

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



Seventieth meeting of the Standing Committee  
Rosa Khutor, Sochi (Russian Federation), 1-5 October 2018

Interpretation and implementation matters

General compliance and enforcement

National reports

ANNUAL ILLEGAL TRADE REPORTS:  
REPORT OF THE SECRETARIAT

1. This document has been prepared by the Secretariat.
2. In Resolution Conf. 11.17 (Rev. CoP17) on *National reports*, the Conference of the Parties:
  3. *URGES all Parties, commencing in 2017, to submit an annual illegal trade report by 31 October each year covering actions in the preceding year and in accordance with the report format distributed by the Secretariat, as may be amended by the Secretariat from time to time with the concurrence of the Standing Committee;*
  4. *DIRECTS the Secretariat, unless otherwise specified by the reporting Party, to share the data collected in the annual illegal trade report with the members of the International Consortium on Combating Wildlife Crime (ICWC), to allow data to be used in ICWC global research and analysis studies on wildlife and forest crime;*
3. In Resolution Conf. 11.3 (Rev. CoP17) on *Compliance and enforcement*, the Conference of the Parties:
  14. *DIRECTS the Secretariat to, subject to available resources:*
    - a) *analyse, in collaboration with ICWC partners, the annual reports on illegal wildlife trade;*
    - b) *share with Parties information relating to the analysis to support further enforcement activities;*  
*and*
    - c) *submit a report at each meeting of the Standing Committee and the Conference of Parties based on the analysis and other relevant information available through ICWC partners;*
4. At its 17th meeting (CoP17, Johannesburg, 2016), the Conference of the Parties adopted *inter alia* Decisions 17.121 and 17.122 on *Reporting requirements*.

***Directed to the Secretariat***

17.121 *The Secretariat shall engage with appropriate bodies, such as, but not limited to, the United Nations Environment Programme-World Conservation Monitoring Centre (UNEP-WCMC) and/or the United Nations Office on Drugs and Crime (UNODC), regarding the establishment of a sustainable global framework to store and manage illegal trade data collected through the*

*Parties' annual illegal trade reports, including identifying the associated cost implications and how such costs could be met, and report to the Standing Committee with its findings and recommendations.*

**Directed to the Standing Committee**

17.122 *The Standing Committee shall review the findings and recommendations of the Secretariat reported under Decision 17.121 and prepare its own findings and recommendations for the consideration of the 18th meeting of the Conference of the Parties.*

5. At its 69th meeting (SC69, Geneva, November 2017), the Standing Committee, as presented in document SC69 Sum. 2 (Rev. 1)<sup>1</sup>:

...

- b) *noted the information and the preliminary proposal by the United Nations Office on Drugs and Crime (UNODC) for the development of a database to store and manage illegal trade data collected through the annual illegal trade reports, in Annex 2 of document SC69 Doc. 28.3.*
- c) *endorsed the requirements to be met concerning the storage and management of illegal trade data collected through the annual illegal trade reports, as prepared by the Secretariat and presented in Annex 3 of document SC69 Doc. 28.3, and taking into account the advice provided by the Standing Committee at its 69th meeting to incorporate input from Parties in further developing these requirements, to ensure that the data are made available to support law enforcement needs, and to ensure that data are ultimately available as non-aggregated individual records.*
- d) *requested the Secretariat to work with UNODC to prepare a detailed proposal for the development of a database to store and manage illegal trade data collected through CITES annual illegal trade reports, engaging with partners of the International Consortium on Combating Wildlife Crime (ICWC) as appropriate, incorporating the requirements referred to in recommendation c) above and including the budget breakdown, for consideration by the Committee at its 70th meeting, and subsequent submission to the 18th meeting of the Conference of the Parties for consideration.*

Storage and management of illegal trade data

- 6. To implement Decision 17.121, the Secretariat worked closely with UNODC, in accordance with the recommendations outlined in paragraph 5 above, to prepare a detailed proposal for the development of a database to store and manage illegal trade data collected through the CITES annual illegal trade reports. This proposal can be found in the Annex to the present document.
- 7. The proposal describes that UNODC can, building upon its long-standing experience in collecting, processing and analysing data on illegal activities and trafficking, provide a long-term and sustainable framework to collect, process, store and disseminate data collected through the CITES annual illegal trade reports. The Secretariat considers that UNODC is best placed to provide a sustainable solution for high quality management of CITES annual illegal trade data, so that it can become a valuable tool to inform decision-making, and support the development of appropriate law enforcement responses to wildlife crime.
- 8. On the basis of the detailed proposal in the Annex to the present document, the Secretariat recommends that UNODC be contracted to establish a sustainable global framework to store and manage illegal trade data collected through annual illegal trade reports. The Secretariat prepared draft decision 18.AA, presented in paragraph 21 b), for consideration by the Standing Committee in its implementation of Decision 17.122. The Secretariat recommends that the Committee submit this draft decision to the 18th meeting of the Conference of the Parties (CoP18, Sri Lanka, 2019), for consideration.
- 9. The detailed proposal includes a budget breakdown in Table 1. The cost for the development of the data platform, and for the storage and maintenance of data collected through annual illegal trade reports is estimated to be approximately USD 202,212 for the first year, and USD 176,789 for the subsequent years.
- 10. The funding required for the development of the data platform and the storage and management of the CITES illegal trade data has not yet been budgeted, and the funds would therefore need to be secured. This

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<sup>1</sup> <https://cites.org/sites/default/files/eng/com/sc/69/sum/E-SC69-Sum-02-R1.pdf>

would require a decision of the Conference of the Parties to fund this work from the CITES Trust Fund (CTL), or alternatively through extra budgetary resources to the CITES external Trust Fund (QTL). The annual illegal trade report is mandatory and the importance attached to this reporting should be reflected in the budget. In order to guarantee the sustainability of the framework, subject to funding being available, the Secretariat considers that it would be preferable for the costs to be built into the core budget of the Secretariat, which is equivalent to what is done for the annual report (legal trade). (For information, the annual cost for the storage and management of the data from CITES annual reports is of USD 146,749.) If agreed, this would need to be added to the costed programme of work and agreed by the Conference of the Parties. Such a proposal can be reflected in the draft CITES Trust Fund (CTL) budget for the years 2020-2022 to be considered by the Conference of the Parties at its 18th meeting.

11. Should the Committee agree to propose to CoP18 that the Secretariat contract UNODC to establish, host and maintain a database for the storage and management of data collected through annual illegal trade reports, one consideration to be addressed is the level of access to be provided to different users of the database. The different levels of user access that can be provided are described in the detailed proposal in the Annex to the present document. The Secretariat notes that the Conference of the Parties in paragraph 4 in Resolution Conf. 11.17 (Rev CoP17) on *National reports*, already provides a mandate for the data collected in the annual illegal trade reports to, unless otherwise specified by the reporting Party, be shared with members of the International Consortium on Combating Wildlife Crime (ICWC) for use in ICWC global research and analysis studies on wildlife and forest crime. This is also elaborated upon in the *Guidelines for the preparation and submission of the CITES annual illegal trade report*,<sup>2</sup> paragraph 1 e), which states that each Party should indicate in the annual illegal trade report that it submits, if the data provided in the report may be used in the ICWC-supported global research and analysis on wildlife and forest crime, by ticking the appropriate box provided in the reporting format.
12. Taking into consideration that ownership of the data stored in the illegal trade database remains with the Party that provided it, the level of access to the database to be provided to Parties needs to be clarified. The Secretariat proposes that this matter be dealt with in the same manner as for ICWC. The Secretariat can add boxes in the format for reporting and, by ticking the appropriate box, the reporting Party can indicate if the data it provided can be made accessible to all other Parties that consult the database, for research and analysis by their designated national governmental agencies, on wildlife and forest crime, as it affects the Party consulting the database. In this manner, it will be easy for the Secretariat and UNODC to determine which data entered into the database must be accessible to the submitting Party only, and which can be accessible to all other Parties. If the Committee considers this proposal to be appropriate, it may wish to recommend to CoP18 that paragraph 4 in Resolution Conf. 11.17 (Rev. CoP17) on *National reports* be amended. The Secretariat also propose that the deletion of “*commencing in 2017*” in paragraph 3 of the Resolution be considered, since this text is now redundant. The amendments proposed by the Secretariat are presented in paragraph 21 d).
13. Where any regional body, such as for example EUROPOL or Wildlife Enforcement Networks, require data for the purpose of research and analysis on wildlife and forest crime as it affects the region, it is proposed that such a body inform its member States about the research it intends to conduct, and that the member States themselves on the basis of the information provided, each decide which of the data it submitted and included in the illegal trade database, can be shared, and extract and provide such information to their regional bodies directly as deemed appropriate.

#### Guidelines for the preparation and submission of CITES annual illegal trade reports

14. At its 69th meeting (SC69, Geneva, November 2017), the Standing Committee adopted *Guidelines for the preparation and submission of the CITES annual illegal trade report*. These *Guidelines* include a sample report format, and was made available to Parties in the Annex to Notification to the Parties No. 2018/009 of 19 January 2018.

#### Submission and sharing of annual illegal trade reports

15. In accordance with Resolution 11.17 (Rev. CoP17), paragraph 3, the first annual illegal trade reports from Parties were due on 31 October 2017, covering data from 2016. The annual illegal trade report is mandatory, but not subject to compliance procedures.

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<sup>2</sup> <https://cites.org/sites/default/files/reports/E-Guidelines-IllegalTR.pdf>

16. At the time of writing (July 2018), the Secretariat received annual illegal trade reports for 2016 from 58 Parties of which 39 Parties submitted their reports by the deadline. The Secretariat would like to thank these Parties for the reports submitted. The Secretariat is pleased to inform Parties that it has developed a webpage on *Annual illegal trade reports*<sup>3</sup>, available on the CITES website. At the time of writing, the Secretariat is in the process to make the status of the submission of annual illegal trade reports from Parties available on the web page.
17. Parties are reminded that their annual illegal trade reports for 2017, covering the period 1 January to 31 December 2017, should be submitted to the Secretariat by 31 October 2018, preferably using the email address provided in the *Guidelines* ([reporting@cites.org](mailto:reporting@cites.org)). Parties are requested to use the standard format for reporting agreed by the Standing Committee, and to follow the *Guidelines for the preparation and submission of the CITES annual illegal trade report*, which are available on the CITES webpage on the annual illegal trade report.

#### Value of the data collected through annual illegal trade reports

18. Unless the reporting Party specified otherwise, the Secretariat in accordance with Resolution Conf. 11.17 (Rev. CoP17), paragraph 4, shared the annual illegal trade reports received from Parties with UNODC for processing, to be used in the ICCWC global research and analysis studies on wildlife and forest crime.
19. At the time of writing, funding to implement Resolution Conf. 11.3 (Rev. CoP17), paragraph 14 (analysis of the data provided), had not yet been secured, but the Secretariat was in discussion with a potential donor Party about such funding. Annual illegal trade reports submitted by Parties to date have already informed a number of reports prepared for the present meeting, such as on Asian big cats, cheetahs, eels, great apes, lions, and marine turtles. This demonstrates the value of the information in the annual illegal trade reports submitted by Parties.
20. As reported in the document on the *International Consortium on Combating Wildlife Crime* prepared for the present meeting, UNODC is working on a second edition of the World Wildlife Crime Report. The annual illegal trade data provided by Parties will make an integral contribution to this report, which will similar to the first World Wildlife Crime Report, be based on the best data and case studies available, backed by in-depth analysis.

#### Recommendations

21. In implementing Decision 17.122, the Standing Committee is invited to:
  - a) approve the detailed proposal by UNODC for the development of a database to store and manage illegal trade data collected through the annual illegal trade reports, in the Annex to the present document,
  - b) submit the following draft decision to the 18th meeting of the Conference of the Parties for consideration:

*18.AA The Secretariat shall contract UNODC to establish, host and maintain a database for the storage and management of illegal trade data collected through annual illegal trade reports, meeting the requirements outlined in the detailed proposal prepared by UNODC, as presented in the Annex to document SC70 Doc. 26.3 on Annual illegal trade reports.*
  - c) request the Secretariat to include the cost associated with the storage and management of illegal trade data, as indicated in paragraph 9 in the present document, in its draft CITES Trust Fund (CTL) budget for the years 2020-2022, to be considered by the Conference of the Parties at its 18th meeting, together with draft decision 18.AA presented in recommendation b) above.
  - d) recommend to the 18th meeting of the Conference of the Parties that paragraphs 3 and 4 in Resolution Conf. 11.17 (Rev. CoP17) on *National reports* be amended as follows:
    3. *URGES all Parties, commencing in 2017, to submit an annual illegal trade report by 31 October each year covering actions in the preceding year and in accordance with the report format*

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<sup>3</sup> [https://cites.org/eng/resources/reports/Annual\\_illegal\\_trade\\_report](https://cites.org/eng/resources/reports/Annual_illegal_trade_report)

*distributed by the Secretariat, as may be amended by the Secretariat from time to time with the concurrence of the Standing Committee;*

4. ~~*DIRECTS the Secretariat AGREES that, unless otherwise specified by the reporting Party, to share the data collected in the annual illegal trade report and included in the database should be made available to Parties for research and analysis of wildlife and forest crime as it affects them, and with to the members of the International Consortium on Combating Wildlife Crime (ICCWC), to allow data to be used in for ICCWC global research and analysis studies on wildlife and forest crime.*~~

## PROPOSAL

### **A sustainable framework for the storage, management and dissemination of data collected through CITES Annual Illegal Trade Reports**

(26 July 2018)

#### **Executive Summary**

This proposal was prepared in close collaboration with the Secretariat of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), to implement Decision 17.121 on Reporting requirements.<sup>4</sup> It incorporates the matters outlined in the provisions of Recommendations c) and d) on *Annual illegal trade reports*, as presented in document SC69 Sum. 2 (Rev. 1),<sup>5</sup> agreed by the CITES Standing Committee at its 69th meeting (SC69, Geneva, 2017).

As described in this proposal, UNODC can provide a long-term and sustainable framework to collect, process, store and disseminate data collected through CITES annual illegal trade reports. The proposal builds upon the long-standing experience of UNODC in collecting, processing and analysing data on illegal activities and trafficking, and it has three specific objectives:

- To ensure the regular collection, processing and validation of annual illegal trade reports, secure storage of data collected, and processing this data to make it suitable for the production of analytical reports;
- To develop a data dissemination platform that will allow password-protected direct access to selected users, including the CITES Secretariat, CITES Parties and the International Consortium on Combating Wildlife Crime (ICWC) partner agencies; and
- To gradually improve the quality of CITES annual illegal trade report data and to increase the response rate by CITES Parties.

The proposal also describes outputs, deliverables and activities to be undertaken by UNODC to assure the regular maintenance of the database and how these would fit the requirements set by CITES Conference of the Parties.

It is believed that UNODC's expertise, role and mandate will offer a sustainable solution for high quality management and user-friendly dissemination of CITES annual illegal trade data, so that this data can become an accessible and valuable tool to inform decision making, and support of the development of appropriate law enforcement responses to wildlife crime.

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<sup>4</sup> Decision 17.121 adopted by the 17th meeting of the CITES Conference of the Parties

<sup>5</sup> <https://cites.org/sites/default/files/eng/com/sc/69/sum/E-SC69-Sum-02-R1.pdf>

## *1. Background*

UNODC has long-standing experience in establishing and maintaining a wide range of data on illicit drugs, criminal activities and criminal justice response at global level, including data on trafficking in illicit goods. The UNODC Research and Trend Analysis Branch (RAB) manages the following datasets:

- Country-level aggregated data:
  - Comprehensive datasets on all aspects of the drug problem (demand, supply, production/ cultivation, mortality, drug-related offences) from UNODC's Annual Reports Questionnaire (ARQ);
  - The Crime Trends Survey database (UN-CTS), which covers data from a comprehensive questionnaire on criminal offences and criminal justice statistics (collected since 1970);
  - The homicide database, which integrates homicide data collected through the UN-CTS with data from external national and international sources from criminal justice and public health.
  - A Global Report on Trafficking in Persons database (GLOTIP) on detected victims and perpetrators of human trafficking, collected through an annual data collection from Member States;
  - Data on trafficking in firearms, their parts and components and ammunition, collected through the United Nations Illicit Arms Flows Questionnaire (UN-IAFQ)
  - The UNODC early Warning Advisory on New Psychoactive Substances (NPS) database and platform, collecting and sharing information on the emergence of NPS and toxicological data related to these substances, with information on legislative responses and technical information to assist forensic laboratories in the identification of NPS.
  
- Datasets of individual seizure events, as provided by Member States:
  - The Individual Drug Seizures (IDS) database, which includes significant illicit drug seizures reported by Member States biannually;
  - A database on significant arms seizures, with information collected annually through the UN-IAFQ;
  - A global multi-source wildlife seizure database (World WISE) on seizures of species from wild fauna and flora, covering the years 1999-2014;
  - The CITES annual illegal trade report database, which includes 2016 data on seizures of CITES listed specimens, submitted to the CITES Secretariat by Parties to the Convention.

UNODC has the statistical expertise, capacity, organisational framework and global mandate to host, manage and disseminate statistical data on criminal events/practices and on seizures of illicit goods. In particular, UNODC has significant experience in maintaining data collected across the years, ensuring the production of consistent time series and consolidated national data into regional and global aggregates with appropriate statistical procedures. Considerable experience also exists in managing official and technical communication with Member States throughout the phases of collection, processing and validation of data so to ensure the highest possible quality of data and a transparent link with national data producers.

Thanks to a long record of global reports on several topics, UNODC has developed a solid expertise on the analysis of data on criminal activities and illicit trafficking, which always need to be interpreted in conjunction with existing legal frameworks, law enforcement/criminal justice practices, national recording systems rules and possible capacity constraints at country level.

## ***2. Current partnership on wildlife crime data***

The CITES Secretariat and UNODC are partners in ICCWC, and both agencies share a commitment to an evidence-based approach to the global wildlife crime problem. UNODC has been an active member of the CITES Working Group on Special Reporting Requirements during the development of the CITES annual illegal trade report, and supported the design of the format for reporting.

In preparation of the 2016 World Wildlife Crime Report, UNODC created a global database of wildlife seizures, dubbed "World WISE". It contains data on 164,000 seizures from 120 countries over a 15-year period, and it was compiled from a variety of sources, including data from CITES, the World Customs Organisation, the European Union's Wildlife Enforcement Group, the LEMIS system of the United States, ASEAN's Wildlife Enforcement Network, and many others. This database, while comprehensive in its contents, is currently being upgraded to bring it in line with IT standards in terms of security, storage capacity, sustainability and ease of use.

In this partnership framework, CITES has recently shared annual illegal trade reports (AITR) for 2016 and UNODC is currently processing, harmonizing and validating available AITRs, and it has developed a secure database for storage and analysis of such data. Thanks to such activities and to regular consultation with UN Environment-WCMC and CITES Secretariat, UNODC has developed and tested a protocol to systematically and efficiently collect, process and validate these data, and to store them in a secure manner.

## ***3. Proposed new partnership to manage the CITES Illegal Trade Data***

### ***3.1 Objectives***

As indicated by Decision 17.121 adopted by the CITES Conference of the Parties, and the *Requirements* outlined in Annex 3 to document SC 69 Doc. 28.3, the main objectives of this new partnership would be:

- To maintain the current CITES-AITR *production* database, ensure the regular collection, processing and validation of AITR data, secure storage of data collected, and processing this data to make it suitable for the production of analytical reports;
- To develop a data dissemination platform that will allow password-protected direct access to the CITES Secretariat, CITES Parties, ICCWC partner agencies, and any other authorised potential user. This dissemination platform, that will integrate the *dissemination* database, will provide a user-friendly interface to selected contents of AITR data and built in a way that different levels of data access can be provided to different data users, as per indications by CITES Parties and CITES Secretariat;
- To contribute to improve the quality of CITES annual illegal trade report data, as well as to increase the response rate through communication with CITES Parties and CITES Management Authorities, in consultation with CITES Secretariat.

Assuring a sustainable and solid infrastructure for the maintenance of illegal trade data, as well as robust and consolidated time-series, is also key to assure the long-term production of the SDG Indicator 15.7.1 ‘*Proportion of traded wildlife that was poached or illicitly trafficked*’, for which UNODC and CITES are custodian agencies<sup>6</sup>.

### 3.2 Outputs

- An integrated, validated and comprehensive set of data on wildlife seizures for analytical purposes, with data sourced from CITES annual illegal trade report.
- A password-protected data dissemination platform, directly accessible by ICCWC partner agencies and CITES Parties, containing CITES annual illegal trade reports data for which the CITES Parties agreed the sharing with ICCWC partner agencies.

### 3.3 Annual deliverables

- A yearly official data release of validated and reviewed CITES annual illegal trade reports (individual data) made available through the dissemination platform.
- A set of standard statistical tables based on CITES annual illegal trade reports aimed to monitor global and regional trends/patterns of trafficking in wildlife.
- A yearly data quality assessment report, with indications of data quality and coverage issues at global/regional level. Whenever relevant, amendments to the *Guidelines for the preparation and submission of the CITES annual illegal trade reports* will be proposed to facilitate data preparation and submission by CITES Parties and improve data quality standards.

### 3.4 Activities

#### First year:

1. Based on on-going experience, review and update the current CITES annual illegal trade report database
2. Collect and store *all* data received by CITES Secretariat
3. Translate CITES annual illegal trade report when reporting language is different than English
4. Process and validate data systematically
5. Review nomenclature and data standards based on consultation with UNEP-WCMC
6. Integrate data in the CITES annual illegal trade report database
7. Share annual illegal trade report data of the previous reporting year with CITES Parties for their technical review
8. Integrate CITES Parties’ reviews and further inputs
9. Maintain documentation on data, metadata, national sources and validation process
10. Maintain and update data processing application
11. Maintain regular communication with CITES Parties and the CITES Secretariat

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<sup>6</sup> The Indicator has been re-classified as Tier II because of the lack of sufficient data coverage (IAEG-SDG 3rd meeting).

12. Respond to specific data requests, in agreement with the CITES Secretariat
13. Build consolidated data series for analytical purposes, inclusive of metadata
14. Release a data quality assessment report
15. Perform regular database backups and recovery tests on both production and dissemination databases
16. Design, test and launch a password-protected data platform for data dissemination, directly accessible by the CITES Secretariat, CITES Parties and ICCWC partner agencies.

Second and subsequent years:

1. Conduct activities 1. to 15. (see above) for data collection, processing, validation and dissemination
2. Based on first year experience, review and update the dissemination platform.

### 3.5 Requirements

Main costs are summarised below (more detailed in the budget table).

1. A statistical assistant (G5) to implement activities 1. to 14. (see above)
2. Statistical expert (P3) to maintain supervision of the entire process
3. Contractual services for development of new data platform (Consultant, 4 months – first year only)
4. Standard costs for the storage and maintenance of the production database, and for set up and maintain the data dissemination platform (including technical support for database backup and recovery).

### 3.6 Budget

The associated cost implications for the overall data management, the supervision of the entire process, development of the data platform and costs for storage and maintenance of data are planned to amount to USD 202,212 for the first year and to USD 176,789 for the second and subsequent years:

*N.B. The indicated costs are intended as fixed charges for all activities to process all CITES annual illegal trade reports, regardless of the number of reports received.*

The costs include:

*Table 1 – Detailed costs of the activities (in United States Dollars)*

<b>Description</b>	<b>Year 1 (2020)</b>	<b>Year 2 (2021) and subsequent years</b>
<u>One-time costs</u>		
Contractual services for development of new data platform (consultant) (4 months).	24,000	-
<i>Sub-total</i>	<i>24,000</i>	-
<u>Recurrent costs</u>		

Statistical Assistant for overall data management (see detailed list of tasks in Annex 1 to this proposal).	111,200 <sup>7</sup>	113,800 <sup>4</sup>
Statistical expert to maintain supervision of the entire process (2 months).	27,783 <sup>4</sup>	28,383 <sup>4</sup>
Standard costs for data storage, maintenance and dissemination, including support costs for database backup and recovery.	12,500	9,540
Support cost to UN Environment-WCMC to help ensure that nomenclature reference and data standards are applied as for the annual trade report and to be compatible with the CITES legal trade database.	9,500	9,500
Annual meeting with CITES Secretariat, covering two-day mission of three staff members from Vienna to Geneva (or viceversa).	4,000	4,000
<i>Sub-total</i>	<i>164,983</i>	<i>165,223</i>
<b><i>Project Net Total</i></b>	<b><i>188,983</i></b>	<b><i>165,223</i></b>
<i>PSC (7.0%)</i>	<i>13,229</i>	<i>11,566</i>
<b>TOTAL</b>	<b>202,212</b>	<b>176,789</b>

Total for the first two years: **USD 379,001**

<sup>7</sup> Standard UNODC Revised Standard Salary costs (2018-2021) for Staff Members positions based in Vienna funded by extra-budgetary sources.

**4. Requirements concerning the storage and the management of illegal trade data collected through the CITES annual illegal trade report**

Document SC69 Doc. 28.3, Annex 3, states that: “*In Resolution Conf. 11.17 (Rev. CoP17), paragraph 3, the Conference of the Parties URGES all Parties, commencing in 2017, to submit an annual illegal trade report by 31 October each year covering actions in the preceding year and in accordance with the report format distributed by the Secretariat, as may be amended by the Secretariat from time to time with the concurrence of the Standing Committee. Data obtained from these reports stored and managed on behalf of the CITES Secretariat, should be dealt with in accordance with the following requirements (...)*”.

At SC69, the Standing Committee agreed Recommendations c) and d) on *Annual illegal trade reports*, presented in document SC69 Sum. 2 (Rev. 1), as follows:

- c) *The Standing Committee endorsed the requirements to be met concerning the storage and management of illegal trade data collected through the annual illegal trade reports, as prepared by the Secretariat and presented in Annex 3 of document SC69 Doc. 28.3, and taking into account the advice provided by the Standing Committee at its 69th meeting to incorporate input from Parties in further developing these requirements, to ensure that the data are made available to support law enforcement needs, and to ensure that data are ultimately available as non-aggregated individual records.*
- d) *The Standing Committee requested the Secretariat to work with UNODC to prepare a detailed proposal for the development of a database to store and manage illegal trade data collected through CITES annual illegal trade reports, engaging with partners of the International Consortium on Combating Wildlife Crime (ICWC) as appropriate, incorporating the requirements referred to in recommendation c) above and including the budget breakdown, for consideration by the Committee at its 70th meeting, and subsequent submission to the 18th meeting of the Conference of the Parties for consideration.*

The table below lists the requirements outlined in Annex 3 to document SC69 Doc. 28.3, and how UNODC proposes to meet those requirements.

*Table 2 - UNODC proposed solutions to the requirements to be met concerning the storage and the management of illegal trade data through the CITES annual illegal trade report*

Requirement	Proposed solution
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<p>1) The ownership of the data stored in the illegal trade database and managed on behalf of the CITES Secretariat remains with the Party that reported the data to the CITES Secretariat.</p>	<p>1) UNODC will host and manage the data on behalf of the CITES Secretariat. The data will not be disseminated without prior approval by the CITES Secretariat. Standard validation procedures will be conducted by UNODC before dissemination to improve data consistency and accuracy. Both production and dissemination databases, related processing tools and the dissemination platform will be designed by making use of standard IT tools and software; if needed, this would facilitate data migration to different IT infrastructures in the future.</p>
<p>2) The data must be stored on a secure platform and managed in a secure manner.</p>	<p>2) CITES annual illegal trade report data will be hosted in a secure and protected database- similarly to all other data collections managed by UNODC. The production database will be accessible only to UNODC and will be physically located at UNODC Headquarters. To guarantee the highest data dissemination security standards, the dissemination database will fulfil the security standards of the Office of Information and Communications Technology (OICT) of the UN Secretariat. All ICT infrastructures and applications used for data validation, storage, maintenance and dissemination will allow to keep track of all processes associated with the production database and to monitor the access to the dissemination platform. Logs of all these activities will be stored and maintained over the years.</p>
<p>3) The host of the database must ensure that data, which can be shared with members of ICCWC to be used in ICCWC global research and analysis of wildlife and forest crime, can be easily separated from data that cannot be shared with ICCWC in accordance with the provisions of Resolution Conf. 11.17 (Rev. CoP17), paragraph 4. The database must allow separate download of these datasets, to be used by ICCWC in accordance with the necessary data sharing protocol, to conduct analyses and research to identify patterns and flows of illicit trafficking (e.g. identification of high risk geographic areas / routes / transport methods / species / allocation of enforcement resources).</p>	<p>3) UNODC keeps track of the authorisation to share CITES annual illegal trade report data with other ICCWC partners, as indicated by the reporting parties in the checkbox of the reports received. The dissemination platform will exclude all data from reports with explicit indication that “<i>information provided (...) may not be used in the ICCWC-supported global research and analysis of wildlife and forest crime</i>”.</p>

<p>4) The database must be directly and fully accessible to the CITES Secretariat.</p>	<p>4) The CITES Secretariat will have full access to the data dissemination platform (for security reasons, the production database will be accessible only to UNODC staff). The dissemination database will be a replication of the production database and it will be fully available to the CITES Secretariat. Data will be made available on the dissemination database according to a predetermined schedule agreed upon between UNODC and CITES Secretariat.</p>
<p>5) Direct access to the database containing data for which Parties agreed that this data can be shared with members of ICCWC for research and analysis will be granted by UNODC to any ICCWC partner agency, subject to approval by the CITES Secretariat. This will facilitate the coherent use of data and enable the Secretariat to, as appropriate, keep track of and manage such use. Such access will be granted for the period needed by the requesting ICCWC partner agency to conduct the agreed research and analyses, and will be restricted to identified users as agreed with the ICCWC partner agency requesting access.</p>	<p>5) The data platform will be protected with a password to guarantee access restricted only to CITES Secretariat, CITES Parties and ICCWC partner agencies. Different levels/permissions of access can be assigned to different users of the dissemination platform, according to the indication of the CITES Secretariat before the sharing, dissemination and publication of any data. The data dissemination platform infrastructure will allow for flexibility in the permission levels, from the access to limited fields of selected reports to full access to all fields of all reports received and validated by UNODC. Access to data can also be offered for a limited time interval.</p>
<p>6) The system must provide a user interface that presents, sorts and aggregates data in a meaningful manner.</p>	<p>6) The data dissemination platform will be designed to allow filtering, sorting and aggregating options of CITES annual illegal trade report data. Features of data dissemination interface will be described in a technical note that will be agreed with CITES Secretariat.</p>



<p>7) To facilitate analyses of annual illegal trade data, the illegal trade database must enable searches to be made using different parameters, e.g. Party, Appendices, species, specimen, etc.</p>	<p>7) The annual illegal trade report data tables available in the data dissemination platform will include the name of reporting Party, the CITES Appendices, and all relevant fields included in the reporting format template of the CITES annual illegal trade report. The specific contents of annual illegal trade reports made available on the dissemination platform will be detailed in a technical note to be agreed with CITES Secretariat.</p>
<p>8) The data shall be stored and be made available using data fields and data elements that correspond to the codes and formats set out in the <i>Guidelines for the preparation and submission of the CITES annual illegal trade report</i> agreed by the Standing Committee, and the <i>Guide to using the CITES Trade Database</i>. Updates must be made as necessary to the database, to incorporate changes to the Guidelines or the Guide.</p>	<p>8) The data from CITES annual illegal trade reports will be stored using as reference the <i>Guidelines for the preparation and submission of the CITES annual illegal trade report</i> and the data processing protocols prescribed in the <i>Guide to using the CITES Trade Database</i>. Specific contents of the data dissemination platform will be described in a technical note. In case of changes to the Guidelines and/or the guide, necessary updates to the data storage and dissemination will be discussed by UNODC and CITES Secretariat, and implemented taking into account possible resource implications.</p>
<p>9) The latest nomenclature references adopted by the CITES Conference of the Parties must be used.</p>	<p>9) At the moment of database establishment, the latest nomenclature adopted by the CITES Conference of Parties will be used (UNODC is already collaborating with UN Environment-WCMC to guarantee alignment). Updates to the nomenclature that need to be reflected in the data storage and dissemination will be discussed by UNODC and CITES Secretariat, and implemented taking into account possible resource implications.</p>

<p>10) The data will be processed and validated according to procedures to be agreed to ensure the highest possible quality of data.</p>	<p>10) UNODC has long-standing experience in processing and validating seizures data for statistical purposes. The prescription of the <i>Guidelines for the preparation and submission of the CITES annual illegal trade report</i> and the data processing protocols prescribed in the <i>Guide to using the CITES Trade Database</i> will be used as reference for data processing. Data processing and validation will be conducted according to a transparent procedure, which will be discussed and reviewed with CITES Secretariat. UNODC will regularly produce a report on data quality with the aim of giving indications to Member States on improving data quality at the source.</p>
<p>11) The database must be able to clearly differentiate between data originating from the CITES annual illegal trade reports and data from other sources, and allow a separate download of the dataset from the CITES annual illegal trade reports.</p>	<p>11) Each data element will be stored with clear specification of its data source; accordingly, it will be possible to implement each operation (aggregation, visualisation, and download) according to the data source. The selection - for download or visualisation - of data sourced from CITES annual illegal trade reports will be a simple operation.</p>
<p>12) The host of the database must engage with UNEP-WCMC to help ensure that the database will apply the same nomenclature references and data standards as for the annual trade report, and be compatible with the CITES Trade database.</p>	<p>12) UNODC is already cooperating with UN Environment-WCMC to ensure alignment of processing protocols prescribed in the <i>Guide to using the CITES Trade Database</i>. UNODC follows strictly the <i>Guidelines for the preparation and submission of the CITES annual illegal trade report</i> as validation rule. The collaboration with UN Environment-WCMC will continue and it will be formalised.</p>



13) Roles and responsibilities for staff of the host of the database on the management and use of the data will be developed through consultation between the host of the database and the CITES Secretariat, and agreed prior to the start of the project.

13) The agreement between CITES Secretariat and UNODC will identify activities, outputs and the timeline for their implementation. The agreement will also identify the organisational unit responsible for its implementation, the resource requirements and the Focal Points responsible for communication between CITES Secretariat and UNODC. Regular consultation will be held between staff of CITES Secretariat and UNODC to ensure coordination and smooth operations of the project. Further details on the responsibilities of the full time statistical assistant working on the CITES illegal trade report data are available in the Annex I of this proposal.

## **5. Complementarity of CITES AITR and other wildlife trade data and use of CITES AITR to feed the new World Wildlife Seizure (WISE) Database**

UNODC is fully engaged to provide the international community with the best available global information on wildlife crime. For such purpose, UNODC intends to maintain the World Wildlife Seizure (WISE) Database, incorporating CITES annual illegal trade reports to other compatible seizure data sources (including data from previous CITES reports), for analytical purposes. The World Wildlife Seizure Database will also contain seizures of non-CITES listed species of wild fauna and flora, to cover additional seizures orders under national and international legislations (e.g. the Council Regulation (EC) No 338/97).

Maintaining a global dataset that integrates data on illegal trade of CITES protected wild fauna and flora species with other illegal trade data sources collected by UNODC, can have a positive impact on CITES annual illegal trade reports for the following reasons:

- It provides a benchmark to validate and harmonise CITES annual trade report data, available for cross-country comparability and for aggregation for regional and global analysis.
- Allows for compatibility of CITES annual trade report data with other data sources (including CITES illegal trade information from past years) to build consistent time series and allow for robust time trends analysis.
- Allows to combine information of CITES annual illegal trade reports with information from other sources, to create a centralised information database on global wildlife seizures of CITES and non-CITES listed species (the updated WISE database).

Subject to willingness to information sharing by agencies providing the data, the centralised global wildlife seizures database could be shared with CITES Secretariat, ICCWC partners and law enforcement agencies for global research and trend analysis on illegal wildlife trade.

*N.B. Costs to manage the World Wildlife Seizure (WISE Database) are borne by UNODC and therefore not included in the present proposal.*

## **Annex I**

### **Statistical assistant's list of tasks**

The Statistical Assistant will contribute to the management and maintenance of the database on CITES annual illegal trade reports data on worldwide wildlife seizures.

In particular, she/he will be responsible for the following duties:

- Continue the compilation and processing of the CITES annual illegal trade reports database on worldwide wildlife seizures information provided by CITES Parties and received through CITES Secretariat;
- Review, store, file and maintain the information provided by CITES Parties and CITES Secretariat;
- Translate reports when reporting language is different than English;
- Standardize and validate collected data to ensure consistency and comprehensiveness; interpret and adjust anomalous data using standard statistical procedures and techniques, under the guidance of supervisors;
- Design, maintain and update internal tools, applications and protocols for the processing of data and for making data available to analysts;
- Devise and implement quality guidelines and standard procedures to provide a solid foundation for the accuracy of the data and ensuing analysis;
- Maintain documentation on data and on data processing standards;
- Monitor quality and consistency of final datasets;
- Draft an annual data quality assessment report;
- Prepare and arrange the data for the publication ensuring high quality of disseminated data and metadata;
- Contribute to the design, establishment and launch of the data platform for the dissemination of CITES illegal trade data;
- Apply statistical techniques and IT skills to assist in the preparation of national, regional and global estimates of relevant indicators;
- Contribute to the production of SDG Indicator 15.7.1.
- Contribute to methodological discussions on data standards and conversion factors, in coordination with CITES Secretariat and UN Environment-WCMC;
- Prepare data sets upon request, respond to queries/requests and maintain/update web pages;
- Provide data support for the production of relevant reports;
- Update statistical series in established formats;
- Maintain regular communication with CITES Secretariat;
- Ensure coordination with UN Environment-WCMC, to update nomenclatures adopted by the CITES Conference of the Parties and ensure alignment with trade term standards and codes;
- Support CITES in the improvement of the quality and the coverage of the data, through communication with CITES Parties and/or Reporting Authorities;
- Contribute to regular database backups and recovery tests on both production and dissemination databases, to prevent data losses or to restore lost data.