on what needs to be reported, when, and by whom. <i>WG SRR advice = (a)</i>
64	Rhinos	Vietnam should provide a comprehensive report on	Decision 16.86	5. Species	1	1		<u>WG SRR Recommendation to SC</u>

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		progress made to the Secretariat with regard to steps taken to effectively implement the requirements of Resolution Conf. 9.14 (Rev. CoP15)						Maintain. Still current and valid. WG SRR suggest that once the report has been provided the requirement should be able to be deleted. <i>Agreed AC/PC advice = (a)</i>
65	Rhinos	Mozambique should: a) take steps to effectively implement the requirements of Resolution Conf. 9.14 (Rev. CoP15); b) give priority attention to the enactment and implementation of legislation with deterrent penalties to effectively combat wildlife crime, prevent illegal killing of rhinoceroses and illegal possession of and trade in rhinoceros horn, taking into consideration the content of Decision 16.84, paragraphs a)-g); and c) assist the Working Group on Rhinoceroses to implement its mandate by providing a comprehensive report on measures implemented, as specified in paragraph a) and b) of this Decision, and on any other activities conducted. This report should be submitted to the Secretariat by 31 January 2014.	Decision 16.87	5. Species	1	1		<u>WG SRR Recommendation to SC</u> Maintain. Still current and valid. WG SRR suggest that once the report has been provided the requirement should be able to be deleted. <i>Agreed AC/PC advice = (a)</i>
66	Rhinos	Mozambique and South Africa should further enhance bilateral cooperation with each other and with their neighbouring States, to enhance current efforts to combat illegal killing of rhinoceroses and illegal trade in rhinoceros horn, and should provide a comprehensive report to the Secretariat, by 31 January 2014, with regard to activities conducted in this regard	Decision 16.88	5. Species	1			<u>WG SRR Recommendation to SC</u> Maintain. But once report has been provided the requirement should be able to be deleted. <i>Draft WG SRR advice = (a)</i>
21	Saiga	All range States of Saiga spp. should provide information on the measures and activities they undertook to implement the Medium-Term International Work Programme for the Saiga Antelope (2011-2015) via the online Saiga Resource Centre and its associated project database, managed under the auspices of the Convention on the Conservation of Migratory Species of Wild Animals (CMS).	Decision 14.93 (Rev. CoP16)	5. Species	1	1		<u>WG SRR Recommendation to SC</u> Maintain. Still current and valid. WG SRR suggests that this continue while the work programme is in progress and review in 2016. <i>Agreed AC/PC advice = (a)</i>
68	Saiga	Important consumer and trading countries of saiga parts and derivatives should provide, via the online Saiga antelope database managed under the auspices of CMS, information on the measures and activities they undertook to implement the Medium-Term International Work Programme for the Saiga Antelope (2011-2015).	Decision 16.98	5. Species	1	1		<u>WG SRR Recommendation to SC</u> Maintain. Still current and valid. WG SRR suggests that this continue while the work programme is in progress and review in 2016. <i>Agreed AC/PC advice = (a)</i>

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17	Sharks	ENCOURAGES Parties to obtain information on implementation of NPOA-Sharks or regional plans, and to report directly on progress to the CITES Secretariat and at future meetings of the Animals Committee;	Res. Conf 12.6 (Rev. CoP16)	5. Species		1		WG SRR Recommendation to SC Maintain. Still current and valid. <i>Agreed AC/PC advice = (a)</i>
69	Snake trade	In order to support the sustainable use of Asian snakes, Parties are as necessary invited to establish voluntary conservative annual catch and export quotas for CITES-listed snake species in trade, and to communicate the export quotas to the Secretariat.	Decision 16.107	5. Species		1		WG SRR Recommendation to SC Maintain. Still current and valid. WG SRR suggest this should be brought within requirement 42 on Export Quotas. <i>Agreed AC/PC advice = (a)</i>
77	Snake trade	Parties should eliminate the important illegal and unreported trade in specimens, whether live or parts and derivatives, of CITES-listed snake species by: (b) including information on trade in these specimens in their CITES annual reports	Decision 16.106	5. Species	1	1		WG SRR Recommendation to SC Maintain. Still current and valid. WG SRR recommend incorporation into implementation reports so requirement becomes triennial. <i>Agreed AC/PC advice = (a)</i>
19	Sturgeon / certificates	Parties supply to UNEP-WCMC copies of all export permits and re-export certificates issued to authorize trade in caviar, no longer than one month after they have been issued, for inclusion in the UNEP-WCMC caviar trade database	Res. Conf. 12.7 (Rev. CoP16) Notification 2010/34	5. Species	1			WG SRR Recommendation to SC Delete. This is the basis for the caviar trade database maintained by UNEP-WCMC, but it is not clear if the database is still useful / needed. <i>WG SRR advice = (b)</i>
44	Tibetan antelope	Relevant Parties are to designate a contact point and to provide contact details to the Secretariat in order to establish a network to assist in the control of illegal trade in Tibetan antelope parts and derivatives, particularly shahtoosh, and, where appropriate to make full use of the ECO-MESSAGE of ICPO-Interpol and existing law enforcement networks, including the World Customs Organization	Res. Conf. 11.8 (Rev. CoP13)	5. Species	1			WG SRR Recommendation to SC Delete. It is not clear that this is still needed. <i>WG SRR advice = (b)</i>
67	Tibetan antelope	All Parties should immediately bring every seizure of illegal Tibetan antelope wool and its products made within its territory to the attention of authorities in countries of origin, transit and destination, as applicable, and to the attention of the Secretariat. Information on the seizure should be accompanied by available associated information, to enable follow-up investigations to take place. The progress of follow-up investigations should also be reported to the Secretariat	Decision 16.93	5. Species		1		WG SRR Recommendation to SC Maintain. Recommend keep but incorporate into implementation reports so requirement becomes triennial. <i>WG SRR advice = (a)</i>

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70	Tortoises and freshwater turtles	The Parties, particularly those of the Asian region, should collect data on seizures of CITES-listed live tortoises and freshwater turtles, and report these data annually to the Secretariat, along with the disposition of the specimens. The Parties should provide the data in conjunction with their annual report submission. These data should be reported for confiscations through the end of 2019. The Parties should report, if possible, on the following parameters: species, numbers of specimens, destination (for exports) or source/re-exporting country (for imports), and disposition of the animals as per Resolution Conf. 10.7 (Rev. CoP15) on Disposal of confiscated live specimens of species included in the Appendices.	Decision 16.113	5. Species	1			<u>WG SRR Recommendation to SC Maintain.</u> The requirement time limited to the end of 2019. Suggest incorporation within annual report process. <i>WG SRR advice = (a)</i>
73	Tortoises and freshwater turtles	Considering the large-scale illegal and undocumented trade in parts and derivatives from CITES-listed tortoises and freshwater turtles, the Parties should: a) take note of this problem and take steps to address it within their national systems to ensure that CITES permits are properly issued and the Convention is fully implemented and enforced; b) examine their enforcement efforts regarding the trade in these parts and derivatives, and take adequate steps to deter and detect illegal and undocumented trade; c) conduct education and outreach efforts directed towards turtle farms, buyers and sellers of turtle shell, bones, cartilage (calipee), and other parts, medicinal product manufacturers, shippers, brokers, and other key stakeholders to better ensure that turtle parts and derivatives are traded in compliance with national laws and CITES requirements; and d) report their progress in these areas, via the Secretariat, at the 65th meeting of the Standing Committee.	Decision 16.118	5. Species	1			<u>WG SRR Recommendation to SC Maintain.</u> This is an issue that has been the subject of recent discussion in CITES. The requirement is time limited to SC65. However, it cross links with requirement 70. <i>WG SRR advice = (a)</i>
74	Tortoises and freshwater turtles	Parties, particularly those in the Asia region, are encouraged to: a) increase enforcement activities to deter, detect and address illegal and undocumented trade in CITES-listed live tortoises and freshwater turtles, and their parts and derivatives, inter alia by providing relevant training to national enforcement authorities, strengthening the enforcement and implementation of	Decision 16.121	5. Species	1			<u>WG SRR Recommendation to SC Maintain.</u> This is an issue that has been the subject of recent discussion in CITES. The requirement is time limited to SC65. However, it cross links with requirement 70. <i>WG SRR advice = (a)</i>

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		the Convention for these species, disseminating identification materials and increasing awareness amongst the judiciary; and b) provide relevant information on their progress in these areas to the Secretariat for reporting at the 65th meeting of the Standing Committee						