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

Seventh Meeting of the Conference of the Parties

Lausanne (Switzerland), 9 to 20 October 1989

Interpretation and Implementation of the Convention

Report on National Reports under Article VIII, Paragraph 7, of the Convention

SECRETARIAT REPORT

1. INTRODUCTION

- 1.1 The text of the Convention (particularly Article XII) includes as one of the Secretariat's functions the study of Parties' reports and the preparation of comments and recommendations on this subject. The Conference of the Parties adopted three Resolutions (Conf. 5.4, 5.5 and 5.6) to address some of the problems that had become apparent regarding this subject.
- 1.2 The Secretariat has continued to monitor the situation with respect to annual reports and has undertaken some of the work requested by the Conference of the Parties. Unfortunately, the Secretariat's overall workload has precluded the possibility of carrying out all of the work required to fulfil the above-mentioned recommendations. In addition, the Secretariat has been unable to devote any resources to the subject of biennial reports. Thus, this document addresses primarily the subject of annual reports.
- 1.3 As part of the continuing programme in this area, the Secretariat again included in the WTMU consultancy contract a requirement for a report comparable to those previously presented to the Conference of the Parties in documents Doc. 4.18, Doc. 5.18 and Doc. 6.17. The document was prepared by the WTMU and it is presented in the document Doc. 7.18.
- 1.4 The Parties are reminded that annual reports serve three major purposes in the operation of CITES:
 - i) To monitor the implementation of the Convention by Parties.
 - ii) To monitor the quantity of trade occurring in specimens of species listed in the appendices and thus allow assessments to be made of the effect of this trade on wild populations.
 - iii) To detect possible violations or frauds.

- 1.5 The Secretariat sub-contracts part of the work in this field to WTMU. In particular, WTMU is responsible for maintaining the computerized database which contains a complete record of all CITES trade transactions reported by the Parties in their annual reports. This work is central and absolutely vital to the Secretariat's ability to fulfil the obligations placed on it by the text of the Convention. Considering the volume of the data involved (currently well in excess of 545,000 transactions in the main database), this computerized processing is essential for the efficient handling of the information.
- 1.6 Within the framework of the contract, the Secretariat requests the establishment of a comparative tabulation so it can verify if the export and import of the same shipment has been recorded in an identical fashion by both Parties concerned.

2. ANNUAL REPORTS

2.1 Statistical Data

Annex 1 presents a list of annual reports submitted by the Parties until 10.09.89 (with the dates they were received from 1984 on).

Annex 2 is a graph comparing the number of Parties that should submit an annual report with the number of Parties that have submitted a report and with the number of Parties that submitted one within the agreed time limit.

Annex 3 shows the evolution of the percentage of annual reports actually received in relation to the number that should have been received.

It must be noted that the figures are quite different from those in the WTMU report (Doc. 7.18). In fact, the information given in the latter report reflects the situation up to 15.07.89, and several Parties submitted their 1986 and 1987 reports in August or at the beginning of September 1989.

2.2 The Secretariat's Activities

The Secretariat regularly reminds the Parties that they must furnish an annual report, either by means of Notifications to the Parties, or by letter. Each reminder has resulted in the arrival of a certain number of reports, but the Secretariat is concerned that some Parties have never replied, even when offered assistance.

The Secretariat suggested to some Parties that they might want to have their annual reports compiled on the basis of copies of the permits they have issued. Unfortuately, the lack of funds has seriously limited this solution.

On receipt of the annual reports, the Secretariat often has to ask questions or ask for further information. The Secretariat is concerned that only a few Parties co-operate by replying.

In accordance with the agreement made with the Conference of the Parties, the Secretariat no longer sends all the annual reports to all the Parties. However it is recommended that each Party send a copy of its report to the other Parties (the Secretariat can supply pre-addressed adhesive labels), or at least a copy to the countries with which it has important trading links.

Guatemala Guyana	6 7
India	4.5
Italy	2
Japan	7
Jordan	8
Kenya	2.5
Mauritius	5.5
Morroco	3.5
Nepal	5.5
Niger	8.5
Norway	10
Pakistan	5
Panama	4.5
Portugal	6
Saint Lucia	6
South Africa	4
Sri Lanka	5.5
USSR	10

2.5.3 If the trade statistics and other information included in the annual reports are to be used efficiently and effectively, there must be an improvement in the performance of the Parties in this respect. The Secretariat has made enquiries of those Parties who have regularly failed to meet the deadline and, in some instances, has received assurances that performance will improve.

2.6 Submission in Non-Standard Form

Many Parties still do not follow the recommendations of the "Guidelines for the Preparation of CITES Annual Reports", although there has been considerable improvement in this respect. Failure to comply substantially with the guidelines can, and often does, render the data more or less useless for the purposes for which they are intended. Most of the major trading Parties now do follow the guidelines to a substantial degree, but there are still some that do not. The analysis of the annual reports in the WTMU report (Doc. 7.18 Annex) illustrates the situation quite well.

2.7 Submission of Incomplete or Inaccurate Reports

- 2.7.1 Item ii) of paragraph 3.2 of document Doc. 5.18 noted that the Secretariat should study the Parties' annual reports to better identify the problems of this type. This task was undertaken in mid-1988. Unfortunately, the poor response to the Secretariat's remarks limited the impact of this action.
- 2.7.2 Some Parties send their reports in several parts. First the exports and then the imports, for example, or first the fauna and then the flora, or even the first six months of the vear followed by the second six months. This is an acceptable practice. It is even preferable in some cases because it allows certain data to be dealt with more quickly. But it is no longer acceptable when the complete report is not submitted within the deadline. The Secretariat has the impression that some Parties quickly send a first report and then delay sending the rest because, by doing this, they avoid appearing on the list of countries that have not submitted their report. This course of action is regrettable.

Because of the lack of funds available, the contractual agreement with the WTMU for 1988 and 1989 could not include the recording of data concerning the cultivated plant species which are listed in Appendix II.

2.3 Problems with the Presentation of Annual Reports

There are four main areas where problems exist with respect to the submission of annual reports:

- i) Failure to submit an annual report.
- ii) Late submission of an annual report.
- iii) Submission of an annual report which substantially departs from the recommendations of the "Guidelines for the Preparation of CITES Annual Reports" in its format, presentation or methods of recording trade.
- iv) Submission of an annual report which omits data or substantial sections of trade and/or which contains substantial inaccuracies.

2.4 Non-Presentation of the Annual Report

As pointed out in Annexes 2 and 3 as well as in the WTMU report, the number and percentage of the Parties that submit a report are increasing, but very slowly. Apart from the countries that have just recently become Parties, four have never submitted a report, nearly 17% have not submitted either their 1986 or 1987 reports, and 24% have not submitted their 1987 report.

2.5 Late Submission

- 2.5.1 In order for the trade statistics to be used effectively, it is essential that the information is available as soon as possible. Resolutions Conf. 2.16 and 3.10 recommended 31 October as the deadline, and this was reinforced by Resolution Conf. 5.4. The Secretariat's objective has been to distribute the comparative tabulation of CITES trade statistics within 12 months of the end of the year to which they relate. If the majority of the Parties was able to meet the 31 October deadline, this objective could be readily achieved. The fact that many Parties do not submit their reports on time, particularly the most important Parties in terms of trade volume, has caused a succession of problems to the Secretariat's attempts to succeed with this aim (see paragraph 3 following).
- 2.5.2 The following Parties submitted their 1987 annual report late:

	Months Late
Algeria	4
Argentina	9
Belgium	1
Botswana	9.5
Canada	3
Chili	5.5
Costa Rica	4
Finland	2.5
Germany, Federal Republic of	5

- 2.7.3 The Secretariat wishes to point out that the submission of annual reports not only respects one of the Convention's obligations but also furthers the fulfilment of the fundamental objectives laid down in the Convention's preamble.
- 2.7.4 Some of the Parties that have appointed several Management Authorities are often confronted with the following dilemma: to send partial, but very useful information as quickly as possible, or to wait until they have complete information, which often results in the annual report being sent in late.

In all cases, the Secretariat recommends the first solution but asks the Parties to limit, as far as possible, the number of submissions and to respect the October 31st deadline.

- 2.7.5 Let us take the example of the Philippines. They sent their 1985, 1986 and 1987 annual reports on 19.05.86, 10.10.87 and 10.10.88 respectively. Then on 10.08.89, the Secretariat received eight reports (concerning 1985, 1986 and 1987) from three other Philippine Management Authorities authorized to issue permits for marine products. Two of these reports substantially ignored the guidelines set out for annual reports.
- 2.7.6 More generally, the Secretariat is able to state that many annual reports are still omitting large sections of trade in CITES specimens. This is clearly illustrated by the contents of document Doc. 7.18 which concludes that this problem is the main cause of discrepancies between annual reports.
- 2.7.7 It should be noted that some Parties do not furnish any, or only a little, data about imports of species listed in Appendices II and III of the Convention.

This is often due to the export permits remaining with the customs services and, contrary to the provisions of the Convention (Article VI, paragraph 6), these permits are not transmitted to one of the Management Authorities.

- 2.7.8 Some Parties declare a great number of re-exports but do not indicate any imports. While this can be justified in certain cases (stocks, imports from preceding years), it is more often due to data not being registered for the imports.
- 2.7.9 The Secretariat is sorry that the request for information about seized or confiscated specimens (that figure in the guidelines for the annual reports) is only rarely satisfied.

This would provide at least a minimum of information about illegal trading.

3. COMPARITIVE TABULATION

- 3.1 When a sufficent number of Parties (notably those who have a heavy volume of trade) have submitted their annual report, the Secretariat asks the WTMU to compile comparative tabulation.
- 3.2 The comparative tabulation for 1985 were compiled by 15 September 1987 and transmitted to the Parties on 12 November 1987.

The comparative tabulation for 1986 were compiled by 31 October 1988, and transmitted to the Parties on 10 April 1989.

The comparative tabulation for 1987 were compiled by September 1989, and should be distributed shortly after the seventh meeting of the Conference of the Parties.

- 3.3 The complete 1986 tabulation covers more than 3000 pages. The time involved in photocopying and translating them explains their late delivery.
- 3.4 It will be noted that there is a long delay between the end of a given year and the production of the comparative tabulation concerning that year:

1985 22.5 months 1986 24 months 1987 22 months

A large part of the usefulness of this tabulation is lost because this long delay renders research into the discrepancies that surface very difficult (many of the documents have already been put into archives) or even impossible (the merchandise has disappeared). Moreover, when cases of fraud are uncovered, some Parties are not able to act because of the time limit imposed for the instigation of legal action, which is regrettable.

- 3.5 1987's comparative tabulation were published late because some of the Parties involved in heavy trading (notably Japan, Argentina and the Federal Republic of Germany) sent in their reports late.
- 3.6 When the Secretariat sent out the 1986 comparative tabulation they formulated some suggestions for their use. To date, they have received no comments on these suggestions.

4. BIENNIAL REPORTS

As noted above, the Secretariat has been unable to devote any time to this subject. The situation is further complicated by the fact that many annual reports contain, either knowingly or unknowingly, some or all of the information required to be included in biennial reports.

5. COMPUTERIZATION

Resolutions Conf. 3.10 and 5.6 both refer to the possibility of computerizing annual report trade statistics. The former with respect to co-ordination to ensure compatibility and the latter to urge Parties to consider either computerizing their reports themselves or contracting WTMU to do this. Although great progress has been made in this area, a few problems concerning compatibility remain. The Secretariat therefore recommends that Parties who envisage sending their annual reports in a computerized manner should first contact the WTMU, through the Secretariat if necessary.

6. CONCLUSIONS

6.1 Despite several Resolutions and the fact that annual report submission is mandatory and although the percentage of Parties failing to submit such reports has clearly decreased, the situation is still cause for concern.

- 6.2 Lack of resources appears to be the most common reason for failure to submit annual reports. Lack of enthusiasm and lack of understanding of the usefulness of these reports are probably equally important.
- 6.3 Of those Parties submitting reports, the percentage submitting them within the agreed deadline has not changed significantly in recent years. This is regrettable and penalizes those Parties who make an effort to respect the deadlines.
 - 6.4 More Parties are submitting annual reports in accordance with the guidelines or at least substantially so. This represents progress, but there is still much room for further improvement.
 - 6.5 A great number of discrepancies between the Parties' reports still remains. Although many of these are due to the fact that the reports are incomplete, it is often because they are not checked properly. This situation must therefore be qualified as worrying.
 - 6.6 The processing, analysis, interpretation and use of the CITES trade data have increased and improved substantially over the last few years. Further improvements are anticipated, but the major limiting factors are still the quality of the data in the annual reports and the compliance with the deadlines.
 - 6.7 If it is considered that the annual report is one of the indications of how the Parties are implementing CITES, it is not surprising that we are worried about the situation in some countries.
 - 6.8 The Secretariat is pleased with some of the improvements it has noticed but considers that the situation is still far from satisfactory. It therefore appeals to the Parties to make a sustained effort.

7. RECOMMENDATIONS

- 7.1 The Secretariat makes the following recommendations for the consideration of the Conference of the Parties:
 - a) The Secretariat should continue the work it was requested to do. In particular, it should pursue investigations into reasons for failures and shortcomings and identify solutions to these problems.
 - b) Those Parties failing to submit annual reports regularly should make greater efforts to comply with this requirement and should inform the Secretariat urgently if the situation can be remedied through the provision of technical assistance.
 - c) Parties submitting their reports late should identify the main causes of this shortcoming and take urgent steps to remedy the situation.
 - d) Those Parties who have not vet computerized their recording of CITES trade statistics should explore this possibility as soon as possible and ensure that any such computerization is compatible with the CITES database at WTMU.
 - e) Parties should make greater efforts to ensure that the accuracy and completeness of their reports are improved. In particular, reports should be made on a shipment by shipment basis and should include permit/certificate numbers (to facilitate cross-checking).

- f) When the comparative tabulation is sent to the Parties, they should determine the causes of the discrepancies as quickly as possible and communicate the results of their analysis to the Secretariat and to the other Parties concerned.
- 7.2 The Secretariat does not feel that the adoption of further resolutions on this issue will lead to any significant improvements and, therefore, has not prepared what would have had to be a repetitive draft resolution reminding Parties of previous recommendations.

Annexes

Note: The dates taken into consideration for the receipt of the annual reports are determined in the following manner:

- in general: the date the Secretariat receives it
- a report sent simultaneously to the Secretariat and to the WTMU:
 the date taken into consideration is the earlier of the two dates of receipt
- a report sent in several parts: the date the first part is received.

Legend for Annex 1

Years 1981 to 1983

* report received
o report not received
x-x-x report covering several years

Years 1984 to 1988

/---/ Non-Party country for the year in question

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ANNUAL REPORTS OF CITES PARTIES (from 1981)									
COUNTRY	Entry into force	1981	1982	1983	1984	1985	1986	1987	1988
Afghanistan (AF)	28.01.86								
Algeria (DZ)	21.02.84						23.12.88	23.12.88	9.08.89
Argentina (AR)	08.04.81	*	*	*	19.07.85	9.01.87	3.11.87	1.08.89	
Australia (AU)	27.10.76	*	*	*	27.10.86	27.10.86	30.10.87	14.10.88	
Austria (AT)	27.04.82		*	*	2.04.86	10.11.86	18.09.87	2.08.88	22.06.89
Bahamas (BS)	18.09.79	0	0	0			15.07.87	17.06.88	27.02.89
Bangladesh (BD)	18.02.82		*	*	13.10.86	13.10.86	14.10.88	14.10.88	
Belgium (BE)	01.01.84				1.07.85	2.10.86	28.09.87	7.12.88	
Belize (BZ)	21.09.81		*	*	8.05.87	8.05.87	8.05.87	30.08.88	
Benin (BJ)	28.05.84								
Bolivia (BO)	04.10.79	(*	*	*)			11.10.88	11.10.88	05.12.88
Botswana (BW)	12.02.78	*	o	o	22.04.85	24.11.86	17.08.89	17.08.89	
Brazil (BR)	04.11.75	*	0	o		_			
Burundi (BI)	06.11.88					 	1		
Cameroon (CM)	03.09.81	*	*	*	25.10.85	5.03.86	1.09.87	9.06.88	
Canada (CA)	09.07.75	*	*	*	9.09.85	4.06.87	5.01.88	23.01.89	
Central African Republic	(CF) 25.11.80	0	0	*		10.06.87	10.06.87	7.11.88	
Chad (TD)	03.05.89				}	}		 	
Chile (CL)	01.07.75	0	*	*	•		6.04.88	17.04.89	
China (CN)	08.04.81	*	*	*	25.02.86	15.06.87	30.05.88	24.10.88	22.08.89
Colombia (CO)	29.11.81	۰.	0	, O	17.12.85	1.12.86	2.07.87	21.12.87	
Congo (CG)	01.05.83			*	5.08.86	5.08.86	12.02.87	25.05.88	7.06.89
Costa Rica (CR)	28.09.75	0	*	*	22.04.85		3.12.88	8.03.89	7.07.89
Cyprus (CY)	01.07.75	o.	0	0		15.07.87	15.07.87		
Denmark (DK)	24.10.77	*	*	*	30.10.85	3.04.87	28.06.88	16.10.88	
Dominican Republic (DO)	17.03.87				}		 		
Ecuador (EC)	01.07.75	*	*	*	15.07.87	15.07.87	15.07.87		
Egypt (EG)	04.04.78	0	0	0					
El Salvador (SV)	26.07.87				 	}			
Ethiopia (ET)	04.07.89				 	-	}	 	
Finland (FI)	08.08.76	o *	0	0	24.12.85	14.06.88	14.06.88	16.01.89	
France (FR)	09.08.78	*	*	*	28.11.85	17.11.86	19.04.88	30.11.88	
Gabon (GA)	14.05.89				 	1			
Gambia (GM)	24.11.77	0	0	0			8.04.87		
German Dem. Rep. (DD)	07.01.76	0	0	*	3.05.85				
Germany, Fed. Rep. of (DE)	20.06.76	*	*	*	22.10.85	19.12.86	11.11.87	07.04.89	29.08.89
Ghana (GH)	12.02.76	0	*	*	7.06.88	7.06.88	7.06.88	7.06.88	
Guatemala (GT)	05.02.80	*	*	*	13.10.86	15.07.87	15.07.87	01.05.89	
Guinea (GN)	20.12.81	0	0	0		30.07.86		0.06.00	
Guyana (GY)	25.08.77	*	*	*	31.03.88	31.03.88	8.07.87	2.06.89	

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Honduras (HN)	13.06.85					15.07.87	15.07.87		
Hungary (HU)	27.08.85				•		21.10.88	21.10.88	
India (IN)	18.10.76	*	*	*	28.10.85	4.03.87	18.12.87	17.03.89	
Indonesia (ID)	28.03.79	*	*	*	3.06.86	22.09.86	16.06.87		
Iran (IR)	01.11.76	0	0	0					
Israel (IL)	17.03.80	0	0	0					
Italy (IT)	31.12.79	*	*	*	28.11.85	3.04.87	14.03.88	09.01.89	
Japan (JP)	04.11.80	*	*	*	28.01.86	3.12.86	29.03.88	2.06.89	
Jordan (JO)	14.03.79	0	0	o .		٠.		11.07.89	11.07.89
Kenya (KE)	13.03.79	0	0	0		23.06.86	22.06.87	20.01.89	
Liberia (LR)	09.06.81	*	*	*	24.09.85	28.11.88	28.11.88		
Liechtenstein (LI)	28.02.80	*	*	*	9.09.85	1.08.86	22.10.87	12.09.88	
Luxembourg (LU)	12.03.84				28.11.85	5.08.86	17.07.87		01.05.89
Madagascar (MG)	18.11.75	* .	*	*	4.12.85	27.01.87	8.07.88	12.12.88	02003003
Malawi (MW)	06.05.82		*	*	2.07.86	10.02.87		02.09.88	
Malaysia (MY)	18.01.78	*	*	*	15.10.85	17.10.86	10.06.87		
Malta (MT)	16.07.89				}	 	——)
Mauritius (MV)	27.07.75	*	*	*	19.09.85	21.03.86	10.08.88	12.04.89	•
Monaco (MC)	18.07.78	0	0	0		2.04.87	2.04.87	20.10.88	
Morocco (MA)	14.01.76	0	0	o	17.02.89			17.02.89	17.02.89
Mozambique (MZ)	23.06.81	0	0	*	9.10.85	20.01.87	20.01.87		
New Zealand (NZ)	08.08.89					}			<u></u>
Nepal (NP)	16.09.75	* •	*	*	30.09.85	24.04.89	24.04.89	24.04.89	24.04.89
Netherlands (NL)	18.07.84				28.11.85	3.04.87	14.03.88	2.12.88	
Nicaragua (NI)	04.11.77	*	*	*	30.10.85	3.04.87	3.04.87	4.07.88	
Niger (NE)	07.12.75	*	0	0			27.04.87	18.07.89	
Nigeria (NG)	01.07.75	0	0	0				8.12.88	
Norway (NO)	25.10.76	*	*	*	26.09.85	6.07.87	30.08.88	21.08.89	
Pakistan (PK)	19.07.76	*	*	*	20.05.85	25.03.87	15.07.87	22.03.89	
Panama (PA)	15.11.78	*	0	*	16.03.89	16,03.89	16.03.89	16.03.89	
Papua New Guinea (PG)	11.03.76	0	0	*	18.07.85	24.07.86			
Paraguay (PY)	13.02.77	0	0	*	3.04.87	3.04.87	3.04.87	9.08.88	2.06.89
Peru (PE)	25.09.75	0	*	*	15.07.87	15.07.87	15.07.87		
Philippines (PH)	16.11.81	*	*	*	20.05.85	19.05.86	10.10.88	10.10.88	
Portugal (PT)	11.03.81	o	0	0			7.11.88	5.05.89	
Rwanda (RW)	18.01.81	0	0	0		17.03.86			
Saint Lucia (LC)	15.03.83			*	13.05.86	10.04.87		25.04.89	25.04.89
Saint Vincent/Grenadines (VC)	28.02.89					}		 	
Senegal (SN)	03.11.77	*	*	*		14.10.87	25.10.88	23.12.88	•
Seychelles (SC)	09.05.77	*	*	*	3.05.85			26 10 00	
Singapore (SG)	28.02.87						01 10 00	24.10.88	
Somalia (SO)	02.03.86				 	 	24.10.88		

South Africa (ZA)	13.10.75	*	#	*	17.01.86	12.03.87	30.12.87	27.02.89	
Spain (ES)	28.08.86				•		3.07.87	3.12.88	•
Sri Lanka (LK)	02.08.79	0	0	o	6.05.86	6.05.86	27.10.87		10.08.89
Sudan (SD)	24.01.83			0		24.06.86			10100107
Suriname (SR)	15.02.81	*	*	*	25.04.85	29.09.86	15.07.87	25.03.88	
Sweden (SE)	01.07.75	*	*	*	23.12.85	6.03.87	1.02.88		
Switzerland (CH)	01.07.75	*	*	*	9.09.85	1.08.86	22.10.87	12.09.88	
Tanzania (T2)	27.02.80	0	*	*	12.07.85	14.01.87	23.02.88		
Thailand (TH)	21.04.83			0	7.10.85	19.03.87	19.03.87		
Togo (TG)	21.01.79	0	*	*	10.04.86	25.04.88	25.04.88	25.04.88	
Trinidad and Tobago (TT)	18.04.84								
Tunisia (TN)	01.07.75	*	*	*	28.01.85	10.02.86	15.01.87	3.02.88	02.05.89
USSR (SU)	08.12.76	*	*	0	11.02.86	3.07.87	29.08.89	29.08.89	
United Arab Emirates (AE)	01.07.75	0	0	0	(withdraw	n)			
United Kingdom (GB)	31.10.76	*	*	*	21.10.85	3.04.87	30.12.88	3.10.88	
Hong Kong (HK)		* .	*	*	6.08.85	8.09.86	27.03.87	29.07.88	12.06.89
USA (US)	01.07.75	*	*	*	2.12.85	17.03.87	14.07.87	02.11.88	
Uruguay (UY)	01.07.75	*	*	*	21.04.87		30.12.88	30.12.88	
Vanuatu (VV)	25.10.89								-
Venezuela (VE)	22.01.78	*	*	*	24.06.86	24.06.86		•	•
Zaire (ZR)	18.10.76	*	0	o	23.04.85	24.09.86	18.01.88	7.07.88	
Zambia (ZM)	22.02.81	0	0	*	21.04.85				
Zimbabwe (ZW)	17.08.81	0	0	*	7.04.86	29.09.86	19.10.87	8.11.88	



