

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



Sixty-sixth meeting of the Standing Committee
Geneva (Switzerland), 11-15 January 2016

Interpretation and implementation of the Convention

Compliance and enforcement

NATIONAL IVORY ACTION PLANS PROCESS

1. This document has been prepared by the Secretariat.
2. National ivory action plans (NIAPs) are a tool to enhance the national implementation of CITES provisions regarding control of trade in ivory, in accordance with Article VIII, paragraph 1, of the Convention and Resolution Conf. 10.10 (Rev. CoP16) on *Trade in elephant specimens*. Eight Parties of 'primary concern', eight Parties of 'secondary concern' and three Parties of 'importance to watch'¹ in the poaching of elephants and illegal trade in ivory have been directed by the Standing Committee to develop and implement NIAPs. These nineteen Parties were directed by the Standing Committee, at its 65th meeting (SC65, Geneva, July 2014), to report to the present meeting on the implementation of their NIAPs.

Parties of 'primary concern'

3. At its 63rd and 64th meetings (SC63 and SC64, Bangkok, March 2013), the Standing Committee adopted recommendations related to the development of NIAPs by eight Parties of 'primary concern' (China, Kenya, Malaysia, the Philippines, Thailand, Uganda, the United Republic of Tanzania, and Viet Nam). The Standing Committee directed the eight Parties to take urgent measures to implement their NIAPs between SC64 and SC65, and submit reports on progress in the implementation of their NIAPs. The Secretariat was directed to evaluate the submitted reports and convey its findings to SC65.
4. At SC65, the Standing Committee, taking into account the Secretariat's evaluation, considered the progress that had been made in implementing the nine² NIAPs. The Secretariat's evaluation concluded that clear progress had been made by most Parties, with many concrete activities underway by Parties of 'primary concern' to support NIAP implementation. In light of the ongoing high levels of elephant poaching and illegal ivory trade, the Standing Committee recommended that the eight Parties revise their NIAPs as necessary and continue the implementation between SC65 and SC66. In relation to document [SC65 Doc. 42.2](#) on *National ivory action plans*, the Standing Committee adopted recommendations b) to f), as contained in document [SC65 Com. 7](#) and amended in document [SC65 Sum. 10](#), as follows:

b) encourage the eight Parties to review and, as necessary, revise their NIAPs, including the milestones and timeframes and, where possible, to include indicators to measure the impacts of actions in the NIAPs (e.g. through data on elephant poaching levels; number of ivory seizures; successful prosecutions; progress on paragraph d) under "Regarding trade in elephant specimens" of Resolution Conf. 10.10 (Rev. CoP16); and changes to legislation), based upon any new identified needs and these

¹ As identified by the analysis of ivory seizure data held in the Elephant Trade Information System (ETIS), including the analysis prepared for the 16th meeting of the Conference of the Parties to CITES.

² China also prepared a separate NIAP for Hong Kong SAR, which resulted in nine NIAPs across the eight Parties of 'primary concern'.

Parties' own evaluations of progress^{*}. In doing so, the eight Parties are further encouraged to take into consideration the evaluation of the Secretariat, in particular the actions where progress was rated as 'challenging' or 'unclear';

- c) request the eight Parties to continue to implement their NIAPs between SC65 and SC66, in accordance with the milestones and timeframes in each NIAP, and including any revisions made to their NIAPs as referred to in recommendation b) above;
 - d) request the Parties of "Primary Concern" to report on the further measures taken to implement their NIAPs to the Secretariat by 15 September 2015 and in the format used for the Secretariat's evaluation of the progress reports as presented in the Annex to document SC65 42.2, so that the Secretariat can make the reports available to the Standing Committee and convey any recommendations it may have, as appropriate, at SC66;
 - e) request the Secretariat to evaluate the reports submitted in compliance with the recommendation in paragraph d), including its footnote, and convey its findings and recommendations at SC66 in the format as submitted to SC65; and
 - f) taking into consideration the reports and the Secretariat's evaluation, the Standing Committee will, at its 66th meeting, decide whether Parties have substantially achieved their NIAPs and should no longer be considered of primary concern; or have made progress but remain of primary concern; or have made insufficient progress and require compliance measures.
5. The Secretariat sent letters to the eight Parties in August 2014 reminding these Parties of the recommendations adopted at SC65. The Standing Committee did not direct any of the Parties of 'primary concern', except Thailand, to submit a revised NIAP to the Secretariat. Nevertheless, the Secretariat invited all Parties of 'primary concern' to submit a revised NIAP, and asked those doing so to indicate if the revised NIAP could be made public³. While the Secretariat received some revised NIAPs from Parties, none of these Parties provided the Secretariat with a mandate to make their revised NIAP publicly available.
6. Due to concerns about the limited progress made by Thailand in the implementation of its NIAP between SC64 and SC65, the Party was directed by the Standing Committee (via the footnote in document SC65 Com. 7 shown at *) to develop a revised NIAP and report intersessionally on progress with its implementation. The revised NIAP was submitted to the Secretariat on 30 September 2014 in accordance with the timeframes set out in the SC65 footnote. The Secretary-General of CITES conducted a mission to Thailand⁴ in December 2014 to discuss the revised NIAP, during which he met with the Minister of Natural Resources and Environment and senior officials from the many agencies involved in NIAP implementation. Progress reports were submitted by Thailand on 15 January and 31 March 2015 in accordance with the Standing Committee's timeframes. The Secretariat conveyed these reports to the Chair of the Standing Committee, along with its remarks on Thailand's progress. In light of the concrete progress outlined in Thailand's intersessional reports, the members of the Committee considered that Thailand had

* 1. The Standing Committee recommends that Thailand submits to the Secretariat a revised NIAP by 30 September 2014, which should include the following actions, to be achieved by 31 March 2015:

- a) the enactment of appropriate legislative or regulatory provisions (such as the inclusion of the African elephant as "protected species" under the Wildlife Act) that allow for the effective control of domestic trade and possession of elephant ivory and provide for strict penalties in case of illegal possession or illegal domestic trade of ivory;
- b) the enactment of legislative or regulatory controls establishing (i) a comprehensive registration system for domestic ivory and (ii) an effective system for registration and licensing of ivory traders (including enforcement and penalisation in case of offences); if those controls are already in place, Thailand should inform the Secretariat on the acts establishing those controls;
- c) increases efforts on the monitoring and control of ivory traders and ivory data, as well for law enforcement efforts against illegal ivory trade, including indicators on how those efforts will be measured.

The Standing Committee further recommends that Thailand submits a progress report to the Secretariat of the aforementioned actions by 15 January 2015. The Committee, after assessing Thailand's progress, in consultation with the Secretariat, will make such recommendations as appropriate.

2. The Standing Committee requests Thailand to submit a further progress report by 31 March 2015, on which date it will assess Thailand's progress in consultation with the Secretariat, convey its assessment to Thailand and, if it is not satisfied that the actions in point 1. above have been achieved, shall proceed appropriately by postal procedure in accordance with provisions in Resolution Conf. 14.3, paragraph 30.

³ The Standing Committee did not direct the Secretariat to make the NIAPs of Parties of 'primary concern' public, and so this decision rests with the concerned Party.

⁴ https://cites.org/eng/thailand_niaps

satisfactorily achieved the three actions detailed in paragraphs 1 a) to 1 c) of the SC65 footnote. Subsequently, no intersessional recommendations were considered necessary. The Secretariat would like to thank Thailand for the comprehensive progress reports that it submitted, and for the additional clarification that it provided for the members of the Committee.

7. A reporting template consistent with the format used in the Secretariat's SC65 evaluation was developed by the Secretariat and distributed to Parties of 'primary concern' in June 2015. The template asked Parties to complete a self-assessment of their progress and assign each NIAP action a progress rating of 'substantially achieved', 'on track' for achievement, 'challenging' or 'unclear'. All Parties of 'primary concern' duly prepared and submitted progress reports on the further measures taken to implement NIAPs following SC65, and the Secretariat would like to thank the Parties for the comprehensive reports that were submitted.
8. As directed by recommendation e), the Secretariat completed an evaluation of the progress reports submitted by Parties of 'primary concern', which is provided as Annex 1 of this document. The Secretariat's evaluation summarizes the progress ratings allocated by Parties in their progress reports, along with noting any changes in the progress of individual actions since SC65. It also details the extent of NIAP revision following SC65, the key activities implemented between SC65 and SC66, and any remaining implementation challenges. The Secretariat's remarks on the progress made by each Party are also provided. The progress reports submitted by Parties, and which were used as the basis of the Secretariat's evaluation, are provided (in the language in which they were submitted) as Annexes 3 to 12 of this document.
9. The progress reports submitted by Parties indicate that NIAP implementation has broadly continued beyond SC65, and that most Parties of 'primary concern' have built on the progress observed at SC65. In its SC65 evaluation, the Secretariat reported that it had assessed over 65% of actions across the nine NIAPs as either 'substantially achieved' or 'on track' for achievement. The self-assessments completed by Parties for SC66 indicate that across the nine NIAPs 98% (or 127 of 130 actions) are now 'substantially achieved' or 'on track' for achievement, and almost three quarters of actions (72%) are considered to be 'substantially achieved'. Not surprisingly there is a marked reduction in the extent of actions rated as 'unclear' between the SC65 and SC66 reporting periods, due to the reporting process now being conducted as a self-assessment.
10. While all Parties have made concerted efforts to continue the implementation of NIAPs following SC65, the further progress made is not uniform. The percentage of actions that have been self-assessed as 'substantially achieved' ranges from 32% to 100% across the nine NIAPs, indicating that some Parties still have some way to go to fully complete NIAP implementation.
11. In accordance with recommendation f), the Standing Committee is to consider at the present meeting whether Parties have 'substantially achieved' their NIAPs, whether they remain of 'primary concern', and whether any compliance measures are justified based on insufficient progress.
12. To facilitate the Standing Committee's consideration of the overall progress made with NIAP implementation, the Secretariat has defined simple criteria to indicate whether a NIAP has been 'substantially achieved'. The criteria are: that a minimum of 80% of NIAP actions have been self-assessed by the Party as 'substantially achieved', that any remaining actions have been self-assessed as 'on track' for achievement, and that the progress report submitted by the Party provides sufficient detail of the activities delivered to justify the allocated progress ratings. The criteria and their application are further detailed in Annex 1.
13. The Secretariat's assessment indicates that China (including Hong Kong SAR, China), Kenya, the Philippines, Thailand and Viet Nam have 'substantially achieved' their NIAPs. The Secretariat notes the further progress that has been made by Malaysia, Uganda and the United Republic of Tanzania. However, since less than 80% of actions have been rated as 'substantially achieved' by these Parties, the Secretariat's assessment is that Malaysia, Uganda, and the United Republic of Tanzania have not yet 'substantially achieved' their NIAPs.
14. As mentioned in paragraph 11 of this document, the Standing Committee, in accordance with recommendation f), is also to consider at the present meeting whether any Parties that have 'substantially achieved' their NIAPs remain of 'primary concern'. The Secretariat notes that the identification of the current Parties of 'primary concern', 'secondary concern' and 'importance to watch' in the poaching of elephants and illegal trade in ivory was derived from the findings of the ETIS analysis prepared for the 16th meeting of the Conference of the Parties (CoP16). The Secretariat believes that the ETIS analysis – and

not completed implementation of a NIAP – is best-placed to indicate whether a Party continues to be implicated in the illegal ivory trade and remains of ‘primary concern’, and notes that the next comprehensive MIKE and ETIS reports will be prepared for the 17th meeting of the Conference of the Parties (CoP17, South Africa, September 2016). In the absence of this data, the Secretariat considers that it would be challenging for the Standing Committee to determine at the present meeting if Parties remain of ‘primary concern’.

15. The Standing Committee at SC65, in relation to document [SC65 Doc. 42.1](#) on *Elephant conservation, illegal killing and ivory trade*, adopted recommendation n), as contained in document [SC65 Com. 7](#), as follows:

n) *the Secretariat, through MIKE and ETIS, to identify Parties of “Primary Concern”, “Secondary Concern” or “Importance to Watch” for consideration by the Standing Committee at SC67, based on an analysis of all data in the last five years available to MIKE and ETIS and using scientific and clear methodologies.*

16. The Secretariat recommends that the process outlined in recommendation n) above be presented to CoP17 for consideration, so that its outcomes – and any subsequent recommendations for the future development and implementation of NIAPs by implicated Parties – can be reflected in CoP Decisions as appropriate.

Parties of ‘secondary concern’ and ‘importance to watch’

17. At SC65, the Standing Committee, arising from Decisions 16.79 and 16.80 on *Monitoring of illegal trade in ivory and other elephant specimens (Elephantidae spp.)*, and in relation to document SC65 Doc. 42.1 on *Elephant conservation, illegal killing and ivory trade*, adopted recommendations directing eight Parties of ‘secondary concern’ and three Parties of ‘importance to watch’ to develop and implement NIAPs, as contained in document SC65 Com. 7, as follows:

a) *request Cameroon, Congo, the Democratic Republic of the Congo, Egypt, Ethiopia, Gabon, Mozambique and Nigeria to:*

- i) *work with the Secretariat and its consultants to finalize the development of national ivory action plans with time frames and milestones, by 31 October 2014, and to take urgent measures ensuring significant progress by SC66 on the implementation of their national ivory action plans; and*
- ii) *submit a comprehensive report to the Secretariat by 15 September 2015, in the format provided in the Secretariat’s evaluation of the progress reports as presented in the Annex to document SC65 Doc. 42.2, so that the Secretariat can make the reports available to the Standing Committee and convey any recommendations it may have, as appropriate, at SC66;*

...

c) *request Angola, Cambodia and the Lao People’s Democratic Republic to:*

- i) *work with the Secretariat and its consultants to finalize the development of national ivory action plans with time frames and milestones, similar to those that will be developed by countries of ‘secondary concern’, by 31 October 2014, and to take urgent measures ensuring significant progress by SC66 on the implementation of their national ivory action plans; and*
- ii) *submit a comprehensive report to the Secretariat by 15 September 2015, in the format provided in the Secretariat’s evaluation of the progress reports as presented in the Annex to document SC65 Doc. 42.2, so that the Secretariat can make the reports available to the Standing Committee and convey any recommendations it may have, as appropriate, at SC66;*

d) *request the Secretariat to:*

- i) *make the national ivory action plans referred to in paragraphs a) and c) public;*
- ii) *inform the Standing Committee in case a country fails to submit an adequate national ivory action plan by the deadlines specified in paragraphs a) and c), for the Standing Committee to consider*

taking appropriate intersessional decisions, which may include compliance measures as necessary; and

iii) recommend to Parties that develop or update national ivory action plans to include, where possible, indicators to measure the impacts of the actions in the NIAPs (e.g. through data on elephant poaching levels; number of ivory seizures; successful prosecutions; progress on paragraph d) under “Regarding trade in elephant specimens” of Resolution Conf. 10.10 (Rev. CoP16); and changes to legislation);

18. The Secretariat sent letters to the eight Parties of ‘secondary concern’ (Cameroon, Congo, the Democratic Republic of the Congo, Egypt, Ethiopia, Gabon, Mozambique and Nigeria) and three Parties of ‘importance to watch’ (Angola, Cambodia and the Lao People’s Democratic Republic) in August 2014 reminding these Parties of the recommendations adopted at SC65, and inviting them to nominate a national focal point to work with the Secretariat’s NIAP consultants to finalize the development of a NIAP. The Secretariat would like to thank the European Union for the generous provision of funds that enabled the Secretariat to appoint a part-time NIAP consultant in Africa and a part-time NIAP consultant in Asia to support Parties of ‘secondary concern’ and ‘importance to watch’ to develop NIAPs.
19. The support provided by the Secretariat’s consultants included the provision of an enforcement capacity self-assessment template⁵ and guidance on completing the template, the preparation of a report on national enforcement capacity based on the results of the self-assessment, the provision of a NIAP template and support with the completion of the template, and ongoing advice and assistance upon request to progress the development of adequate NIAPs, including detailed commenting upon draft NIAPs. In-country missions were made available to Parties upon request and subject to available resources. The Secretariat’s consultants conducted missions to Angola, Cambodia, the Lao People’s Democratic Republic and Mozambique to provide hands-on support to Parties in the development of their NIAPs.
20. To implement recommendation d) i), the Secretariat developed a NIAP web page (<http://cites.org/niaps>) to make public the NIAPs that were received from Parties of ‘secondary concern’ and ‘importance to watch’. The development of the NIAP web page was communicated via Notification to the Parties [No. 2014/062](#) of 12 December 2014. A detailed summary of the progress made by Parties in developing NIAPs⁶ was made available on the web page, and updated regularly.
21. Despite the support available through the Secretariat’s NIAP consultants, and the Secretariat’s repeated follow-up communications with Parties, only Cambodia submitted an adequate⁷ NIAP by the Standing Committee’s deadline of 31 October 2014.⁸ The Secretariat commends Cambodia for the timely development of its NIAP, and its active and early engagement with the Secretariat’s consultant in Asia.
22. On 20 November 2014, the Secretariat, in accordance with recommendation d) ii), informed the Chair of the Standing Committee that 10 of the 11 Parties had failed to submit an adequate NIAP by 31 October 2014. The Secretariat also provided the Standing Committee with a summary of the progress that had been made by the remaining 10 Parties in developing NIAPs, which highlighted that most Parties were actively engaged with the Secretariat’s consultants and progressing a draft NIAP. Between 31 October 2014 and 2 January 2015, the Secretariat received adequate NIAPs from Egypt, Ethiopia and Gabon.
23. On 2 January 2015, the Standing Committee adopted intersessional recommendations by postal procedure, as follows:

The Standing Committee requests the Secretariat, on behalf of the Committee to:

a) Send a reminder letter to any Party that has not submitted an adequate national ivory action plan (NIAP), requesting that it submit an action plan within 30 days of the date of the letter, and drawing

⁵ Built using the site-level and national level law enforcement capacity benchmarks developed by the CITES Monitoring the Illegal Killing of Elephants (MIKE) Programme.

⁶ <https://cites.org/sites/default/files/common/prog/niaps/E-NIAPs-Progress-Summary-15Sep15.pdf>

⁷ The Standing Committee, via recommendation d) ii.) directed the Secretariat to inform it if any Parties did not submit an ‘adequate’ NIAP. This recommendation was interpreted by the Secretariat as providing the Secretariat with a mandate to confirm that submitted NIAPs adequately reflected the provisions of the Standing Committee’s recommendations.

⁸ Egypt submitted a NIAP on 30 October 2014, but the Secretariat concluded that this was not an ‘adequate’ NIAP and directed the Party to revise its NIAP to better reflect the provisions of the Standing Committee’s recommendations.

attention to the assistance available through the Secretariat's consultants in Africa and Asia to support the completion of the NIAP;

- b) Issue a warning letter to any Party that does not submit an adequate NIAP within 30 days of the date of the reminder letter, warning that, if the NIAP is not received within the following 30 days, the Secretariat will publish a recommendation from the Standing Committee to suspend commercial trade in specimens of CITES-listed species with that Party until an adequate NIAP is submitted to the Secretariat;*
 - c) Issue a Notification to the Parties to inform them of any consequent recommendation to suspend commercial trade arising from a failure to submit an adequate NIAP; and*
 - d) Issue a Notification to the Parties to withdraw any recommendation to suspend commercial trade when an adequate NIAP is received by the Secretariat.*
24. On 13 January 2015, the Secretariat issued reminder letters on behalf of the Standing Committee to the five Parties of 'secondary concern' (Cameroon, Congo, the Democratic Republic of the Congo, Mozambique and Nigeria) and two Parties of 'importance to watch' (Angola and the Lao People's Democratic Republic) that had, at the time, not submitted adequate NIAPs. Following these reminder letters, adequate NIAPs were received from Cameroon and Mozambique. The Secretariat subsequently issued warning letters on behalf of the Standing Committee to Congo, the Democratic Republic of the Congo, the Lao People's Democratic Republic and Nigeria on 12 February 2015, and to Angola on 6 March 2015,⁹ following which adequate NIAPs were received from Angola and Congo. On 19 March 2015, the Secretariat issued Notifications to the Parties communicating the Standing Committee's recommendation that all Parties suspend commercial trade in CITES-listed specimens with the Democratic Republic of the Congo ([No. 2015/012](#)), the Lao People's Democratic Republic ([No. 2015/013](#)) and Nigeria ([No. 2015/014](#)) until such time as an adequate NIAP was received by the Secretariat. Notification to the Parties [No. 2015/021](#) withdrawing the recommendation to suspend commercial trade with the Democratic Republic of the Congo was issued on 15 April 2015 following the receipt of an adequate NIAP. Similarly, Notification to the Parties [No. 2015/055](#) withdrawing the recommendation to suspend commercial trade with the Lao People's Democratic Republic was issued on 15 September 2015 following the receipt of an adequate NIAP. At the time of writing, the recommended trade suspension with Nigeria was still in place as an adequate NIAP had not been received by the Secretariat.¹⁰
25. The Secretariat kept the Chair of the Standing Committee informed intersessionally on the further progress made with NIAP development and the submission of adequate NIAPs, and of any warning letters or recommended trade suspensions that were issued or withdrawn by the Secretariat in accordance with the Committee's intersessional recommendations.
26. Most of the Parties of 'secondary concern' and 'importance to watch' duly prepared and submitted progress reports on NIAP implementation as directed by SC65 recommendations a) ii) and c) ii). The eleven Parties were provided with the reporting template referred to in paragraph 7, and were reminded that the Secretariat's NIAP consultants were available to support the development of progress reports upon request. The Secretariat would like to thank Cambodia, Cameroon, Congo, the Democratic Republic of the Congo, Egypt, Ethiopia and Gabon for their progress reports. At the time of writing, progress reports had not been received from Angola, the Lao People's Democratic Republic and Nigeria.
27. In accordance with SC65 recommendations a) ii) and c) ii), the Secretariat has conveyed the reports received from Parties (in the language in which they were submitted) as Annexes 12 to 19 of this document. The Secretariat was not directed by the Standing Committee to evaluate the reports received. However, to facilitate the Standing Committee's consideration of the progress made by Parties of 'secondary concern' and 'importance to watch', the Secretariat has compiled a brief summary of NIAP development and implementation by each Party, including the results of the progress self-assessments. The Secretariat's summary is provided as Annex 2 of this document.
28. The Parties' self-assessments indicate that across the eight NIAPs for which reports were submitted, 57% of actions (or 125 of 220 actions) are considered to be 'substantially achieved' or 'on track' for

⁹ Angola submitted a NIAP to the Secretariat on 12 February 2015. The Secretariat reviewed the submitted NIAP and issued a warning letter following the completion of this review and the Secretariat's conclusion that it was not an 'adequate' NIAP. The Secretariat directed the Party to revise its NIAP to better reflect the recommendations adopted by the Standing Committee.

¹⁰ At the time of writing, Nigeria was finalizing its NIAP with the support of the Secretariat's NIAP consultant in Africa.

achievement. Almost one quarter of actions (23%, or 51 of 220 actions) have been assessed as 'challenging' by Parties, with the most cited reasons being resourcing limitations and poor inter-agency collaboration. Some actions are not yet scheduled to commence in accordance with the milestones established in NIAPs. Overall, it appears that while NIAP implementation has broadly commenced, full implementation of NIAPs will, in many cases, require enhanced efforts and the resolution of a number of challenges, including that of resource limitations.

29. Parties of 'secondary concern' and 'importance to watch' appear to have made the most progress with actions to improve the management of confiscated ivory stockpiles, strengthen legislation including wildlife crime penalty frameworks, engage prosecutors and the judiciary, and deliver targeted training in areas ranging from CITES requirements to detection techniques, ETIS data collection and SMART law enforcement monitoring. In contrast, actions to enhance intelligence and investigations capacity (including through greater use of forensics), and strengthen inter-agency and international collaboration appear to have progressed at a slower pace. The Secretariat notes that a number of Parties have established or are pursuing the development of inter-agency committees to oversee NIAP implementation and national responses to illegal trafficking in wildlife – a mechanism that should help strengthen national collaboration.
30. With regard to the three Parties (Angola, the Lao People's Democratic Republic and Nigeria) that had not submitted progress reports at the time of writing this document, the Secretariat is aware that Angola submitted a draft progress report to its NIAP consultant in Africa, who reviewed it and provided feedback to Angola. The draft report indicated that while Angola had made progress with some NIAP actions, implementation was challenged by constraints such as insufficient legislation, a lack of law enforcement capacity, poor inter-agency cooperation, and a lack of resources to implement the NIAP. The Secretariat has limited information on the progress that has been made by the Lao People's Democratic Republic in implementing its NIAP. The Party had indicated to the Secretariat's consultant that it was preparing a progress report, but at the time of writing a draft of this report had not been received by the consultant and no further information on progress was available. Information provided to the Secretariat indicates that at the time of writing, Nigeria was finalizing its NIAP for submission to the Secretariat. While the Secretariat's understanding is that Nigeria has made progress towards some of the early milestones in its NIAP, the type and extent of the activities that had been completed is unknown.
31. The Secretariat has written to the three Parties urging them to submit a progress report ahead of SC66 so that the Standing Committee can consider their progress with NIAP implementation alongside that of the other NIAP Parties. If progress reports are not received by any of the Parties, the Standing Committee might consider inviting those Parties, if present, to provide an oral update on their progress at the present meeting.
32. A shared challenge of most Parties of 'secondary concern' and 'importance to watch' is the need for additional resources and technical assistance to fully implement NIAPs. While the original intent of NIAPs was that they would be delivered within existing national resources, the Secretariat notes that in most cases, the Parties of 'secondary concern' and 'importance to watch' would be unable to implement an 'adequate' NIAP that effectively addresses the provisions of Article VIII, paragraph 1, of the Convention and Resolution Conf. 10.10 (Rev. CoP16) without relying upon additional resources. The specific resourcing and capacity needs of Parties, as mentioned in the individual progress reports, have been highlighted in Annex 2, along with an indication of the success of Parties to date in securing resources. The Secretariat commends those Parties that have actively engaged with potential on-ground implementation partners regarding support for NIAP implementation. The Secretariat has also actively pursued the potential implementation support that might be made available to Parties across the UN system, as described in paragraph 35 below.

Supporting the effective implementation of NIAPs

33. To facilitate communication and collaboration on the implementation of NIAPs, the Secretariat compiled a [directory of national NIAP focal points](#) and distributed this to Parties. The directory of NIAP focal points was made available via the NIAP web page, and also communicated via Notification to the Parties [No. 2015/040](#) of 3 July 2015.

34. Since SC65, the Secretariat has conducted missions to Angola, Malaysia,¹¹ Mozambique¹² and Thailand to support and discuss the development and implementation of NIAPs. The missions of the Secretariat's consultants to support NIAP development were detailed in paragraph 19.
35. To support Parties in the effective implementation of NIAPs, the Secretariat has actively engaged across the UN system, with its International Consortium on Combating Wildlife Crime (ICWC) partners, and with other potential on-ground implementation partners to encourage the provision of resources and technical assistance for NIAP implementation. In response, the United Nations Development Programme (UNDP) indicated that it could offer potential support to a number of NIAP Parties¹³ where it has thematically-aligned in-country projects, including GEF-6 projects. In June 2015, the Secretariat advised relevant Parties of the support for NIAP implementation that might be available through UNDP, and encouraged them to contact UNDP to discuss any specific resourcing needs. At the time of writing, the Secretariat was aware that UNDP had been contacted by Congo and was considering the resourcing request submitted by the Party.
36. The Secretariat is also an advisory member of the Project Steering Committee of the GEF-6 Global Wildlife Program coordinated by the World Bank, and is using this opportunity to encourage the alignment of national projects to CITES priorities, including the implementation of NIAPs as appropriate. A summary of the alignment of CITES priorities to the outcome areas and national projects of the Global Wildlife Program is provided as an Information document of the present meeting.
37. In November 2015, TRAFFIC with the support of the CITES Secretariat convened a regional workshop on NIAP implementation for Central Africa.¹⁴ Six Parties, including the NIAP Parties of Cameroon, Congo, the Democratic Republic of the Congo and Gabon, participated in the workshop to share experiences in implementing NIAPs, including the progress made and major challenges being faced. The workshop resulted in a menu of priority actions to enhance the implementation of NIAPs in Central Africa, including through regional collaboration. The workshop was made possible through the Wildlife TRAPS (Trafficking Response, Assessment and Priority Setting) Project, funded by the United States Agency for International Development (USAID) implemented by TRAFFIC and the International Union for Conservation of Nature (IUCN), with co-support from Germany.
38. The Secretariat notes that the Standing Committee's SC65 recommendations on NIAPs have placed significant additional administrative and substantive tasks on the Secretariat to coordinate communication with Parties, the support programme of the Secretariat's NIAP consultants, and any intersessional work required by the Standing Committee. The Secretariat's activities described in this document, including the Secretariat's evaluation in Annex 1 and summary in Annex 2, have only been possible through the provision of additional resources from the United States of America that allowed for the Secretariat to appoint a full-time consultant as a NIAP Support Officer based at the Secretariat's offices in Geneva. The Secretariat would like to thank the United States for its contribution to support the effective coordination of the NIAP process. The Secretariat notes that its ongoing coordination of NIAPs, in accordance with any recommendations adopted at SC66, will only be possible if additional capacity is available and hence will be subject to the provision of further external resources as required.
39. The Secretariat further notes that the development and implementation of NIAPs by 19 Parties to date has identified some potential process improvements that could be considered prior to any further requests to Parties to develop and implement NIAPs. These include the definition of clear criteria for an 'adequate' NIAP, the identification of practical timeframes for the development of NIAPs,¹⁵ a consistent approach to the public availability of NIAPs and NIAP progress reports, alignment of NIAPs to the standard measures to achieve compliance set out in Resolution Conf. 14.3 on *CITES compliance procedures*, the identification of standardized sample indicators for inclusion in NIAPs, and a revision of the implementation progress rating system to better reflect any actions that are not yet due to commence or that have not yet started. The Secretariat intends to raise any identified procedural improvements for consideration by CoP17,

¹¹https://cites.org/eng/ASEAN_member_States_discuss_enhancing_regional_cooperation_to_combat_poaching_and_illegal_trade_in_wildlife

¹² The Secretariat reports in more detail on its mission to Mozambique in document SC66 Doc. 51.1 on Rhinoceroses (*Rhinocerotidae* spp).

¹³ At the time of writing, UNDP indicated that it could offer potential support to NIAP implementation in Cameroon, Congo, Ethiopia, Kenya, the Lao People's Democratic Republic, Malaysia, Mozambique, Thailand, and the United Republic of Tanzania.

¹⁴ https://cites.org/eng/news/pr/national_ivory_action_plans_good_progress_made_but_essential_next_steps_needed_24112015

¹⁵ The Secretariat notes that, as mentioned in paragraph 22, 10 of the 11 Parties of 'secondary concern' and 'importance to watch' failed to submit an adequate NIAP within the timeframes established by SC65.

parallel to the process to identify Parties of 'primary concern', 'secondary concern' and 'importance to watch' that is proposed for consideration at the same meeting.

Parties of 'importance to watch' not subject to the NIAP process – Reports on the implementation of CITES provisions concerning control of trade in elephant ivory and ivory markets

40. At SC65, the Standing Committee, arising from Decision 16.80 on *Monitoring of illegal trade in ivory and other elephant specimens (Elephantidae spp.)*, and in relation to document [SC65 Doc. 42.1](#) on *Elephant conservation, illegal killing and ivory trade*, adopted recommendation b), as contained in document [SC65 Com. 7](#), as follows.
- b) *request Japan, Qatar and the United Arab Emirates to submit a report to the Secretariat on their implementation of CITES provisions concerning control of trade in elephant ivory and ivory markets, by 15 May 2015, so that the Secretariat can make the reports available to the Standing Committee and convey any recommendations it may have, as appropriate, at SC66;*
41. The Secretariat sent letters to Japan, Qatar and the United Arab Emirates in June 2015 reminding them of the Standing Committee's request. Reports were received from the three Parties and have been provided (in the language in which they were submitted) as Annexes 20-22 of the present document.
42. Japan's report notes the increased attention the Party has placed on combating the illegal trade of ivory over the internet since SC65. It further notes the increased registration of whole ivory tusks, with 13,583 tusks registered at 31 July 2014 compared to 12,384 at 31 December 2014, and considers that this may be an outcome of its awareness-raising activities on CITES. The number of ivory confiscations by customs has also decreased from 2011. The Party's report also provides updated information on its implementation of CITES provisions concerning ivory, including the penalties that apply for any illegal international or domestic trade in ivory, and the size of government stockpiles of confiscated ivory.
43. Qatar's brief report indicates that one further seizure of ivory has been made since the Party reported to SC65. Over 150kg of ivory was seized in 2014, while transiting through Qatar from Mozambique to Viet Nam. This was the first ivory seizure in the country since 2008, and the first of this size made by authorities in Qatar. The report briefly notes the legislation and border control efforts that relate to illegal trade in ivory.
44. The report submitted by the United Arab Emirates indicates a sharp increase in the number of pieces of confiscated ivory between 2013-2014, rising from 272 to 1,171 pieces. The report notes that most ivory is smuggled through the United Arab Emirates in raw or carved trinkets, but there have also been large-scale seizures of whole tusks, including a seizure of 215 tusks in 2012 and 259 tusks in 2013. Forensic samples from confiscated ivory were collected during an ICCWC Wildlife Incident Support Team (WIST) to the United Arab Emirates in 2014, and the 10 tonne government stockpile was destroyed in 2015. The Party's report provides updated information on its implementation of CITES provisions concerning control of trade in ivory and ivory markets.
45. The Secretariat would like to thank the three Parties for their submitted reports. The Secretariat notes that the comprehensive Elephant Trade Information System (ETIS) assessment that will be prepared for CoP17 will provide updated information on the extent to which these Parties are implicated in the illegal trade in ivory. In the meantime, Japan, Qatar and the United Arab Emirates are encouraged to remain vigilant in their implementation of CITES and other provisions concerning control of trade in elephant ivory and national ivory markets.

Conclusions

46. The Secretariat believes that the NIAP process continues to significantly enhance national efforts to combat elephant poaching and illegal ivory trade. While clear progress has been made in implementing the NIAPs, and many of the NIAPs of Parties of 'primary concern' have been 'substantially achieved', Parties of 'secondary concern' and 'importance to watch' are at various stages of NIAP implementation, and further work needs to be done. Further, while an impressive range of concrete activities have been delivered, the overall impact of NIAP implementation – in terms of any reduction in the extent to which NIAP Parties are implicated in the illegal ivory trade as indicated by the ETIS analysis – are yet to be quantified.
47. The latest figures on elephant poaching, as reported in Annex 1 to document SC66 Doc 47.1 on *Elephant conservation, illegal killing and ivory trade* prepared for the present meeting, indicate that the illegal poaching of elephants continues at unsustainably high levels that exceed the natural rate of population

increase. In light of the ongoing high levels of poaching and illegal activity, the Secretariat considers that it is critical that the implementation of NIAPs continues, and that Parties of 'primary concern' that have 'substantially achieved' their NIAPs finalize any incomplete actions and thereafter, continue to take whatever national measures may be required to ensure the effective implementation of Resolution Conf. 10.10 (Rev. CoP16); and that Parties of 'primary concern' that have not yet 'substantially achieved' their NIAPs, Parties of 'secondary concern', and Parties of 'importance to watch' build on their progress reported at the present meeting and enhance their efforts to continue NIAP implementation between SC66 and SC67.

48. In light of the significant resourcing challenges that have been detailed by Parties in NIAP progress reports, the Secretariat encourages all donors, Parties, the UN system, global and regional banks, the Global Environment Facility (GEF), foundations and NGOs to provide technical assistance and financial resources as appropriate to support the implementation of NIAPs.

Recommendations

49. The Secretariat recommends that the Standing Committee:
- a) Note this document and its Annexes, and consider the reports submitted by Parties and the evaluation and recommendations of the Secretariat;
 - b) Considering the Secretariat's evaluation of progress reports submitted by Parties of 'primary concern' (as provided in Annex 1), agree that China (including Hong Kong SAR), Kenya, the Philippines, Thailand and Viet Nam have 'substantially achieved' their NIAPs;
 - c) Commend China (including Hong Kong SAR), Kenya, the Philippines, Thailand and Viet Nam for substantially achieving their NIAPs, and encourage these Parties to complete the implementation of any NIAP actions that have not yet been 'substantially achieved';
 - d) Note that comprehensive MIKE and ETIS data is not yet available to determine whether Parties that have 'substantially achieved' their NIAPs remain of 'primary concern', and further note that such information will be available at CoP17;
 - e) Request the Secretariat to identify Parties of 'primary concern', 'secondary concern' and 'importance to watch', based on an analysis of the MIKE and ETIS reports that will be prepared for CoP17, and to make recommendations for consideration by the Conference of the Parties at its 17th meeting;
 - f) Regarding Nigeria, as a Party of 'secondary concern', and Angola and the Lao People's Democratic Republic, as Parties of 'importance to watch':
 - i) Note that these Parties did not submit reports on progress with NIAP implementation that allowed for their progress to be reflected in document SC66 Doc. 29 prepared by the Secretariat for the present meeting;
 - ii) Consider any progress reports submitted by these Parties ahead of SC66 and any oral updates provided by these Parties at the present meeting, and make any further recommendations on these Parties as appropriate;
 - g) Request Malaysia, Uganda and the United Republic of Tanzania, as Parties of 'primary concern', Cameroon, Congo, the Democratic Republic of the Congo, Egypt, Ethiopia, Gabon, Mozambique and Nigeria, as Parties of 'secondary concern', and Angola, Cambodia and the Lao People's Democratic Republic, as Parties of 'importance to watch', to:
 - i) Enhance efforts to progress the implementation of NIAP actions, and continue the implementation of their NIAPs between SC66 and SC67;
 - ii) Report on the further measures taken to implement their NIAPs to the Secretariat by 30 June 2016 in a format provided by the Secretariat, so that the Secretariat can make the reports available to the Standing Committee at SC67 and convey any recommendations it may have;
 - h) Consider the progress reports submitted in accordance with recommendation g) ii), and any recommendations of the Secretariat, and decide at SC67 whether the 14 Parties outlined in

recommendation g) have 'substantially achieved' their NIAPs, have made progress but not yet 'substantially achieved' their NIAPs, or have made insufficient progress and require compliance measures;

- i) Note that the Secretariat will advise on any future development and implementation of NIAPs, including any recommended procedural improvements and simplifications as appropriate, for consideration by the Conference of the Parties at its 17th meeting.

National ivory action plans process

EVALUATION OF PROGRESS REPORTS SUBMITTED BY PARTIES OF 'PRIMARY CONCERN'

This Annex provides the Secretariat's evaluation of the progress made by Parties of 'primary concern' in implementation their NIAPs.

Progress reporting format

SC65 recommendations directed Parties of 'primary concern' to prepare reports on their further progress with NIAP implementation, in the same format used by the Secretariat for its SC65 evaluation. To facilitate this reporting the Secretariat prepared a reporting template comprising five sections: narrative summary of NIAP implementation, summary progress evaluation (progress ratings), detailed evaluation of actions, indicators assessment (optional) and Annex of supporting documentation (optional). While use of the Secretariat's template was encouraged, its use was voluntary and Parties were also able to report using their own interpretation of the Secretariat's SC65 format.

The core of the Secretariat's evaluation approach for NIAPs is the allocation of one of the following four progress ratings to each NIAP action, based on an assessment of the progress made:

1. *Substantially achieved* – there has been very good progress with implementation and all specified milestones and timeframes have been achieved or substantially achieved;
2. *On track* – there has been good progress with implementation and specified milestones and timeframes appear to be on track or largely on track for achievement;
3. *Challenging* – there has been limited progress with implementation or progress has been impeded by delays or challenges, and achievement of the specified milestones and timeframes appears unlikely unless these issues are resolved;
4. *Unclear* – insufficient information was available to conduct an evaluation of progress or actions and milestones were not specified in a way that allowed for an evaluation of progress to be completed.

Parties were asked to self-assess their further progress made with NIAP implementation following SC65. Each Party was asked to allocate one of the four progress ratings to each NIAP action based on an assessment of the activities that were implemented, compared to the milestones and timeframes that were committed to and detailed in the NIAP – or simply, did the Party achieve what it set out to do (including any changes to the NIAP made following SC65). Parties were asked to detail in their progress reports the activities that have been completed since SC65 and also the outcomes and results of those activities where possible.

Secretariat's evaluation format

The Secretariat was directed by SC65 recommendations to convey the progress reports submitted by Parties to the Standing Committee. These reports have been made available in the language in which they were received as Annexes 3 to 11 of the present document. The Secretariat was also requested to evaluate the reports submitted, and convey its findings and recommendations at the present meeting.

A guide to how the evaluations, and supporting information, are presented is provided in Figure 1. Alongside summarizing the progress ratings allocated by each Party, this Annex provides an overview of NIAP implementation, including the results of the Secretariat's SC65 evaluation and an indication of any changes made to NIAPs following SC65¹. It also includes the Secretariat's remarks on the further progress with implementation since SC65, and an indication of whether the Secretariat considers that the implementation of NIAPs has been 'substantially achieved'.

¹ For Thailand it also includes a summary of the intersessional reporting that was directed to the Party by SC65 recommendations.

In accordance with SC65 recommendations, the Standing Committee was to consider at SC66, on the basis of the progress reports received from Parties and the findings of the Secretariat's evaluation, whether Parties had 'substantially achieved' their NIAPs.

For the purposes of its evaluation, the Secretariat has considered that a NIAP is 'substantially achieved' if:

1. The Party has self-assessed at least 80% of actions as 'substantially achieved' in its SC66 progress report;
2. Any remaining actions have been self-assessed by the Party as 'on track' for achievement in its SC66 progress report, and look likely to be completed without any significant delay or challenge; and
3. The progress report submitted by the Party provides sufficient detail to justify the progress ratings, and matches the Secretariat's understanding of the efforts taken by the Party.

While this assessment is based upon the Parties own evaluation of their progress, the Secretariat notes that the results will be influenced by the exact interpretation of each Party when applying the ratings of 'substantially achieved' and 'on track'. While the detail provided in Party progress reports helps confirm the uniform application of progress ratings, it has at times been hampered by a lack of clarity of any NIAP milestones established beyond SC65. For this reason criterion 3 outlined above has also been used to verify the self-assessments as required.

The Secretariat has also compiled data on the progress made by each Party at SC65 and SC66 to show the overall trajectory of implementation, and the extent of further progress made beyond SC65.

The concept of 'sufficient progress' has been defined at the two reporting periods as follows:

1. For SC65, when implementation had been underway for around a year, the Secretariat has defined 'sufficient progress' as comprising any actions that were rated in the Secretariat's evaluation as 'substantially achieved' or 'on track' for achievement. That is, the Secretariat considers that at this stage in the implementation process the goal was to ensure that implementation of NIAP actions was progressing smoothly, and they did not necessarily need to be completed. In the SC65 evaluation, an average of 66% of actions across the nine NIAPs fell across these two categories.
2. For SC66, when NIAP implementation should be nearing completion, the Secretariat has defined 'sufficient progress' more strictly. It includes only those actions that have been rated as 'substantially achieved' in the Party self-assessments (in accordance with the Secretariat's criteria outlined above). An average of 72% of actions across the nine NIAPs fall into this category based upon the self-assessments for SC66.

Review of the data over the two time periods provides a high-level and indicative assessment of each Party's progress with taking 'urgent measures' to commence implementation of its NIAP ahead of SC65, and with continued implementation beyond SC65 with a view of resolving any observed challenges and finalizing incomplete activities. A summary of the allocated progress ratings at SC65 and SC66 for all nine NIAPs is shown in Table 1, and a summary of the extent of 'sufficient progress' at these two time periods in Table 2.

Finally, it is again worth noting that the Secretariat's evaluation only compares each NIAP against itself. While the evaluation has been completed in a consistent fashion this does not mean that the individual assessments are necessarily directly comparable. The level of ambition and the scope of action varies considerably among the nine plans, and the Parties have had differing implementation trajectories since SC65 based on the extent of actions that were not yet completed, the challenges being faced, and the extent to which NIAPs were revised or extended beyond SC65.

TABLE 1: Progress ratings allocated at SC65 (Secretariat’s evaluation) and SC66 (self-assessment by Parties)

NIAP	SC65 progress ratings (Secretariat’s evaluation) (% of NIAP actions in each progress category)				SC66 progress ratings (self-assessment by Parties) (% of NIAP actions in each progress category)			
	Substantially achieved	On track	Challenging	Unclear	Substantially achieved	On track	Challenging	Unclear
China	64%	18%	-	18%	93%	7%	-	-
Hong Kong SAR, China	50%	17%	-	33%	100%	-	-	-
Kenya	43%	36%	7%	14%	100%	-	-	-
Malaysia	50%	25%	-	25%	38%	62%	-	-
Philippines	25%	13%	50%	13%	88%	13%	-	-
Thailand	20%	20%	20%	40%	100%	-	-	-
Uganda	25%	25%	15%	35%	47%	53%	-	-
United Republic of Tanzania	21%	37%	11%	32%	32%	53%	16%	-
Viet Nam	62%	29%	-	10%	82%	18%	-	-
Average	39%	27%	10%	24%	72%	25%	2%	-

TABLE 2: Indicative assessment of overall progress with NIAP implementation

NIAP	% of NIAP actions 'sufficiently progressed'		Has NIAP been 'substantially achieved'? (i.e. by SC66 reporting >80% of actions are self-assessed as 'substantially achieved', see full criteria detailed on page 13)
	SC65 Substantially achieved or On track	SC66 Substantially achieved	
China	82%	93%	Yes
Hong Kong SAR, China	67%	100%	Yes
Kenya	79%	100%	Yes
Malaysia	75%	38%	No
Philippines	38%	88%	Yes
Thailand	40%	100%	Yes
Uganda	50%	47%	No
United Republic of Tanzania	58%	32%	No
Viet Nam	90%	82%	Yes
Average	66%	72%	-

CHINA

% OF NIAP ACTIONS SUFFICIENTLY PROGRESSED	
SC65	SC66
Actions Substantially achieved or On track	Actions Substantially achieved
82% (9 of 11 actions)	93% (13 of 14 actions)

SC65 evaluation

The Secretariat's SC65 evaluation found that China had made good progress with the implementation of its NIAP, with nine of 11 NIAP actions rated as 'substantially achieved' or 'on track'. Two actions were rated as 'unclear' due to the limited information provided in progress reports.

NIAP revision following SC65

China added three actions to its NIAP following SC65, related to stricter regulations for import and sale of ivory (short-term ban on import of some ivory products and phase out of domestic ivory trade; Action 1.2), public destruction of confiscated ivory (Action 2.5) and training seminars on ivory trade for courier companies, international ivory retailers and hunting agencies (Action 4.4). In addition, the milestones of many other actions were updated to detail the activities to be delivered between SC65 and SC66.

SC66 self-assessment by Party

China's self-assessment evaluates 13 of the 14 NIAP actions as 'substantially achieved'. The remaining action – related to stricter regulation for import and sale of ivory (Action 1.2) – is rated as 'on track'.

Secretariat's assessment

The progress report submitted by China indicates that the Party has continued implementation across the breadth of the NIAP between SC65 and SC66, and achieved most of the milestones in the revised NIAP.

Key activities since SC65 include continued strong international collaboration, such as participation in international enforcement operations (e.g. Cobra III; Action 3.1), the convening of an expert workshop on demand-side strategies for curbing illegal ivory trade (Action 3.2) and the provision of training seminars for 10 countries in Africa and nine in Asia (Action 3.3).

Control of domestic trade in ivory has been strengthened through the establishment of new databases for ivory registration (Action 2.4) and awareness-raising activities such as the reporting of ivory seizures by mass media (Action 4.2), the destruction of almost seven tonnes of confiscated ivory (Action 2.5) and seminars for courier companies, hunting companies and online traders (Action 2.4). The enhanced commitments of China to strengthen domestic laws for import and sale of ivory (Action 1.2) are positively noted. The Secretariat notes that the drafting of regulations and associated actions to phase out the domestic retail of ivory is still underway, but appears to be progressing smoothly.

While targeted enforcement operations and their results have been detailed (Action 2.1), further information on the inspection schedules for ivory manufacturers and retailers would be valuable. Information on China's use of forensics to investigate large-scale ivory seizures (Action 2.3) would also be of interest.

The Secretariat's assessment is that China has 'substantially achieved' its NIAP.

Supporting information

The progress ratings allocated by China are summarized in Table 3.

The [NIAP progress report](#) submitted by China can be found in Annex 3.

TABLE 3: Summary of self-assessment of progress with NIAP implementation – CHINA

CATEGORY	PROGRESS RATING			
	Substantially achieved	On track	Challenging	Unclear
1. Legislation and regulations	<p>1.1 Ivory identification and franchise system</p>	<p>1.2 Strict law on ivory trade (NEW)</p>		<p>1.1 Ivory card system</p>
2. National level enforcement action and collaboration	<p>2.1 Violations of ivory card system</p> <p>2.2 Use of specialized investigation techniques</p> <p>2.3 Investigative actions large-scale seizures</p> <p>2.4 Analyze ivory trade database</p> <p>2.5 Ivory destruction (NEW)</p>	<p>2.1 Violations of ivory card system</p>		<p>2.4 Analyze ivory trade database</p>
3. International enforcement collaboration	<p>3.1 International enforcement operation</p> <p>3.2 Collaboration with range and transit States</p> <p>3.3 Enforcement assistance to Africa</p>			
4. Outreach, public awareness and education	<p>4.1 Raise awareness of illegal ivory trade</p> <p>4.2 Promote card system for legal trade</p> <p>4.3 Publicize penalties for offences</p> <p>4.4 Training for companies (NEW)</p>	<p>4.2 Promote card system for legal trade</p>		

HONG KONG SAR, CHINA

% OF NIAP ACTIONS SUFFICIENTLY PROGRESSED	
SC65 Actions Substantially achieved or On track	SC66 Actions Substantially achieved
67% (4 of 6 actions)	100% (8 of 8 actions)

SC65 evaluation

The Secretariat's SC65 evaluation found that Hong Kong SAR, China, had made good progress with the implementation of its NIAP, with three of the six actions rated as 'substantially achieved' and one as 'on track' for achievement. Two actions were rated as 'unclear' due to limited information provided in progress reports.

NIAP revision following SC65

Hong Kong SAR, China, added two actions to its NIAP following SC65, related to capacity-building (Action 2.4) and ivory destruction (Action 3.2). Milestones and activities were also updated to cover implementation from July 2014 to August 2015.

SC66 self-assessment by Party

Hong Kong SAR's self-assessment evaluates all eight of the NIAP actions as 'substantially achieved'.

Secretariat's assessment

The progress report submitted by Hong Kong SAR, China, indicates that NIAP implementation has continued to progress well. Most NIAP activities have now been completed in accordance with the milestones in the revised NIAP.

Key activities since SC65 include the completion of comprehensive ivory stock checks in over 200 premises licensed to sell ivory (Action 1.1) along with a programme of surprise inspections in 274 ivory shops and non-licensed art and craft shops (Action 1.2). In both cases these results exceed the established NIAP milestones of 180 premises. A circular letter has been issued to all licensees to remind them of the regulations that apply to the control of trade in ivory (Action 1.1). The border control efforts of Hong Kong SAR, China, are also noted (Action 2.1), with 185 seizures of ivory in the reporting period that resulted in the conviction of 62 people. Sniffer dogs continue to be deployed to support detection efforts (and were responsible for 22 of the reported seizures) and hologram technology is now used to better monitor pre-Convention ivory (Action 2.1). International collaboration has continued through reporting to the Elephant Trade Information System (ETIS) (Action 2.2), participation in Operation Cobra III (Action 2.1) and forensic sampling of three large-scale ivory seizures (Action 2.3).

The Secretariat notes that the revised NIAP includes clearer and more concrete milestones, responding to the lack of clarity noted in the Secretariat's SC65 evaluation. Activities to improve publicity and education have been better defined and milestones achieved (Action 3.1). The Party's progress report notes that work to implement the NIAP will continue through the completion of stock checks across remaining licensed premises (Action 1.1) and the further destruction of confiscated ivory (Action 3.2), building on the destruction of the almost 30 tonne stockpile of seized ivory in 2014.

The Secretariat's assessment is that Hong Kong SAR, China, has 'substantially achieved' its NIAP.

Supporting information

The progress ratings allocated by Hong Kong SAR, China, are summarized in Table 4.

The [NIAP progress report](#) submitted by Hong Kong SAR, China, can be found in Annex 4.

TABLE 4: Summary of self-assessment of progress with NIAP implementation – HONG KONG, CHINA

CATEGORY	PROGRESS RATING			
	Substantially achieved	On track	Challenging	Unclear
1. Regulation of trade	<p>1.1 Legislation and licensing control</p> <p>1.2 Compliance monitoring</p>			<p>1.1 Legislation and licensing control</p> <p>1.2 Compliance monitoring</p>
2. Enforcement	<p>2.1 Import control</p> <p>2.2 Intelligence exchange</p> <p>2.3 International collaboration</p> <p>2.4 Capacity building <i>(NEW)</i></p>			
3. Publicity and education	<p>3.1 Publicity and education <i>(NEW)</i></p> <p>3.2 Incineration of ivory <i>(NEW)</i></p>	<p>(No specified actions)</p>		

KENYA

% OF NIAP ACTIONS SUFFICIENTLY PROGRESSED	
SC65 Actions Substantially achieved or On track	SC66 Actions Substantially achieved
79% (11 of 14 actions)	100% (14 of 14 actions)

SC65 evaluation

The Secretariat's SC65 evaluation found that Kenya had made good progress with the implementation of its NIAP, with six of 14 actions rated as 'substantially achieved' and five 'on track' for achievement, and one as 'challenging'. Two actions were rated as 'unclear' due to limited information provided in progress reports. The Secretariat's evaluation noted that Kenya had prepared a comprehensive NIAP with a broad range of actions.

NIAP revision following SC65

Kenya did not revise its NIAP following SC65 but continued implementation, with a focus on strengthening the delivery of actions that were rated as 'unclear', 'challenging' and 'on track' in the SC65 evaluation.

SC66 self-assessment by Party

Kenya's self-assessment evaluates all 14 NIAP actions as 'substantially achieved'.

Secretariat's assessment

The progress report submitted by Kenya indicates that activity has continued against many parts of the NIAP. The report notes that the impact of NIAP implementation has been observed through a 40% decline in poaching over 2014-2015.

Key activities since SC65 include the establishment of a special wildlife crime prosecution unit and the convening of sensitization meetings for prosecutors and the judiciary (Action 1.3). The Party's report notes that the increased awareness, along with a strengthened wildlife crimes penalty framework, is helping ensure that appropriate verdicts are handed down.

National enforcement capacity has been strengthened by the recruitment of an additional 592 rangers (Action 2.3), the increased use of sniffer dogs (Action 2.3) and the completion of a national ivory and rhinoceros horn stockpile audit and associated database (Action 2.1). Forensics capacity has been enhanced through the operationalization of the national forensics and genetic laboratory, and further forensic sampling of large-scale seizures (Action 2.1). The Secretariat notes that Kenya's laboratory will also provide services for other countries in the region. International collaboration has continued through participation in joint operations such as Operation Cobra III (Action 3.3), cross-border meetings with the United Republic of Tanzania (Action 3.2) and bilateral missions with China, Thailand and Viet Nam (Action 3.3).

The Secretariat notes that there are a few activities listed in the NIAP that have not been reported against (e.g. high-level international collaboration pursued against Action 3.1, the establishment and operation of a wildlife crime reporting system under Action 2.4). Further information would help clarify any additional activities delivered or if these were removed from the NIAP through post-SC65 revision. The development of subordinate legislation (Action 1.3), originally scheduled for completion in April 2014, appears to be still in progress. Clarification of any challenges associated with this process would be useful.

Kenya's progress report appears to be partly based on an assessment of its enforcement capacity using a law enforcement capacity benchmark tool developed by the CITES-Monitoring the Illegal Killing of Elephants (CITES-MIKE) programme². The Secretariat notes that the included statements translate to a score of either a two or three out of three, and therefore Kenya does not appear to have any identified any major capacity concerns through this assessment.

² The CITES-MIKE national level law enforcement benchmarks have been incorporated in the work of the International Consortium on Combating Wildlife Crime (ICWC) to develop indicators of effective law enforcement. This work is described in document SC66 Doc. 16.5 on ICWC prepared for the present meeting.

The Secretariat's assessment is that Kenya has 'substantially achieved' its NIAP.

The Secretariat notes that there may also be the opportunity to support NIAP implementation through a Global Environment Facility funded project administered by the United Nations Development Programme (UNDP-GEF) under development in Kenya, and encourages the Party to reach out to UNDP for any further implementation support that may be required to continue NIAP activities.

Supporting information

The progress ratings allocated by Kenya are summarized in Table 5. The Secretariat notes that Kenya's progress report did not always follow the numbering of actions established by the NIAP. Where differences were observed, the Secretariat has followed the numbering in the NIAP.

The [NIAP progress report](#) submitted by Kenya can be found in Annex 5.

TABLE 5: Summary of self-assessment of progress with NIAP implementation – KENYA

CATEGORY	PROGRESS RATING			
	Substantially achieved	On track	Challenging	Unclear
1. Legislation and regulations	<p>1.1 Monitoring illegal trade</p> <p>1.2 Review and gazettal of legislation</p> <p>1.3 Reduce period for prosecution of crime</p>	<p>1.3 Reduce period for prosecution of crime</p>		
2. National level enforcement action and inter-agency collaboration	<p>2.1 Stockpile registration and marking</p> <p>2.2 Local interagency collaboration</p> <p>2.3 Equip law enforcement agencies</p> <p>2.4 Wildlife crime reporting system</p>	<p>2.1 Stockpile registration and marking</p> <p>2.4 Wildlife crime reporting system</p>		
3. International and regional enforcement collaboration	<p>3.1 Strengthen regional policy collaboration</p> <p>3.2 Cross-border collaboration</p> <p>3.3 International investigative collaboration</p>	<p>3.3 International investigative collaboration</p>	<p>3.1 Strengthen regional policy collaboration</p>	<p>3.2 Cross-border collaboration</p>
4. Outreach, public awareness and education	<p>4.1 Strengthen local engagement capacity</p> <p>4.2 International demand reduction campaigns</p> <p>4.3 Sensitize airlines and couriers</p>	<p>4.1 Strengthen local enforcement capacity</p>		<p>4.3 Sensitize airlines and couriers</p>
5. Reporting	<p>5.1 Reporting to SC</p>			

MALAYSIA

% OF NIAP ACTIONS SUFFICIENTLY PROGRESSED	
SC65	SC66
Actions Substantially achieved or On track	Actions Substantially achieved
73% (8 of 11 actions)	38% (5 of 13 actions)

SC65 evaluation

The Secretariat's SC65 evaluation found that Malaysia had made good progress with the implementation of its NIAP, with five of 11 actions³ rated as 'substantially achieved' and three as 'on track' for achievement. Three actions were rated as 'unclear' due to limited information provided in progress reports.

NIAP revision following SC65

Malaysia made minor revisions to its NIAP following SC65. Outreach and awareness-raising activities were broadened, resulting in new actions on stakeholder awareness (Action 4.2) and wildlife conservation awareness seminars (Action 4.3). The extent to which other milestones were revised or extended following SC65 is somewhat unclear.

SC66 self-assessment by Party

Malaysia's self-assessment evaluates five of the 13 NIAP actions as 'substantially achieved', with the remaining eight rated as 'on track' for achievement. The Secretariat notes that the progress report submitted by Malaysia includes a number of activities that were reported on at SC65. Only activities delivered after SC65 have been included in the Secretariat's assessment outlined below.

Secretariat's assessment

Malaysia's progress report indicates that there has been further activity against a number of NIAP actions between SC65 and SC66, including the actions rated as 'unclear' in the SC65 assessment. The Secretariat conducted a mission to Malaysia in March 2015, during which it discussed the further progress with NIAP implementation with key officials.

In particular, the Secretariat notes the progress that has been made with the adoption of forensic technology, with a new national wildlife forensic laboratory to open in November 2015 (Action 5.1) and the completion of further sampling from large-scale ivory seizures (Action 5.4). Malaysia has also maintained its delivery of targeted training to improve enforcement capacity (Actions 5.2, Action 5.5), supported cross-agency cooperation through meetings of CITES authorities (Action 2.2) and conducted further awareness-raising activities including on World Elephant Day (Actions 4.1, 4.3). International collaboration has been pursued through activities such as participation in Operation Cobra III (Action 3.2) and a meeting of the Wildlife Enforcement Network of the Association of Southeast Asian Nations (ASEAN-WEN) (Action 3.1).

Over half of the actions in Malaysia's NIAP were rated by the Party as 'on track' for achievement, indicating that further activity is anticipated during the life of the NIAP. The Secretariat notes that for some of these 'on track' actions, there does not appear to be any post-SC65 activity detailed in Malaysia's progress report. Further information on any activities delivered following SC65 (e.g. detail of any enforcement operations held at sea ports and airports; Action 2.1), or on specific milestones established via NIAP revision, would be valuable.

Malaysia has indicated in its progress report a need for further resources and technical capacity (e.g. to support the increased uptake of forensic technology) to strengthen NIAP implementation. The need for all NIAP countries to improve intelligence-sharing is also emphasized.

The Secretariat commends Malaysia for including indicators in its report to help measure the progress made with NIAP implementation – one of only a few primary concern Parties to do so.

³ Table 7 in document SC65 Doc 42.2 incorrectly showed Malaysia's NIAP as containing an action called '4.2 International Demand Reduction'. This is not an action in Malaysia's NIAP and so is not shown in this document.

The Secretariat notes the further progress that has been made by Malaysia. Yet with less than 80% of actions self-assessed as ‘substantially achieved’ in the Party’s SC66 progress report, the Secretariat’s assessment is that Malaysia has not yet ‘substantially achieved’ its NIAP.

The Secretariat notes that there may also be the opportunity to support NIAP implementation through a UNDP-GEF project underway in Malaysia, and encourages the Party to reach out to UNDP for any further implementation support that may be required.

Supporting information

The progress ratings allocated by Malaysia are summarized in Table 6. There were some internal inconsistencies in Malaysia’s submitted progress report and the Secretariat has attempted to provide the correct representation of NIAP actions in this document.

The [NIAP progress report](#) submitted by Malaysia can be found in Annex 6.

TABLE 6: Summary of self-assessment of progress with NIAP implementation – MALAYSIA

CATEGORY	PROGRESS RATING			
	Substantially achieved	On track	Challenging	Unclear
1. Legislation and regulation	1.1 Capacity building for ID and other techniques			
2. National level enforcement action, investigation and inter-agency coordination	2.1 Enforcement activity at entry and exit points 2.2 Local interagency collaboration			
3. International enforcement collaboration		3.1 Regional collaboration 3.2 International collaboration		
4. Outreach, public awareness and education		4.1 Public awareness-raising activities 4.2 Stakeholder engagement sessions (<i>NEW</i>) 4.3 Conservation awareness seminars (<i>NEW</i>)		4.1 Public awareness-raising activities
5. Additional priority activities	5.2 Wildlife enforcement capacity building 5.4 Stockpile management	5.1 Forensic technology 5.3 Investigation 5.5 ID expertise at border crossing points		5.1 Forensic technology 5.3 Additional investigation tools

PHILIPPINES

% OF NIAP ACTIONS SUFFICIENTLY PROGRESSED	
SC65	SC66
Actions Substantially achieved or On track	Actions Substantially achieved
38% (3 of 8 actions)	88% (7 of 8 actions)

SC65 evaluation

The Secretariat's SC65 evaluation found that the Philippines had made mixed progress with the implementation of its NIAP. While two of eight actions were rated as 'substantially achieved' and a further action 'on track' for achievement, four actions were rated as 'challenging'. The implementation challenges were in large part due to the reliance of some NIAP actions on external resources that had not yet been secured. One action was rated as 'unclear' due to limited information provided in progress reports.

NIAP revision following SC65

The Philippines revised its NIAP following SC65 to extend and amend milestones to June 2016. Four actions were removed from the revised NIAP (two of which were merged with other NIAP actions) and replaced by four new actions covering stockpile inventory (Action 1.2), capacity-building (Action 2.2), training in ivory identification and stockpile management (Action 3.1), and international participation (Action 3.2).

SC66 self-assessment by Party

The Philippines' self-assessment evaluates seven of the NIAP's eight actions as 'substantially achieved'. The remaining action – registration of ivory and ivory products (Action 1.1) – is rated as 'on track' for achievement.

Secretariat's assessment

The reported activity indicates that progress with the implementation of the Philippines' NIAP has improved following SC65. The Secretariat positively notes that the challenges identified in the SC65 assessment appear to have been resolved, with all actions now actively progressing.

The establishment of the Philippines Operations Group on Ivory and Illegal Wildlife Trade (POGI) reported at SC65 has been built upon. The operation of POGI (Action 2.1) is now well underway, with the group participating in 15 enforcement operations between July 2014 and September 2015. The registration policy for raw and worked ivory (Action 1.1) – rated as 'challenging' in the SC65 assessment – has been drafted, undergone public consultation and is 'on track' for adoption in December 2015. Similarly, the stalled capacity-building training (Action 3.1) has now been completed (with an amended focus on ivory identification, not intelligence-led surveillance as originally planned) following the mobilization of external funds. It is not clear whether the need for intelligence training remains, but the Secretariat notes that further capacity-building has been addressed through train-the-trainers workshops (Action 2.2) and the 'International Workshop on the Prohibition of the Illicit Trade in Wildlife' (Action 3.2) hosted by the Philippines in November 2014. More achievable milestones have been set for awareness-raising actions and these have been achieved, including the completion of seminars with representatives from across government, airlines and international courier companies (Action 4.1).

The Secretariat notes that a few milestones were not reported against (e.g. progress towards the continuous monitoring of at least five major entry sea ports and airports; Action 3.1). Further information on these activities would be valuable.

The Secretariat's assessment is that the Philippines has 'substantially achieved' its NIAP.

Supporting information

The progress ratings allocated by the Philippines are summarized in Table 7.

The [NIAP progress report](#) submitted by the Philippines can be found in Annex 7. The Secretariat has removed detailed information on confiscated ivory stockpiles from the Party's report prior to posting.

TABLE 7: Summary of self-assessment of progress with NIAP implementation – PHILIPPINES

CATEGORY	PROGRESS RATING			
	Substantially achieved	On track	Challenging	Unclear
1. Legislation and regulations	<p>1.2 Stockpile inventory (NEW)</p>	<p>1.1 Registration of ivory and ivory products</p>	<p>1.1 Registration of ivory and ivory products</p>	
2. National level enforcement actions, investigation and inter-agency coordination	<p>2.1 Philippine Operations Group on Ivory (POGI)</p> <p>2.2 Seized ivory destruction and repatriation</p> <p>2.2 Capacity building (NEW)</p>			<p>2.3 Criminal cases</p> <p>(Activity merged into 2.1)</p>
3. International enforcement collaboration	<p>3.1 Training on ivory ID and stockpile mgt (NEW)</p> <p>3.2 International participation (NEW)</p>	<p>3.2 Information sharing (ETIS)</p> <p>(Activity merged into 3.1)</p>	<p>3.1 Training on intelligence-led surveillance</p>	
4. Awareness and education	<p>4.1 Policy seminars for air and sea ports</p> <p>4.2 Information and educational materials</p>		<p>4.1 Policy seminars for air and sea ports</p> <p>4.2 Information and educational materials</p>	

THAILAND

% OF NIAP ACTIONS SUFFICIENTLY PROGRESSED	
SC65	SC66
Actions Substantially achieved or On track	Actions Substantially achieved
40% (4 of 10 actions)	100% (15 of 15 actions)

SC65 evaluation

The Secretariat's SC65 evaluation found that Thailand had made mixed progress with the implementation of its NIAP, with two of 10 actions rated as 'substantially achieved', two 'on track' for achievement, two 'challenging' and four as 'unclear'. In response to concerns about Thailand's progress – in particular the limited progress made with pivotal legislative reforms – SC65 recommendations directed the Party to submit a revised NIAP to the Secretariat by 30 September 2014 and to report on progress with the implementation of the revised NIAP by 15 January and 31 March 2015.

NIAP revision following SC65

In accordance with SC65 recommendations, Thailand developed a revised NIAP following SC65 to address, *inter alia*, the following matters set out in the SC65 footnote:⁴ ensure the implementation of priority actions to progress legislative reform, establish registration systems for ivory possession and trade, and strengthen law enforcement and monitoring and control of ivory traders. Thailand's revised NIAP includes 15 actions, of which most are essentially new or significantly broadened actions.

Intersessional progress reporting and review by Standing Committee

The Secretary-General of CITES conducted a mission to Thailand in December 2014⁵ to review the progress made with implementation of the revised NIAP. During this mission, the Secretariat met with the Minister of Natural Resources and Environment and senior officials from the many agencies, including the Royal Thai Police, with a role in implementation of the revised NIAP. The intersessional reporting requirements directed to Thailand were also discussed.

Thailand submitted two progress reports intersessionally, which provided an update on the initial progress with implementing the revised NIAP. Thailand's 15 January 2015 progress report rated all actions that had commenced at that stage as 'substantially achieved' or 'on track'. In particular, the first progress report highlighted that key legislative amendments (action 1a) of the SC65 footnote) had been achieved and that activities to strengthen law enforcement (action 1c) of the SC65 footnote) were underway.

The March progress report noted that all actions in the revised NIAP had commenced, and progress with all actions was again rated as 'substantially achieved' or 'on track'. A key development since the first progress report was the commencement of the new registration systems for possession of African elephant ivory and domesticated elephant ivory, and for domesticated ivory traders and their trading stock (action 1b) of the SC65 footnote).

The members of the Standing Committee reviewed the January and March progress reports intersessionally. The members of the Committee considered that Thailand had made satisfactory progress with the

⁴ The SC65 footnote (as detailed in document SC65 Com. 7) directed Thailand to include the following actions, to be achieved by 31 March 2015, in its revised NIAP:

- 1a) the enactment of appropriate legislative or regulatory provisions (such as the inclusion of the African elephant as "protected species" under the Wildlife Act) that allow for the effective control of domestic trade and possession of elephant ivory and provide for strict penalties in case of illegal possession or illegal domestic trade of ivory;
- 1b) the enactment of legislative or regulatory controls establishing (i) a comprehensive registration system for domestic ivory and (ii) an effective system for registration and licensing of ivory traders (including enforcement and penalisation in case of offences); if those controls are already in place, Thailand should inform the Secretariat on the acts establishing those controls;
- 1c) increases efforts on the monitoring and control of ivory traders and ivory data, as well for law enforcement efforts against illegal ivory trade, including indicators on how those efforts will be measured.

⁵ https://cites.org/eng/thailand_niaps

implementation of its NIAP since SC65 and achieved the three actions detailed in the SC65 footnote. In light of the clear progress made by Thailand, and the further progress reporting to be provided for SC66, no intersessional recommendations were considered necessary.

SC66 self-assessment by Party

Thailand's self-assessment for SC66 continues to report positively on NIAP implementation, with all 15 NIAP actions rated as 'substantially achieved'.

Secretariat's assessment

A notable reform programme to strengthen the control of ivory possession and trade in Thailand has been completed since SC65. In January 2015, the enactment of the Elephant Ivory Act 2015 strengthened controls and introduced new penalties for the possession and trade of domesticated elephant ivory (Action 1.4). Other legislative amendments introduced penalties for illegal possession or trade in African elephant ivory (Action 1.2, Action 1.3) and a more rigorous system for the identification of live domesticated elephants (Action 1.1).

The legislative reform has been implemented through the roll-out of three interconnected registration systems for the legal possession of African elephant and domesticated elephant ivory (Action 2.2), ivory traders and their stock (Action 2.1), and confiscated ivory (Action 2.3). New national ivory databases have been developed to collect existing and new data, and facilitate monitoring for any illegal trade or possession. Over 47,000 possessors of domesticated elephant ivory have been registered through this process, along with 54 possessors of African elephant ivory. There are presently 247 traders of ivory recorded, with data on their ivory stocks expected to be incorporated in the database by December 2015.

Substantial activities to strengthen law enforcement have been completed (Actions 3.1 and 3.2 and sub-actions). This includes the establishment of 22 ivory information centers and the deployment of 79 ivory trade monitoring teams to advise traders on legal requirements and conduct regular inspections to detect non-compliance (with inspections held up to 2-3 times per month prior to the enactment of the Elephant Ivory Act, and 3-4 times per month subsequently). A cross-agency Task Force led by the Royal Thai Police has also been established, along with a national network of informers and activities to enhance customs and border control inspections. Efforts to build the capacity of authorities to enforce the new laws through training manuals and workshops (Action 3.3) are also noted.

Diverse activities to raise awareness of legal and illegal ivory trade among the public, ivory traders and foreign tourists have been delivered (Action 4.1 and sub-actions), including through online and diplomatic channels, and campaigns at trade hotspots such as Chatuchak weekly market.

While some activities – such as the establishment of registration systems – were completed slightly behind schedule, and the adoption of subordinate regulations is still being finalized, the actions set out in Thailand's revised NIAP appear to have been substantially completed. The Secretariat notes the comprehensive nature of the progress made by Thailand, along with the positive way in which the Party has responded to the Standing Committee's requests for progress reports and any further information requested by members of the Standing Committee.

The Secretariat's assessment is that Thailand has 'substantially achieved' its revised NIAP.

The Secretariat notes that there may also be the opportunity to support NIAP implementation through a UNDP-GEF project under development in Thailand, and encourages the Party to reach out to UNDP for any further implementation support that may be required to continue NIAP activities.

Supporting information

The progress ratings allocated by Thailand are summarized in Table 8. For simplicity these are shown at the action level – the progress ratings for individual sub-actions as applicable can be found in Thailand's progress report. The Secretariat has attempted to align the actions in the revised NIAP to those in Thailand's original NIAP, but due to the scope of change between the two documents, the Secretariat notes that in places its representation could be inaccurate.

The [NIAP progress report](#) submitted by Thailand can be found in Annex 8.

TABLE 8: Summary of self-assessment of progress with NIAP implementation – THAILAND

CATEGORY	PROGRESS RATING			
	Substantially achieved	On track	Challenging	Unclear
1. Related legislations and regulations	<p>1.1 Revision Beast of Burden Act (NEW)</p> <p>1.2 Revision Wild Animals (WARPA) Act</p> <p>1.3 WARPA Regulations (NEW)</p> <p>1.3 Revision-livestock moving regulations</p> <p>1.4 Ivory Trade Act (NEW)</p>		<p>1.1 Revision-Draught Animals Act</p> <p>1.2 Revision Wild Animals (WARPA) Act</p>	
2. Registration system	<p>2.1 Information on traders</p> <p>2.1 Improve ivory trader registration system (NEW)</p> <p>2.2 Registration system for ivory possession (NEW)</p> <p>2.3 Registration system for confiscated ivory (NEW)</p>	<p>2.2 Stockpile data and marking</p>		
3. Monitoring system				<p>3.1 Monitoring data on traders</p> <p>3.2 Checking and compiling trade data (Activities merged into 2.1)</p> <p>3.3 Preparation of Annual Report (Activity merged into 5.3)</p>

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CATEGORY	PROGRESS RATING			
	Substantially achieved	On track	Challenging	Unclear
3. Supervision and law enforcement	<p>3.1 Enforce the law <i>(NEW)</i></p> <p>3.2 Curbing illegal trade <i>(NEW)</i></p> <p>3.3 Capacity building <i>(NEW)</i></p>			(No specified actions)
4. Public awareness	<p>4.1 Awareness raising of CITES and law <i>(NEW)</i></p> <p>4.2 Awareness raising of elephant conservation <i>(NEW)</i></p>	(No specified actions)		
5. Monitoring and evaluation	<p>5.1 Establish NIAP sub-committees <i>(NEW)</i></p> <p>5.2 Meetings of NIAP sub-committees <i>(NEW)</i></p> <p>5.3 Progress reports <i>(NEW)</i></p>			

UGANDA

% OF NIAP ACTIONS SUFFICIENTLY PROGRESSED	
SC65 Actions Substantially achieved or On track	SC66 Actions Substantially achieved
50% (10 of 20 actions)	47% (8 of 17 actions)

SC65 evaluation

The Secretariat's SC65 evaluation found that Uganda had made mixed progress with the implementation of its NIAP, with five of 20 actions rated as 'substantially achieved', five 'on track' for achievement, three 'challenging' and seven 'unclear'. While there was good progress with some parts of the NIAP, the implementation of key capacity-building actions was challenged by a lack of external resources, and a lack of detailed reporting left progress with many actions unclear.

NIAP revision following SC65

Following SC65, Uganda revised its NIAP to remove the three capacity-building actions that were reliant upon external resources for completion. Where possible, these activities were integrated into the NIAP actions for intelligence and enforcement. It is not clear whether any new milestones were set for the time period up to SC66.

SC66 self-assessment by Party

Uganda's self-assessment evaluates almost half (eight) of the 17 NIAP actions as 'substantially achieved'. The remaining nine actions are rated as 'on track'.

Secretariat's assessment

Uganda has built on the progress observed at SC65 and reported further achievements with NIAP implementation. In particular, the further progress made with raising government and public awareness is noted. Three inter-agency workshops involving judiciary, police, immigration and customs have been held since SC65, along with a national dialogue on illegal wildlife trade (Action 4.1) which is proposed to continue as an annual event. The capacity of the Intelligence Enforcement Unit established prior to SC65 has been strengthened through the completion of staff training and the procurement of equipment (Action 2.1), and the establishment of a wildlife crime database (Action 3.3). Progress is also reported with the use of sniffer dogs (Action 2.3). Two dogs have been acquired and are currently being trained ahead of their deployment at key exit points. The inter-agency task force established ahead of SC65 is now operational, and has executed major operations (including Uganda's participation in Operation Cobra III and Operation Worthy II; Action 3.1). Joint investigations with Kenya, Malaysia, Singapore and the Lusaka Agreement Task Force (LATF) are also reported (Action 3.2).

While noting the further progress since SC65, some challenges appear to remain. Actions related to legislative reform have progressed relatively slowly since SC65, although the drafting of a Bill to revise the National Wildlife Act (Action 1.1) is now complete and before the Cabinet. The draft CITES Domestication Orders to implement CITES provisions in national legislation (Action 1.2) are also before the Cabinet, although this appears to be the same progress observed at SC65. The Secretariat notes that both actions are proceeding well behind the original scheduled adoption date of June 2014. Uganda's report notes that the adoption of this Bill should provide a springboard for complete NIAP implementation and thus completion of this action appears pivotal.

The theft of stockpile ivory in mid-2014 has led Uganda to downgrade the rating of Action 5.1 from 'substantially achieved' to 'on track'. Further security measures (e.g. installation of CCTV cameras) have been put in place and a stockpile management protocol is due for completion by December 2015.

Uganda notes the need for more national capacity to effectively support regional and international investigations (Action 3.3). Funding proposals continue to be developed to support NIAP implementation (including the removed capacity-building actions) and a request has been submitted to the Secretariat for

assistance with stockpile management (Action 5.2). The Secretariat positively notes that Uganda has also requested support for NIAP implementation from the GEF-6 biodiversity allocation for Uganda (Action 4.4).

The further progress made by Uganda is noted. Yet with less than 80% of actions self-assessed as 'substantially achieved' in the Party's SC66 progress report, the Secretariat's assessment is that Uganda has not yet 'substantially achieved' its NIAP.

Supporting information

The progress ratings allocated by Uganda are summarized in Table 9.

The [NIAP progress report](#) submitted by Uganda can be found in Annex 9.

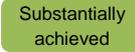
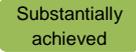
TABLE 9: Summary of self-assessment of progress with NIAP implementation – UGANDA

CATEGORY	PROGRESS RATING			
	Substantially achieved	On track	Challenging	Unclear
1. Legislation		<p>1.1 Revise National Wildlife Act</p> <p>1.2 Develop guidelines and regulations</p>		
2. Intelligence and enforcement (national level)	<p>2.1 Strengthen Intelligence Enforcement Unit at UWA</p> <p>2.2 Enforcement staff at border points</p> <p>2.4 Create National Task Force</p>	<p>2.3 Explore use of sniffer dogs</p>		<p>2.2 Enforcement staff at border points</p>
3. Coordination and collaboration (national and international)	<p>3.1 Law enforcement collaboration</p> <p>3.2 Regional cooperation and information exchange</p> <p>3.4 Ivory DNA samples</p>	<p>3.2 Regional cooperation and information exchange</p> <p>3.3 Capacity for international investigations</p>		<p>3.1 Law enforcement collaboration</p> <p>3.3 Capacity for international investigations</p>
4. Awareness creation	<p>4.1 Inter-agency seminars and workshops</p>	<p>4.2 Awareness-raising materials</p> <p>4.3 National awareness-raising programme</p> <p>4.4 Linkages with development partners</p>		<p>4.2 Awareness-raising materials</p> <p>4.3 National awareness-raising programme</p> <p>4.4 Linkages with development partners</p>
5. Management of confiscated ivory	<p>5.1 Secure storage of confiscated ivory</p> <p>5.3 Regular stocktakes of wildlife specimens</p>	<p>5.1 Secure storage of confiscated ivory</p> <p>5.2 Develop procedures for stockpile</p> <p>5.3 Regular stocktakes of wildlife specimens</p>		<p>5.2 Develop procedures for stockpile</p>

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CATEGORY	PROGRESS RATING			
	Substantially achieved	On track	Challenging	Unclear
6. Training and capacity development			6.1 Capacity in investigation techniques 6.2 Capacity to deliver ivory action plan 6.3 Capacity-building programmes (Activity merged into 2.1-2.4)	

UNITED REPUBLIC OF TANZANIA

% OF NIAP ACTIONS SUFFICIENTLY PROGRESSED	
SC65	SC66
Actions  or 	Actions 
58% (11 of 19 actions)	32% (6 of 19 actions)

SC65 evaluation

The Secretariat's SC65 evaluation found that the United Republic of Tanzania had made mixed progress with the implementation of its NIAP. Just over half (11) of the 19 NIAP actions were evaluated as having shown clear progress, with two actions rated as 'substantially achieved' and seven as 'on track' for achievement. Two actions were rated as 'challenging' and progress with a further six was 'unclear' due to limited information provided. The ambitious and comprehensive nature of the Party's NIAP was noted.

NIAP revision following SC65

The United Republic of Tanzania broadly revised its NIAP following SC65 to extend implementation to 30 June 2016. New milestones were established for all actions. The revision also resulted in the removal of four NIAP actions (with activity integrated elsewhere in the NIAP as possible) that had been rated as unclear in the SC65 assessment. These were replaced with four new actions related to the establishment of the Tanzanian Wildlife Authority (TAWA; Action 1.2), staff training (Action 2.6), and reviews of both the Tanzania Elephant Management Plan (Action 4.4) and the Wildlife Management Area (WMA) revenue-sharing scheme (Action 7.2).

SC66 self-assessment by Party

The United Republic of Tanzania's self-assessment evaluates six of the 19 NIAP actions as 'substantially achieved', and a further ten as 'on track' for achievement. The remaining three actions – related to legislative reform (Actions 1.1, 1.2, 1.3) – are rated as 'challenging'.

Secretariat's assessment

The progress report submitted by the United Republic of Tanzania indicates that broad NIAP implementation has continued between SC65 and SC66, with further progress made against many actions.

Activities delivered since SC65 include the release of the 'National Strategy to Combat Poaching and Illegal Wildlife Trade' (Action 2.4) in October 2014. Implementation of the strategy, including resource mobilization and the development of individual projects, is now underway. The Secretariat notes that the implementation of this strategy could provide opportunities to strengthen NIAP implementation.

Measurable progress has continued against law enforcement actions, with the recruitment of over 450 Game Scouts and 100 Game Officers in 2015 (Action 2.2), the purchase of additional field equipment (Action 2.3) and enhanced patrolling efforts (Action 2.1). Some staff have been trained in techniques including anti-poaching, intelligence gathering and crime scene management (Action 2.6), and training of a further 100 staff is scheduled to be completed by June 2016.

Yet other parts of the NIAP have not progressed as strongly. Actions to amend the Wildlife Conservation Act (Action 1.1) and associated regulations (Action 1.3), and draft CITES regulations for Zanzibar (Action 1.4) have seen limited progress since SC65, in part due to organizational disruption caused by the establishment of TAWA. The Secretariat notes that the scheduled adoption date for these actions is now June 2016, pushed back from the original December 2013 milestone. Further information on any challenges with meeting the new milestones would be useful given the important nature of these reforms for overall NIAP implementation.

The Party's progress report also notes other emerging challenges, such as the stalled development of a genetic map of national elephant populations (Action 4.3) due to a lack of in-house expert forensic capacity, and a shortage of housing that will potentially impede the full recruitment of law enforcement staff in accordance with NIAP milestones (Action 2.2).

The Secretariat notes the further progress made by the United Republic of Tanzania and also the ambitious scope of the Party's NIAP. Yet with less than 80% of actions self-assessed as 'substantially achieved' in the Party's SC66 progress report and three actions rated as 'challenging', the Secretariat's assessment is that the United Republic of Tanzania has not yet 'substantially achieved' its NIAP.

The Secretariat notes that there may also be the opportunity to support NIAP implementation through a UNDP-GEF project under development in the United Republic of Tanzania, and encourages the Party to reach out to UNDP for any further implementation support that may be required. The Party has also been invited by ICCWC to implement the 'ICCWC Wildlife and Forest Crime Analytic Toolkit' – an activity that could further strengthen NIAP implementation.

Supporting information

The progress ratings allocated by the United Republic of Tanzania are summarized in Table 10. There were some internal inconsistencies in the United Republic of Tanzania's submitted progress report and the Secretariat has attempted to provide an accurate representation of the progress ratings that were assigned to each NIAP action in this document.

The [NIAP progress report](#) submitted by the United Republic of Tanzania can be found in Annex 10.

TABLE 10: Summary of self-assessment of progress with NIAP implementation – UNITED REPUBLIC OF TANZANIA

CATEGORY	PROGRESS RATING			
	Substantially achieved	On track	Challenging	Unclear
1. Legislation and regulations		<p>1.2 Establishment of Tanzania Wildlife Authority (NEW)</p> <p>1.2 CITES Regulation for Zanzibar</p>	<p>1.1 Amend Wildlife Conservation Act</p> <p>1.3 Review Wildlife Conservation Regulations</p> <p>1.4 CITES Regulation for Zanzibar</p>	
2. Law enforcement	<p>2.3 Purchase of patrol equipment</p> <p>2.6 Staff training and capacity building (NEW)</p>	<p>2.1 Anti-poaching patrols</p> <p>2.2 Recruitment of law enforcement staff</p> <p>2.4 Inter-agency workshop</p> <p>2.5 Enforcement capacity at exit points</p>		<p>2.1 Increase surveillance coverage</p> <p>2.7 Inter-agency workshop</p> <p>2.4 Intelligence information system</p> <p>2.5 Prosecution training</p> <p>2.6 Speed of prosecutions</p> <p>2.8 Conduct special operations</p>
3. Ivory stockpile database management	<p>3.1 Stockpile registration and marking</p>	<p>3.1 Stockpile registration and marking</p>		

(continues on next page)

CATEGORY	PROGRESS RATING			
	Substantially achieved	On track	Challenging	Unclear
4. Monitoring and evaluation	<p>4.1 Aerial and ground wildlife census</p>	<p>4.2 National genetic map</p> <p>4.3 Demographic surveys</p> <p>4.4 Tanzania elephant management plan (<i>NEW</i>)</p>		
5. Cross-border cooperation		<p>5.1 Cross-border cooperation</p>		
6. Public awareness and education	<p>6.1 National awareness-raising campaign</p>			
7. Community-based conservation	<p>7.1 Wildlife Management Areas (WMAs)</p>	<p>7.2 Review WMA revenue-sharing scheme (<i>NEW</i>)</p>		

VIET NAM

% OF NIAP ACTIONS SUFFICIENTLY PROGRESSED	
SC65	SC66
Actions Substantially achieved or On track	Actions Substantially achieved
90% (19 of 21 actions)	82% (18 of 22 actions)

SC65 evaluation

The Secretariat's SC65 evaluation found that Viet Nam had made good progress with the implementation of its NIAP, with 13 of 21 actions rated as 'substantially achieved' and six 'on track' for achievement. Two actions were rated as 'unclear' due to limited information in progress reports. The Secretariat noted the ambitious range of actions in Viet Nam's NIAP and positively observed that over half of the actions had been 'substantially achieved' by SC65.

NIAP revision following SC65

Viet Nam revised its NIAP following SC65 to extend implementation to April 2015. Some new milestones were established as part of the revision, and anti-corruption efforts (Action 5.1) refocused. The revision also appears to have resulted in new activity related to awareness raising and demand reduction.⁶

SC66 self-assessment by Party

Viet Nam's self-assessment evaluates 18 of the 22 NIAP actions as 'substantially achieved'. The remaining four actions – related to review of legislation and responses (Action 1.2, Action 1.7), ASEAN cooperation (Action 4.1) and the establishment of a national ivory database (Action 6.1) – are rated as 'on track' for achievement.

Secretariat's assessment

Viet Nam has built on the progress observed at SC65 and conducted further activity in a number of areas.

In particular, further progress has been made with international and regional cooperation. The Memorandum of Understanding (MoU) between Viet Nam and China has been adopted (Action 4.3) and cooperation with the Lao People's Democratic Republic has been reviewed (Action 3.5), resulting in an agreement to strengthen cooperation at key border points. An MoU with the Czech Republic has also been signed. National inter-agency collaboration has continued through the Viet Nam WEN (Action 3.1) whose membership has been broadened to include prosecution and judicial interests. The capacity of enforcement officials has been strengthened through additional training in wildlife law, CITES requirements, investigation techniques, identification of specimens and new scanning technologies (Action 2.1). There has also been clear progress with the implementation of the national elephant conservation programme (Action 1.3), with USD 2 million funding secured for implementation and a number of provincial projects developed.

The Secretariat notes that a number of targeted actions achieved by SC65 have required no further activity. Other actions appear to be no longer required as the desired outcomes have been achieved via other mechanisms (e.g. Action 1.5 to develop a Ministerial Circular on hunting trophies).

Some actions in Viet Nam's NIAP are still underway. Three actions rated as 'substantially achieved' at SC65 are now rated as 'on track' due to this further activity. This includes the review of current legislation and mandates (Action 1.7) which is now being progressed through the implementation of the ICCWC Toolkit in Viet Nam, and a revision of the penal code to strengthen penalties in place of revising an inter-agency Circular (Action 1.2). The development of a secure ivory stockpile and associated database (Action 6.1) is now being progressed in accordance with the Prime Minister's decision to centralize the storage of all Appendix I specimens. Progress appears to have been delayed by a lack of resources and technical capacity, with a revised proposal to conclude stockpile centralization by 2016.

⁶ This activity was shown within the progress report but not in the revised NIAP itself. To ensure that this effort is captured in the summary of Viet Nam's progress, the Secretariat has included it as Action 7.1 in Table 11.

The Secretariat's assessment is that Viet Nam has 'substantially achieved' its NIAP.

Supporting information

The progress ratings allocated by Viet Nam are summarized in Table 11. There is some internal inconsistency in Viet Nam's progress report. Where possible the numbering of actions in the revised NIAP has been used, with the exception of the reported activity on awareness raising which has been included as Action 7.1 to ensure that this effort is captured in the progress summary.

The [NIAP progress report](#) submitted by Viet Nam can be found in Annex 11.

TABLE 11: Summary of self-assessment of progress with NIAP implementation – VIET NAM

CATEGORY	PROGRESS RATING			
	Substantially achieved	On track	Challenging	Unclear
1. Legislation and regulations	<p>1.1 Revise Decree on species protection</p> <p>1.2 Revise inter-agency Directive on forest crime</p> <p>1.3 National elephant conservation program</p> <p>1.4 Develop Decree on list of priority species</p> <p>1.5 Ministerial Circular on hunting trophies</p> <p>1.6 Revise Decree on administrative violations</p> <p>1.7 Review current legislation and mandates</p>	<p>1.1 Revise Decree on species protection</p> <p>1.2 Revise inter-agency Directive on forest crime</p> <p>1.5 Ministerial Circular on hunting trophies</p> <p>1.7 Review current legislation and mandates</p>		
2. Wildlife enforcement capacity-building	<p>2.1 Training courses for enforcement officials</p> <p>2.2 Stockpile data and marking</p>			
3. Investigation and law enforcement responses	<p>3.1 Viet Nam WEN meeting</p> <p>3.2 Reporting to ETIS/MIKE</p> <p>3.3 DNA samples from large-scale seizures</p> <p>3.4 Control local ivory market</p> <p>3.5 Strengthen border control</p>	<p>3.2 Reporting to ETIS/MIKE</p> <p>3.4 Control local ivory market</p>		

(continues on next page)

<p>4. Strengthening cooperation and sharing information</p>	<p>4.2 Intelligence sharing</p> <p>4.3 Viet Nam-China MoU</p>	<p>4.1 ASEAN investigation cooperation</p> <p>4.3 Viet Nam-China MoU</p>		<p>4.2 Intelligence sharing</p>
<p>5. Anti-corruption</p>	<p>5.1 Encourage anti-corruption measures</p> <p>5.2 Host multi-sector workshop on corruption</p>			<p>5.1 Engage with national corruption committee</p>
<p>6. Ivory stock management</p>	<p>6.1 Establish national ivory database</p> <p>6.2 Develop proposal for secure ivory stockpile</p>	<p>6.1 Establish national ivory database</p>		
<p>7. Awareness raising and demand reduction (NEW)</p>	<p>7.1 Awareness raising campaign (NEW)</p>			

National ivory action plans process

SUMMARY OF PROGRESS REPORTS SUBMITTED BY PARTIES OF
'SECONDARY CONCERN' AND 'IMPORTANCE TO WATCH'

This Annex contains a summary of the progress made by Parties of 'secondary concern' and 'importance to watch' in implementing their NIAPs.

Progress reporting format

The Secretariat provided these Parties with the same reporting template as described in Annex 1. The support of the Secretariat's NIAP consultants in Africa and Asia was made available to assist Parties with the preparation of reports if required, and the Secretariat's consultants provided comments on many of the draft progress reports.

Secretariat's summary format

This Annex follows the format of Annex 1, with a few exceptions as the Secretariat was not directed by the Standing Committee to evaluate the progress reports submitted by Parties of 'secondary concern' and 'importance to watch'. The Secretariat was only directed to convey the progress reports received by Parties, along with any recommendations it may have.

Consequently, this Annex does not include a critical assessment of progress by the Secretariat nor any conclusions on whether each Party has made sufficient progress with the implementation of its NIAP. However, the Secretariat has provided summary information on each progress report to facilitate the Standing Committee's consideration of the progress made. The Secretariat's summary seeks to highlight the key successes and challenges outlined in each Party's progress report, highlight any resourcing needs detailed in Party progress reports, and detail any progress that has been made in securing resources and technical assistance for NIAP implementation.

Clarification of actions allocated an 'unclear' rating

The reporting process asked Parties to self-assess their progress using the same four progress ratings as detailed in Annex 1: 'substantially achieved', 'on track', 'challenging' and 'unclear'. Parties were asked to allocate any actions that were not yet scheduled to commence a rating of 'unclear'.

In reviewing the progress reports, the Secretariat identified that the progress rating of 'unclear' had been applied by Parties to a number of situations, including actions that have not progressed as they were not yet scheduled to commence, actions that have not progressed but were due to have commenced, actions with a lack of clarity on the progress made, and actions where progress is dependent upon a broader process such as a government decision or multi-stakeholder agreement that has not yet been concluded. The 'unclear' rating can therefore reflect anything from progress as planned (e.g. actions not yet scheduled to commence) to experiencing challenges (e.g. actions not yet progressed due to a lack of resources).

To facilitate the Standing Committee's understanding of the situation and progress of each Party, the Secretariat has attempted to differentiate the various uses of this progress rating. In the summary tables of progress ratings shown in this Annex, different symbols have been used to distinguish between the actions allocated the progress rating of 'unclear'. Symbols are used to identify actions that have not started but were not yet scheduled to commence (not due), actions that have not started but were due to commence (not started), and actions where progress is unclear for other reasons (unclear). The Secretariat has used the information provided in Party progress reports to inform its allocation of symbols. Where little information is provided the action has been left with a generic unclear rating. In Cambodia's progress report actions that were not yet due to commence were allocated a rating of 'on track'. To ensure consistency with other Parties, the Secretariat has re-allocated these actions a progress rating of 'unclear' and noted this change in the synthesis of NIAP implementation for the Party.

The Secretariat notes that on occasion it appears that Party progress reports have misinterpreted the rating categories or applied them inconsistently. No changes have been made to the way that progress ratings are

shown in this Annex, although any general issues have been noted in the Secretariat's summary remarks as required.

Table 1 presents a summary of the progress ratings allocated by all the Parties of 'secondary concern' and 'importance to watch' that submitted progress reports.

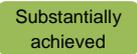
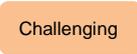
Finally, it is again worth noting that the Secretariat's evaluation only compares each plan against itself, and does not seek to draw comparisons between the progress of different Parties. Factors such as the level of ambition and scope of each plan, the ambition of the established milestones, the timespan for implementation based on the date of completion of the NIAP, and the capacity needs of the Party, should be considered when reviewing the progress made.

TABLE 1: Progress ratings allocated in SC66 reports (self-assessment by Parties)

NIAP	SC66 progress ratings (self-assessment by Parties)					
	(% of NIAP actions in each progress category)					
	Substantially achieved	On track	Substantially achieved or On track	Challenging	? Unclear (progress unclear) or (not started)	Unclear (not yet due)
<i>Parties of 'secondary concern'</i>						
Cameroon	5%	47%	51%	14%	9%	26%
Congo	4%	50%	54%	35%	12%	-
Democratic Republic of the Congo	-	57%	57%	29%	14%	-
Egypt	31%	50%	81%	4%	15%	-
Ethiopia ¹	8%	85%	92%	15%	-	-
Gabon	6%	41%	47%	28%	25%	-
Mozambique	3%	46%	49%	36%	10%	5%
Nigeria	-	-	-	-	-	-
<i>Parties of 'importance to watch'</i>						
Angola	-	-	-	-	-	-
Cambodia	15%	31%	46%	15%	-	38%
Lao People's Democratic Republic	-	-	-	-	-	-
Average across reporting Parties	8%	49%	57%	23%	12%	8%

¹ Ethiopia allocated one action a split rating of on track/challenging. This action has been counted under both progress ratings and subsequently the reported percentages for Ethiopia sum to greater than 100%.

CAMEROON

% OF NIAP ACTIONS IN EACH CATEGORY			
 or 		 or  (not started)	 (not yet due)
51% (22 of 43 actions)	14% (6 of 43 actions)	9% (4 of 43 actions)	26% (11 of 43 actions)

NIAP development

Cameroon submitted its NIAP to the Secretariat on 6 February 2015. The Secretariat concluded that this was an adequate NIAP, but encouraged Cameroon to revisit the NIAP's milestones and enhance cross-agency engagement to ensure that the NIAP could be effectively implemented in practice. Cameroon submitted a revised NIAP to the Secretariat in July 2015 – the revised plan has been used as the basis of the Party's self-assessment.

SC66 self-assessment by Party

Cameroon's NIAP includes 18 priority activities, which are further separated in 43 short-term priority activities. The Party's self-assessment has been completed at the more detailed level of short-term priority activities. Cameroon's self-assessment evaluates two short-term activities as 'substantially achieved' and 20 as 'on track' for achievement. Six short-term activities are rated as 'challenging' and 15 as 'unclear', with most of these representing activities that are not yet due to commence in accordance with NIAP milestones.

Secretariat's summary of Party's progress

The progress report submitted by Cameroon indicates that many NIAP actions are now underway and appear to be progressing smoothly – over half of all activities have been self-assessed as 'on track' or better.

Key activities progressed to date include the convening of workshops on wildlife regulations for judges and magistrates (Activity 2.1.1), the completion of missions to collect and centralize confiscated ivory (Activity 5.1.3), the deployment of 125 additional ecoguards in protected areas (Activity 5.5.1), and the completion of training workshops in wildlife law (Activity 5.2.1), ETIS data collection (Activity 5.6.1), and collection and analysis of information (Activity 3.1.1). The revision of legislation to include appropriate penalties (Activities 1.1.1, 1.1.2) and revise decrees for protected animals (Activity 1.2.1) is also progressing, although slightly behind schedule, and national and regional NIAP focal points have been appointed (Activity 4.2.1. 4.2.2).

The Secretariat notes the inter-agency workshop that was held in April 2015 to strengthen government engagement in NIAP implementation. This focus on cross-agency engagement has continued through NIAP implementation. A cross-agency technical group is now functioning, and the establishment of an ad hoc committee to guide NIAP implementation is awaiting the Prime Minister's signature (Activity 4.2.3). The implementation of a number of activities (e.g. Activity 4.1.2 on bilateral agency collaboration) appears to be contingent upon the establishment of this committee. These activities are expected to commence in January 2016.

Progress with information exchange and investigations (Activities 3.1.2, 3.1.3), and national (Activity 4.1.1) and international coordination (Activity 4.3.3), appear to be impeded by a lack of resources and a need to collaboratively define and agree upon the frameworks to be followed.

Many enforcement and communications activities were not yet due to commence at the time of reporting, and/or have not significantly progressed due to a lack of resources. The progress report also notes an overall need for resources to support NIAP implementation, and that some support has already been secured through the assistance of on-ground partners TRAFFIC, World Wildlife Fund (WWF) and the Zoological Society of London (ZSL).

The Secretariat notes that there may also be the opportunity to support NIAP implementation through a UNDP-GEF project under development in Cameroon, and encourages the Party to reach out to UNDP for any further implementation support that may be required.

Supporting information

The progress ratings allocated by Cameroon are summarized in Table 2.

The [NIAP progress report](#) submitted by Cameroon can be found in Annex 12.

The [NIAP of Cameroon](#) is available on the CITES NIAP web page at <https://cites.org/eng/niaps>.

TABLE 2: Summary of self-assessment of progress with NIAP implementation – CAMEROON

CATEGORY	PROGRESS RATING			
	Substantially achieved	On track	Challenging	Unclear (?) / Not due (⌚) / Not started (●)
1. Legislation		<p>1.1.1 Revise law to include appropriate penalties</p> <p>1.1.2 Ensure inclusion of oath of enforcement bodies</p> <p>1.2.1 Committee to revise decrees for protected animals</p> <p>1.2.2 National workshop for draft revised decrees</p>		
2. Legal proceedings		<p>2.1.1 Cross-agency workshops on wildlife regulations</p> <p>2.1.2 Develop/share list of legal instruments</p> <p>2.2.1 Develop specialized training modules</p>		<p>2.2.2 Deliver specialized training modules ⌚</p>
3. Information-gathering and investigation		<p>3.1.1 Training in information collection</p>	<p>3.1.2 Set up informer networks and information exchange</p> <p>3.1.3 Infiltrate serious poaching zones</p>	
4. National and international cooperation on wildlife crime	<p>4.2.1 Designate national NIAP focal point</p> <p>4.2.2 Designate regional NIAP focal points</p>	<p>4.2.3 Establish NIAP technical pool and ad hoc committee</p> <p>4.3.2 Strengthen cooperation with int. orgs</p>	<p>4.3.3 Cooperation with transit and destination countries</p>	<p>4.1.1 Platforms national collaboration ●</p> <p>4.1.2 Strengthen bilateral collaboration ●</p> <p>4.3.1 Enhance existing coordination platforms ⌚</p>

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CATEGORY	PROGRESS RATING			
	Substantially achieved	On track	Challenging	Unclear (?) / Not due (⌚) / Not started (●)
5. Enforcement operations		<p>5.1.3 Centralize storage of ivory stockpiles</p> <p>5.2.1 Training for Customs and border point officials</p> <p>5.4.1 Crackdown operations in zones of high poaching</p> <p>5.5.1 Increase staff in protected areas and control posts</p> <p>5.6.1 Training in ETIS data collection</p> <p>5.7.1 Update register of offences</p> <p>5.7.2 Missions to follow up on disputes</p> <p>5.7.3 Regular tracking of disputes</p> <p>5.7.4 Track enforcement of court decisions</p>	<p>5.1.2 Enhance security for stockpile storage system</p> <p>5.3.1 Enhance controls at border points</p>	<p>5.2.2 Acquire technical detection equipment ⌚</p> <p>5.1.1 Independent audit of stockpile systems ⌚</p> <p>5.5.2 Training in SMART and marking of ivory ●</p> <p>5.5.3 Purchase equipment for communications ⌚</p> <p>5.5.4 Field visits for awareness-raising ⌚</p>
6. Awareness-raising, communication and public education		<p>6.1.2 Raise public awareness by intermediary media</p>	<p>6.1.3 Involve forest economic operators in awareness-raising</p>	<p>6.1.1 Awareness-raising tours ⌚</p> <p>6.2.1 Comms platforms with airlines and travel ⌚</p> <p>6.2.2 Comms supports for airlines and travel ⌚</p> <p>6.2.3 Awareness-raising at airports and travel agents ⌚</p> <p>6.3.1 Publicize seizures and results of operations ?</p> <p>6.3.2 Multimedia approach with mobile phone carriers ⌚</p>

CONGO

% OF NIAP ACTIONS IN EACH CATEGORY			
Substantially achieved or On track	Challenging	Unclear ? or Unclear (not started)	Unclear (not yet due)
54% (14 of 26 actions)	35% (9 of 26 actions)	12% (3 of 26 actions)	-

NIAP development

Congo submitted its NIAP to the Secretariat on 12 March 2015.

SC66 self-assessment by Party

Congo's NIAP includes 26 actions. The Party's self-assessment evaluates one action as 'substantially achieved' and a further 13 as 'on track' for achievement. Nine actions have been rated as 'challenging' and three actions as 'unclear' as their progress is dependent upon external resources that have not yet been secured.

Secretariat's summary of Party's progress

The progress report submitted by Congo indicates that over half of the NIAP's actions are underway and progressing well.

Key activities include an ivory stockpile inventory (Action 3.5) and a new database for confiscated ivory (Actions 3.6), the completion of joint enforcement operations with Lusaka Agreement Task Force (Action 3.3) and with INTERPOL (Action 4.5), and the delivery of training in detection techniques (Action 5.1), paramilitary training (Action 5.3), information collection and analysis (Action 5.4), and SMART law enforcement monitoring (Action 5.5).

High-level commitment to combating illegal trade in ivory has been observed through the convening the 'International Conference on Illegal Trade in Wild Fauna and Flora of Africa' in Brazzaville in April 2015 (Action 4.3), the destruction of 4.5 tonnes of confiscated ivory (Action 3.6), and Congo's accession to the 'Elephant Protection Initiative'. A Decree establishing a National Anti-poaching Committee has been adopted by the Cabinet, and a national anti-poaching strategy is under development (Action 4.1). Revised regulations for wildlife law (Action 1.1) have been prepared and are awaiting Cabinet sign-off.

An ICCWC Toolkit assessment, led by UNODC on behalf of ICCWC, is currently underway in Congo (Action 4.4). The Party's progress report notes that implementation of a number of NIAP actions – including those related to prosecution (Actions 2.1, 2.2) and intelligence and investigation (Actions 3.1, 3.2, 3.4, 3.7) – is on hold pending the outcomes of the Toolkit assessment. Commencement of these actions, incorporating any amendments as required based on the Toolkit recommendations, will be a priority for the next six months. Awareness-raising actions (Actions 6.1, 6.2, 6.3) have recorded little progress due to a lack of resources.

The progress report notes the short-term budget constraints that are impeding full NIAP implementation. The Secretariat notes that Congo has reached out to UNDP for support for NIAP implementation through a UNDP-GEF project underway in Congo, and outlined its specific technical assistance and resourcing needs.

Supporting information

The progress ratings allocated by Congo are summarized in Table 3.

The [NIAP progress report](#) submitted by Congo can be found in Annex 13. The Secretariat has removed detailed information on confiscated ivory stockpiles from the Party's report prior to posting.

The [NIAP of Congo](#) is available on the CITES NIAP web page at <https://cites.org/eng/niaps>.

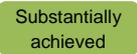
TABLE 3: Summary of self-assessment of progress with NIAP implementation – CONGO

CATEGORY	PROGRESS RATING			
	Substantially achieved	On track	Challenging	Unclear (?) / Not due (⌚) / Not started (●)
1. Legislation and regulations		1.1 Publish regulations on new fauna laws		1.2 Harmonize penal provisions ?
2. Legal proceedings		2.3 Implement mechanism to handle wildlife disputes	2.1 Raise awareness of judges and prosecutors 2.2 Establish network of specialized prosecutors	
3. Information-gathering and investigation		3.3 Coordinate with intelligence services 3.5 Inventory of ivory stockpiles 3.6 Ivory management and control system	3.1 Specialized unit on ivory trafficking 3.2 Dismantle networks that traffic in arms and munitions 3.4 Strengthen capacity of field agents 3.7 Strengthen powers and resources of police	
4. Inter-institutional cooperation on national and international scale	4.3 Promote subregional cooperation	4.1 National anti-poaching committee 4.2 Strengthen ties with INTERPOL and int. orgs 4.4 Implement ICCWC Toolkit 4.5 Collaboration on information exchange system	4.6 Joint working committee for NIAP implementation	

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CATEGORY	PROGRESS RATING			
	Substantially achieved	On track	Challenging	Unclear (?) / Not due (⌚) / Not started (●)
5. Enforcement operations		<p>5.1 Enhance capacity to cover ports, borders, markets etc</p> <p>5.3 Increase ivory shop inspections</p> <p>5.4 Improve crime scene investigations</p> <p>5.5 Deploy SMART monitoring system in protected areas</p>	<p>5.2 MoUs with air and maritime transport companies</p>	
6. Awareness-raising, communication and public education			<p>6.2 Production of audiovisual media</p>	<p>6.1 Work plan for communications media ?</p> <p>6.3 Launch public awareness campaign ●</p>

DEMOCRATIC REPUBLIC OF THE CONGO

% OF NIAP ACTIONS IN EACH CATEGORY			
 or 		 or  (not started)	 (not yet due)
57% (16 of 28 actions)	29% (8 of 28 actions)	14% (4 of 28 actions)	-

NIAP development

The Democratic Republic of the Congo submitted its NIAP to the Secretariat on 6 April 2015. In accordance with the Standing Committee's intersessional recommendations, the Party was subject to a recommended suspension in commercial trade of CITES-listed specimens from 19 March 2015 to 15 April 2015 due to late submission of its NIAP.

SC66 self-assessment by Party

The Democratic Republic of the Congo's NIAP includes 28 actions². The Party's self-assessment evaluates 16 of these as 'on track' for achievement and eight as 'challenging'. Four actions are rated as 'unclear'.

Secretariat's summary of Party's progress

The Democratic Republic of the Congo's progress report indicates that implementation of most NIAP actions has commenced, and that of these almost 60% are 'on track' for achievement.

Key activities include progress towards the revision of legislation (Actions 1.1, 1.2), the convening of capacity-building and awareness-raising workshops for judges, magistrates and ecoguards (Action 2.1), the establishment of educational centres to raise local awareness and participation (Action 6.2), and the development of a system to monitor prosecution data and support dispute tracking (Action 2.2). Terms of reference for a multi-disciplinary national coordination unit to combat wildlife crime have been developed and are awaiting sign-off (Action 4.1), and consultations are underway to improve cooperation at border posts (Action 4.2).

There has also been progress with the closure of local ivory markets, with a working group established and hunting bans passed in two provinces, and a Decree to close ivory markets in another (Action 1.3). This activity will now be progressed through a nation-wide approach due to administrative decentralization and an increase in the number of provinces from 11 to 26. Administrative challenges and decentralization also appear to be hampering progress with other actions (e.g. Actions 2.3, 3.1).

There has been more limited progress with actions to progress collaboration and information exchange at regional and international levels (Actions, 4.5, 4.6, 4.8) – the Secretariat notes that the Party planned to raise the matter of cross-border collaboration at the TRAFFIC workshop on NIAP implementation held in Kinshasa in November 2015. The challenge of poor inter-agency communications (Action 4.2) is also noted, but this should be helped by the establishment of a National Technical Committee for Ivory which is awaiting the signing of a Ministerial Decree.

The Party's progress report notes that further resources are required to support intelligence and investigations (Action 3.3), and also an inventory of ivory stocks (Action 3.4). A general need for resources to support NIAP implementation is also stated.

² Congo's submitted NIAP has 28 actions, but only 27 actions were included in the Party's submitted progress report (Action 3.2 is omitted). In practice, Actions 3.2 and 4.1 are closely related as they both relate to the establishment of the National Coordination Unit (NCU). However, as the NIAP milestones between the two actions are slightly different, the Secretariat has added Action 3.2 to Table 4. While noting that progress on the NCU is provided via the commentary for Action 4.1, the Secretariat has shown Action 3.2 as 'unclear' as it was not reported against in full. There is the chance that these two actions will be merged for the purposes of NIAP implementation, but as this was not made explicit in the Party's progress report, they have been shown as two distinct actions in Table 4.

Supporting information

The progress ratings allocated by the Democratic Republic of the Congo are summarized in Table 4. There is some inconsistency between the numbering of actions between the Party's progress report and the NIAP. Where these differ, the Secretariat has followed the numbering of actions in the NIAP.

The [NIAP progress report](#) submitted by the Democratic Republic of the Congo can be found in Annex 14. The Secretariat has removed confidential law enforcement information from the Party's report prior to posting.

The [NIAP of the Democratic Republic of the Congo](#) is available on the CITES NIAP web page at <https://cites.org/eng/niaps>.

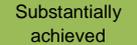
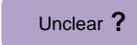
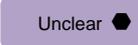
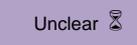
TABLE 4: Summary of self-assessment of progress with NIAP implementation – DEMOCRATIC REPUBLIC OF THE CONGO

CATEGORY	PROGRESS RATING			
	Substantially achieved	On track	Challenging	Unclear (?) / Not due (⌚) / Not started (●)
1. Legislation		<ul style="list-style-type: none"> 1.1 Re-examine hunting laws 1.2 Draw up 4 measures for enforcement of law 1.3 Provincial decrees to close ivory markets 1.4 Regional harmonization of criminal provisions 		
2. Investigations and legal proceedings		<ul style="list-style-type: none"> 2.1 Strengthen capacity of judiciary and prosecutors 2.2 System for prosecutions data and dispute tracking 	<ul style="list-style-type: none"> 2.3 Administer oath to management-level staff 2.4 Increase use of mobile hearings and trials 	
3. Intelligence and investigations			<ul style="list-style-type: none"> 3.3 Mobilize resources for intelligence/investigations 3.4 Ivory stocks inventory and management 	<ul style="list-style-type: none"> 3.1 Train focal points in intelligence/investigations ● 3.2 Multi-disciplinary unit on ivory trafficking ? (added by Secretariat; not included in progress report)
4. National and international cooperation		<ul style="list-style-type: none"> 4.1 Set up national coordination unit 4.2 Improve cooperation at border posts 4.3 Cross-border partnerships on anti-poaching 	<ul style="list-style-type: none"> 4.4 Anti-poaching equipment and materials 4.7 Agreements with carriers to seize vehicles/equipment 4.8 Strengthen cooperation cross-border protected areas 	<ul style="list-style-type: none"> 4.5 Framework subregional information exchange ? 4.6 Strengthen cooperation with international orgns ●

(continues on next page)

CATEGORY	PROGRESS RATING			
	Substantially achieved	On track	Challenging	Unclear (?) / Not due (⌚) / Not started (●)
5. Enforcement operations		<p>5.1 Enhance capacity of patrol teams</p> <p>5.2 Training in SMART monitoring for protected areas</p> <p>5.3 Dismantle networks and markets for ivory</p>		
6. Awareness-raising and communication		<p>6.1 Draw up communications plan</p> <p>6.2 Participation of local communities</p> <p>6.3 Awareness-raising missions on sustainable use</p> <p>6.4 Environmental education in villages and schools</p>	<p>6.5 Set up unit for man-animal conflict at Katanga</p>	

EGYPT

% OF NIAP ACTIONS IN EACH CATEGORY			
 or 		 or  (not started)	 (not yet due)
81% (21 of 26 actions)	4% (1 of 26 actions)	15% (4 of 26 actions)	-

NIAP development

Egypt submitted an adequate NIAP to the Secretariat on 12 January 2015. An earlier version of Egypt's NIAP was submitted to the Secretariat on 30 October 2014. The Secretariat concluded that this was not an adequate NIAP and requested the Party to revise it to include more detailed timeframes and milestones, and resubmit a revised NIAP to the Secretariat.

SC66 self-assessment by Party

Egypt's NIAP includes 26 priority actions. Egypt's self-assessment evaluates progress with eight NIAP actions as 'substantially achieved' and thirteen actions as 'on track'. One action has been evaluated as 'challenging' and progress with a further four actions as 'unclear'.

Secretariat's summary of Party's progress

The progress report submitted by Egypt indicates that the Party has progressed implementation with most of the actions in the NIAP. Almost a third of all actions have been self-assessed as 'substantially achieved' and a further 50% as 'on track' for achievement.

Key progress made includes the preparation and dissemination of information on legal requirements regarding ivory (Actions A.1.1, A.1.2 and A1.3) and the appointment of a forensics focal point (Action C.3). A number of other processes appear about to commence or are progressing through the planning stages – such as discussions to identify the equipment and training needs of border points (Action D.2), with practical implementation to follow in the coming months.

There appears to have been relatively little progress with the regional harmonization of laws (Action A.3), establishing a framework for regional collaboration (Action D.3) and strengthening regional information exchange (Action E.3), although this is perhaps not surprising given the challenges associated with current regional insecurity. Further information on whether Egypt has identified or planned any alternative approaches to progress these actions beyond SC66 would be valuable.

While noting the positive self-assessment, the Secretariat notes that for a number of actions, the progress detailed appears to relate to activities that were commenced or developed prior to SC65 (e.g. Actions B.1.1, B.1.1.2 and D1 on training; Action E.2 on inter-agency cooperation and Action F.1 on awareness-raising materials). While building on earlier efforts is positive, it is sometimes unclear to what extent they will be strengthened or enhanced through NIAP implementation. The Secretariat notes that the intent of developing and implementing a NIAP is to enhance the Party's implementation of CITES provisions concerning control of trade in elephant ivory and ivory markets in accordance with the provisions of Resolution Conf. 10.10 (rev. CoP16) on *Trade in elephant specimens* through the delivery of targeted and time-bound actions. There is relatively little detail provided on the progress made with some actions (e.g. progress with the technical review of intelligence and investigation procedures under Action C.1, enhancing border point staffing under Actions D.2 and E.1, detail on increased shop inspections against Action E.4) and further information on these actions would be useful.

The Party's progress report notes that Egypt has developed a NIAP with the intention of delivery within existing resources. No specific capacity building or resourcing needs have been highlighted.

Supporting information

The progress ratings allocated by Egypt are summarized in Table 5.

The [NIAP progress report](#) submitted by Egypt can be found in Annex 15.

The [NIAP of Egypt](#) is available on the CITES NIAP web page at <https://cites.org/eng/niaps>.

TABLE 5: Summary of self-assessment of progress with NIAP implementation – EGYPT

CATEGORY	PROGRESS RATING			
	Substantially achieved	On track	Challenging	Unclear (?) / Not due (⌚) / Not started (●)
A. Legislation	<p>A.1.1 Summary of wildlife law</p> <p>A.1.2 Leaflets of legislation</p>	<p>A.1.3 Distribute leaflets to courts</p> <p>A.2 Strengthen wildlife penalties</p>		<p>A.3 Regional harmonization of laws ?</p>
B. Prosecution	<p>B.2 Summary of wildlife penalties for judiciary</p>	<p>B.1.1 Capacity-building programmes</p> <p>B.1.2 Identification of specimens</p> <p>B.1.3 Distribute educational materials</p>		
C. Intelligence and investigations	<p>C.3 Appoint and train a focal point for forensics</p>	<p>C.1 Review intelligence and investigation procedures</p> <p>C.2 Increase inspections and patrols</p> <p>C.4 Develop framework for forensic analysis</p> <p>C.5.1 Audit stockpile system</p> <p>C.6 Report on confiscated ivory to Secretariat</p>		<p>C.5.2 Implement stockpile audit recommendations ?</p>
D. National and international cooperation	<p>D.1 Training courses for implementation of CITES</p>	<p>D.2 Border point staffing and equipment</p>		<p>D.3 Establish framework for regional collaboration ?</p>

(continues on next page)

CATEGORY	PROGRESS RATING			
	Substantially achieved	On track	Challenging	Unclear (?) / Not due (⌚) / Not started (●)
E. Law enforcement operations	<p>E.2 Strengthen inter-agency collaboration</p>	<p>E.1 Extra staff at border points</p> <p>E.4 Increase ivory shop inspections</p>	<p>E.3 Strengthen regional cooperation and info-exchange</p>	
F. Capacity building and awareness	<p>F.1 Develop awareness-raising materials</p> <p>F.2 Publicize ivory trade 'warnings' on website</p>			

ETHIOPIA

% OF NIAP ACTIONS IN EACH CATEGORY ³			
Substantially achieved or On track	Challenging	Unclear ? or Unclear (not started)	Unclear (not yet due)
92% (12 of 13 actions)	15% (2 of 13 actions)	-	-

NIAP development

Ethiopia submitted its NIAP to the Secretariat on 5 January 2015.

SC66 self-assessment by Party

Ethiopia's NIAP includes 13 priority actions, which are relatively broad areas that are comprised of several activities. Ethiopia's self-assessment evaluates one NIAP action as 'substantially achieved' and eleven³ actions as 'on track' for achievement. Two actions are rated as 'challenging'.³

Secretariat's summary of Party's progress

The progress report submitted by Ethiopia indicates that NIAP implementation is progressing well, with a majority of the NIAP's milestones set for April 2015 (and to a lesser extent October 2015) achieved.

Legislative review (Actions A.1, A.2) is tracking well, with a new wildlife crime penalties framework drafted. Cross-agency training and awareness sessions have been completed for prosecutors, the judiciary, customs and police (Actions B.1, B.2 and D.1), along with associated training and identification materials. The Party's progress report notes that 69 arrests were made during the 10-month reporting period, with 65 of these made at Bole International Airport. Clear progress has also been made with the management of confiscated ivory stockpiles (Action C.2). A stockpile inventory has been completed along with an audit of the current stockpile management system, and further work will help implement the recommendations from this audit.

There are a few areas that are progressing but may require enhanced effort to ensure NIAP milestones are achieved, such as activities to enhance the use of forensics (Action C.3) and strengthen international collaboration (Action D.3) and site-level enforcement (Action E.2). The Secretariat also notes that while discussions to identify national strategies for inter-agency collaboration have clearly progressed (Action D.2), the integration of these into agency plans appears to be still underway.

Ethiopia's progress report details implementation challenges such as poor trans-boundary collaboration, along with a lack of staff and vehicles to deploy enforcement activities.

The Secretariat positively notes that Ethiopia has secured funding and technical assistance from the African Elephant Fund (AEF), the African Wildlife Foundation (AWF) and the International Fund for Animal Welfare (IFAW) to support NIAP implementation where required. The Secretariat notes that there may also be the opportunity to support NIAP implementation through a UNDP-GEF project under development in Ethiopia, and encourages the Party to reach out to UNDP for any further implementation support that may be required.

Supporting information

The progress ratings allocated by Ethiopia are summarized in Table 6. Progress ratings are only shown at the action level in this summary. The progress made with their component activities is also shown in Ethiopia's progress report.

The [NIAP progress report](#) submitted by Ethiopia can be found in Annex 16.

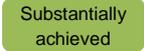
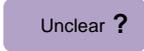
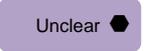
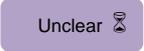
The [NIAP of Ethiopia](#) is available on the CITES NIAP web page at <https://cites.org/eng/niaps>.

³ Ethiopia allocated one action (Action D.3) a split rating of on track/challenging. This action has been counted under both progress ratings and subsequently the reported percentages for Ethiopia sum to greater than 100%.

TABLE 6: Summary of self-assessment of progress with NIAP implementation – ETHIOPIA

CATEGORY	PROGRESS RATING			
	Substantially achieved	On track	Challenging	Unclear (?) / Not due (⌚) / Not started (●)
A. Legislation		<ul style="list-style-type: none"> A.1 Improve legal framework A.2 Harmonize federal and regional legislation 		
B. Prosecution		<ul style="list-style-type: none"> B.1 Increase prosecution rates B.2 Increase ivory trafficking detection rates 		
C. Intelligence and investigations		<ul style="list-style-type: none"> C.1 Strengthen site-based intelligence networks C.2 Improve ivory stockpile management C.3 Increase forensic support C.4 Develop intelligence and investigation procedures 		
D. National and international cooperation	<ul style="list-style-type: none"> D.2 National strategy for inter-agency collaboration 	<ul style="list-style-type: none"> D.1 Improve national collaboration D.3 Improve international collaboration 		
E. Law enforcement operations		<ul style="list-style-type: none"> E.1 Reduce illegal domestic sale of ivory 	<ul style="list-style-type: none"> E.2 Strengthen site-level enforcement 	

GABON

% OF NIAP ACTIONS IN EACH CATEGORY			
 or 		 or  (not started)	 (not yet due)
47% (15 of 32 actions)	28% (9 of 32 actions)	25% (8 of 32 actions)	-

NIAP development

Gabon submitted its NIAP to the Secretariat on 28 November 2014.

SC66 self-assessment by Party

Gabon's NIAP includes 32 priority actions. Gabon's self-assessment evaluates two actions as 'substantially achieved' and 13 actions as 'on track' for achievement. Nine actions are rated as 'challenging' and eight actions as 'unclear', largely actions that have not yet progressed.

Secretariat's summary of Party's progress

The progress report submitted by Gabon indicates that implementation has commenced for many NIAP actions, and that almost half of the NIAP's actions are progressing smoothly.

Key activities include the construction of a secure area for seized ivory (Action E.7), the marking of ivory and the rollout of a new database (Action E.8), the convening of a forum on human-wildlife conflict (Action A.3), the recruitment and training of lawyers and legal specialists (Action B.4), and the commencement of consultations to strengthen frameworks for information exchange (Action D.5) and establish a prosecutions database (Action B.5).

Legal revisions to strengthen fines and sentences have also progressed (Action A.1), including revisions of the Forest Code and Penal Code. The revisions to the Forest Code are proposed to raise the penalties for ivory trade from six months imprisonment to 5-10 years imprisonment.

A number of actions have commenced but are rated as 'challenging' for reasons including a lack of resources (e.g. Action D.3 on border controls) and a need to improve coordination and agreement between relevant stakeholders (e.g. Action C.3 on the development of a local information exchange system, Action E.1 on better coordination of missions). It is expected that inter-agency coordination will be strengthened through the working group has been established to oversee NIAP implementation (Action D.6).

Activities related to multi-disciplinary (Action C.1) and regional collaboration (Actions D.1, D.2) and awareness-raising efforts (Actions F.1, F.2, F.3, F.4) have been delayed due to a lack of available resources.

The future outlook for NIAP implementation is focused on addressing these funding shortages. The Party's progress report notes that its forward priorities include securing funding for NIAP activities in the 2016 budget and completing funding applications to seek additional resources from identified financing partners.

Supporting information

The progress ratings allocated by Gabon are summarized in Table 7.

The [NIAP progress report](#) submitted by Gabon can be found in Annex 17.

The [NIAP of Gabon](#) is available on the CITES NIAP web page at <https://cites.org/eng/niaps>.

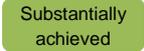
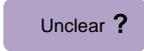
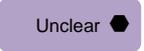
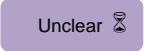
TABLE 7: Summary of self-assessment of progress with NIAP implementation – GABON

CATEGORY	PROGRESS RATING			
	Substantially achieved	On track	Challenging	Unclear (?) / Not due (⌚) / Not started (●)
A. Legislation		<ul style="list-style-type: none"> A.1 Strengthen sentences and fines A.3 Define law for human-elephant contact 	<ul style="list-style-type: none"> A.2 CITES implementing legislation 	
B. Prosecution		<ul style="list-style-type: none"> B.2 Increase ivory trafficking detection rates B.4 Strengthen capacity to apply law B.5 Establish prosecutions database 	<ul style="list-style-type: none"> B.3 Application of sentences and fines 	<ul style="list-style-type: none"> B.1 Model for the drafting of statements ●
C. Intelligence and investigations		<ul style="list-style-type: none"> C.2 Dismantle trafficking networks 	<ul style="list-style-type: none"> C.3 Create local information exchange system 	<ul style="list-style-type: none"> C.1 Establish specialized unit on trafficking ●
D. National and international cooperation		<ul style="list-style-type: none"> D.5 Strengthen information exchange D.6 Establish WG to monitor NIAP implementation 	<ul style="list-style-type: none"> D.3 Strengthen border controls D.4 Create sub-regional border teams 	<ul style="list-style-type: none"> D.1 Inter-regional collaborative protocols ● D.2 Mixed inter-State anti-poaching teams ●
E. Law enforcement operations	<ul style="list-style-type: none"> E.7 Build secure area for seized ivory E.8 Establish database for seized ivory 	<ul style="list-style-type: none"> E.4 Strengthen presence of armed forces in parks E.5 Establish team to operate in ports, airports, markets E.6 Strengthen capacity of canine unit E.9 National inventory of ivory stocks 	<ul style="list-style-type: none"> E.1 Coordinate missions and implement SMART E.2 Assess measures by forest concessionaires E.3 Expand the use of SMART monitoring E.10 Draft MoUs with transport companies 	

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CATEGORY	PROGRESS RATING			
	Substantially achieved	On track	Challenging	Unclear (?) / Not due (⌚) / Not started (●)
F. Awareness-raising and communication		F.4 Establish committee for human-wildlife conflicts		F.1 Develop comms plan ? F.2 Awareness-raising projects in provinces ? F.3 Awareness-raising through media ● F.5 Information seminar for Parliamentarians ●

MOZAMBIQUE

% OF NIAP ACTIONS IN EACH CATEGORY			
 or 		 or  (not started)	 (not yet due)
49% (19 of 39 actions)	36% (14 of 39 actions)	10% (4 of 39 actions)	5% (2 of 39 actions)

NIAP development

Mozambique submitted a combined National Ivory and Rhinoceros Action Plan (NIRAP) to the Secretariat on 22 January 2015.⁴ The development of the NIRAP was supported by a mission by the Secretariat's NIAP consultant to Mozambique in December 2014.

SC66 self-assessment by Party

Mozambique's NIRAP includes 39 priority actions. Mozambique's self-assessment evaluates one action as 'substantially achieved' and 18 actions as 'on track' for achievement. Progress with 14 actions has been rated as 'challenging' and a further four as 'unclear' (two of which are not yet scheduled to commence in accordance with NIRAP milestones).

Secretariat's summary of Party's progress

Mozambique's progress report indicates the general progress that has been made with NIRAP implementation, with approximately half of all actions evaluated as 'on track' for achievement. The progress made by the Party in commencing NIRAP implementation was also observed by the Secretariat during a mission to Mozambique in August 2015.

Key activities include the convening of national and regional meetings of prosecutors and the judiciary (Action B.1), the appointment of a specialized wildlife crime prosecutor (Action B.3) and a national focal point for intelligence and investigations (Action C.2), and the re-launching of the Ministerial Task Force on the protection of natural resources with broader membership and a technical arm that will meet monthly (Action D.1). Regional collaboration has progressed well, with the signing of an MoU with the United Republic of Tanzania (Action D.6) and an Implementation Plan with South Africa (Action D.7), along with the drafting of an MoU with Viet Nam. There has also been progress made with training staff (Actions B.6, C.6, D.3) – including the inclusion of a CITES module in training for 1,500 new environmental police – and securing resources for further training and equipment (Action D.5).

While noting the progress made, there are also some areas of challenge. Among others, actions to progress new legislation (Actions A.1, A.2), enhance public awareness (Actions F.1, F.2) and improve law enforcement patrolling at key sites (Actions E.4, E.9, E.10, E.11) have not progressed in accordance with milestones. The Secretariat positively notes many of the actions rated as 'challenging' now appear to be actively progressing and are still anticipated to be completed within the life of the plan. Other challenges such as the lack of a mandate for the environmental police to conduct intelligence and investigations (Action C.1) also appear to be under discussion.

Mozambique's progress report notes that implementation has been hampered by the formation of a new government and subsequent structural changes to the CITES Management Authority. Implementation is also challenged by a lack of trained staff and resources. Mozambique has secured funding from a number of partners to strengthen NIRAP implementation, including through the World Bank's MOZBIO project. The Secretariat notes that there may also be an opportunity to support NIRAP implementation through a UNDP-GEF project under development in Mozambique, and encourages the Party to reach out to UNDP for any further implementation support that may be required.

⁴ Mozambique was also directed by SC65 recommendations to prepare a national rhinoceros action plan. The Secretariat recommended to the Party that it prepare a combined national ivory and rhinoceros action plan (NIRAP), noting that the two plans would be likely to have many actions in common. The implementation of Mozambique's NIRAP is also reported on in document SC66 Doc. 51.1 on Rhinoceroses (*Rhinocerotidae* spp.) prepared by the Secretariat for the present meeting.

The Secretariat notes that Mozambique has in places been very tough in evaluating its progress. The Secretariat considers that there are actions where, based on the milestones in the NIRAP, progress might have feasibly been elevated from 'on track' to 'substantially achieved', or from 'challenging' to 'on track'.

Supporting information

The progress ratings allocated by Mozambique are summarized in Table 8.

The [NIRAP progress report](#) submitted by Mozambique can be found in Annex 18.

The [NIRAP of Mozambique](#) is available on the CITES NIAP web page at <https://cites.org/eng/niaps>.

TABLE 8: Summary of self-assessment of progress with NIAP implementation – MOZAMBIQUE

CATEGORY	PROGRESS RATING			
	Substantially achieved	On track	Challenging	Unclear (?) / Not due (⌚) / Not started (●)
A. Legislation		<p>A.3 Exchange experiences with SADC countries</p>	<p>A.1 Finalize regulations for new conservation law</p> <p>A.2 Finalize CITES implementing regulations</p>	
B. Prosecution		<p>B.1 Regional meetings for judiciary</p> <p>B.3 Appoint wildlife crime prosecutors</p> <p>B.6 Training of prosecutors and judiciary</p>	<p>B.4 Administrative Circular to courts on wildlife crime</p> <p>B.5 Collect information on follow up of cases</p> <p>B.7 Establish database for seized ivory/rhino horn</p>	<p>B.2 Raise awareness of organized crime link ?</p>
C. Intelligence and investigations	<p>C.2 Appoint focal point for investigations/intelligence</p>	<p>C.1 Wildlife crime investigations pilot sites</p>	<p>C.5 Seek resources for investigations/intelligence</p> <p>C.6 Audit confiscated specimen storage system</p> <p>C.7 Train staff in investigations/intelligence</p>	<p>C.3 Develop framework for investigations/intelligence ⌚</p> <p>C.4 Deliver national intelligence operations ⌚</p>
D. National and international cooperation		<p>D.1 Develop ToR Ministerial Task Force</p> <p>D.2 Strengthen Customs and Ports capacity</p> <p>D.3 Training in CITES and detection techniques</p> <p>D.5 Secure funding for training and equipment</p> <p>D.6 Finalize transboundary agreement with Tanzania</p> <p>D.7 Finalize joint action plan with South Africa</p>	<p>D.4 Develop plan for detecting contraband</p>	

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CATEGORY	PROGRESS RATING			
	Substantially achieved	On track	Challenging	Unclear (?) / Not due (⌚) / Not started (●)
E. Law enforcement operations		<p>E.1 Identify urgent actions for critical sites</p> <p>E.2 Village resettlement Limpopo National Park</p> <p>E.3 Formal intelligence structure in Limpopo NP</p> <p>E.6 MoU with game farm operators Kruger/Limpopo</p> <p>E.7 MoU Tanzania Ruvuma river cross-border area</p> <p>E.8 Increase aerial patrols Niassa and Quirimbas</p> <p>E.12 Seek resources to build capacity at key sites</p>	<p>E.4 Implement sniffer dog capacity in Limpopo NP</p> <p>E.9 Develop mgt plan for Magoe NP</p> <p>E.10 Develop patrol/analysis plan for Magoe</p> <p>E.11 Implement SMART at 3 pilot areas</p>	<p>E.5 Improve range comms in Limpopo NP ?</p> <p>E.13 Targeted enforcement domestic ivory market ?</p>
F. Awareness-raising and communication			<p>F.2 Implement communication plan</p>	<p>F.1 Communication plan for public awareness ?</p>

NIGERIA

NIAP development

At the time of writing Nigeria had not yet submitted an adequate NIAP to the Secretariat. In accordance with the Standing Committee's intersessional recommendations, a recommended suspension in commercial trade of CITES-listed specimens with Nigeria has been in place since 19 March 2015 due to failure to submit an adequate NIAP. At the time of writing, Nigeria was in the process of finalizing a draft NIAP with the support of the Secretariat's NIAP consultant in Africa, and it was expected that this would be submitted to the Secretariat ahead of SC66. The Secretariat's understanding is that some of the activities in the NIAP have already been implemented, although the type and extent of activities that have been delivered is unknown.

Supporting information

If and when received and declared adequate, the NIAP of Nigeria will be made available on the CITES NIAP web page at <https://cites.org/eng/niaps>.

If and when received, any NIAP progress reporting submitted by Nigeria will be made available as a further Annex to this document.

ANGOLA

NIAP development

Angola submitted its NIAP to the Secretariat on 6 April 2015. An earlier version of Angola's NIAP was submitted to the Secretariat on 12 February 2015. The Secretariat concluded that this was not an adequate NIAP and requested the Party to revise it to include more detailed timeframes and milestones, and resubmit a revised NIAP to the Secretariat. The development of Angola's revised NIAP was supported by a mission by the Secretariat and its NIAP consultant to Angola in March 2015.

SC66 self-assessment by Party

At the time of writing, the Secretariat had not received a NIAP progress report from Angola. The Secretariat is aware that a draft progress report was provided to the Secretariat's consultant for comments, but the final report was not submitted to the Secretariat in time for inclusion in this document. The draft report provided to the Secretariat's NIAP consultant indicated that while Angola had made progress with some actions, implementation was challenged by constraints such as insufficient legislation, a lack of law enforcement capacity, poor inter-agency cooperation, and a lack of resources to implement the NIAP.

Supporting information

The [NIAP of Angola](https://cites.org/eng/niaps) is available on the CITES NIAP web page at <https://cites.org/eng/niaps>.

If and when received, any NIAP progress reporting submitted by Angola will be made available as a further Annex to this document.

CAMBODIA

% OF NIAP ACTIONS IN EACH CATEGORY			
Substantially achieved or On track	Challenging	Unclear ? or Unclear (not started)	Unclear (not yet due)
46% (6 of 13 actions)	15% (2 of 13 actions)	-	38% (5 of 13 actions)

NIAP development

Cambodia submitted its NIAP to the Secretariat on 31 October 2014. The development of the NIAP was supported by a mission by the Secretariat's NIAP consultant to Cambodia in October 2014.

SC66 self-assessment by Party

Cambodia's NIAP includes 13 priority actions. Cambodia's self-assessment has evaluated progress with two actions as 'substantially achieved' and four actions⁵ as 'on track' for achievement. Progress with two actions has been rated as 'challenging'. The implementation of five actions has not yet commenced.

Secretariat's summary of Party's progress

The Secretariat commends Cambodia for being the only Party of 'secondary concern' and 'importance to watch' to submit an adequate NIAP within the timeframe established by SC65 recommendations. This also means that Cambodia has had the longest of all Parties to progress NIAP implementation ahead of SC66.

The Secretariat positively notes the progress that has been made with the implementation of some actions, in particular the drafting of a National Elephant Conservation Plan (Action 4.1) and bilateral discussions with Viet Nam to progress regional cooperation (Action 2.5). The revision of the relevant Proclamation to include the African elephant on the endangered species list is also actively progressing (Action 1.1), albeit at a slower rate than anticipated. The Secretariat notes that poor inter-agency coordination appears to be impeding progress with establishing a new system for the management of ivory seizures (Actions 1.2, 2.4).

The Secretariat notes that Cambodia has scheduled the implementation of NIAP actions over the two years of the NIAP, with foundational legislative, planning and cross-agency coordination actions progressing first and a number of actions not due to commence until the second year of implementation. This scheduling also allows for resources to be secured for NIAP implementation (noting that 70% of the actions in Cambodia's NIAP are identified as requiring further resources). Cambodia has already secured resources from the Wildlife Conservation Society (and potentially others) to support NIAP implementation. However, the Secretariat notes that the delayed progress reported to date could risk impeding the implementation of subsequent NIAP actions. The Secretariat also notes the potential benefits of completing an ICCWC Toolkit analysis (Action 6.1) to review the current enforcement response to wildlife crime – an activity that it appears will no longer be pursued under Cambodia's NIAP.

Cambodia's progress report identifies a general lack of funding as a factor impeding NIAP implementation. With some resources now secured, the Party expects the delayed actions will be initiated, and completed within the next 6-12 months. However, full implementation of the NIAP – including key actions to build customs (Action 2.3) and investigations capacity (Actions 2.1, 3.2) – appears dependent upon the mobilization of further external resources.

Supporting information

The progress ratings allocated by Cambodia are summarized in Table 9. For clarity, actions that are not yet due to commence have been represented differently than in the Party's progress report.⁵

The [NIAP progress report](#) submitted by Cambodia can be found in Annex 19.

The [NIAP of Cambodia](#) is available on the CITES NIAP web page at <https://cites.org/eng/niaps>.

⁵ The Secretariat notes that nine actions were rated as 'on track' in the Party's progress report. For consistency with other NIAPs, the Secretariat has shown five of these actions that are not yet due to commence as 'unclear' in Table 9.

TABLE 9: Summary of self-assessment of progress with NIAP implementation – CAMBODIA

CATEGORY	PROGRESS RATING			
	Substantially achieved	On track	Challenging	Unclear (?) / Not due (⌚) / Not started (●)
1. Legislation		1.1 Include African elephant on endangered species list	1.2 Proclamation on mgt of ivory seizures	
2. Enforcement		2.5 Increase cooperation with other countries	2.4 Establish system for mgt of ivory seizures	2.1 Establish specialized investigation unit ⌚ 2.2 Improve inter-agency cooperation ⌚ 2.3 Capacity of Customs and other agencies ⌚
3. Judiciary and prosecution		3.1 Increase awareness of prosecutors and judiciary		3.2 Increase capacity in investigations ⌚
4. Drivers and prevention	4.1 Develop national elephant conservation plan			
5. Data, reporting and analysis		5.1 Regular information-sharing across agencies		5.2 Explore international information-sharing ⌚
6. Other	6.1 Explore implementation of ICCWC Toolkit			

LAO PEOPLE'S DEMOCRATIC REPUBLIC

NIAP development

The Lao People's Democratic Republic submitted its NIAP to the Secretariat on 4 September 2015. The development of the NIAP was supported by a mission by the Secretariat's NIAP consultant to the Lao People's Democratic Republic in July 2015. In accordance with the Standing Committee's intersessional recommendations, the Party was subject to a recommended suspension in commercial trade of CITES-listed specimens from 19 March 2015 to 15 September 2015 due to late submission of its NIAP.

SC66 self-assessment by Party

At the time of writing, the Secretariat had not received a NIAP progress report from the Lao People's Democratic Republic. While the Secretariat was of the understanding that some progress reporting was being prepared by the Party, it was not received in time for its inclusion in this document.

Supporting information

The [NIAP of the Lao People's Democratic Republic](https://cites.org/eng/niaps) is available on the CITES NIAP web page at <https://cites.org/eng/niaps>.

If and when received, any NIAP progress reporting submitted by the Lao People's Democratic Republic will be made available as a further Annex to this document.