

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

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Eleventh meeting of the Conference of the Parties  
Gigiri (Kenya), 10-20 April 2000

Interpretation and implementation of the Convention

Conservation of and trade in elephants

EXPERIMENTAL TRADE IN RAW IVORY OF POPULATIONS IN APPENDIX II

1. This document has been prepared by the Secretariat.

Decision 10.1, Part A

2. At its 10th meeting, the Conference of the Parties transferred the African elephant populations of Botswana, Namibia and Zimbabwe from Appendix I to Appendix II subject to certain limitations on the trade. Notably, the commercial export of raw ivory was restricted to experimental trade in declared stocks from these countries to Japan, subject to certain conditions. These conditions are specified in Part A of Decision 10.1 of the Conference, which is attached as Annex 1 to this document.
3. Part A of Decision 10.1 states that trade in raw ivory shall not resume unless a number of specified conditions are met. These are listed in sub-paragraphs a) to i) of Part A. Some of the conditions applied directly to the range States whose populations had been transferred to Appendix II (Botswana, Namibia and Zimbabwe) and the proposed importing State (Japan), while others dealt with checking, approval or emergency procedures, and were assigned to the Standing Committee and the Secretariat.
4. Numerous inspections were carried out by the Secretariat to verify the compliance of the four trading States with the conditions detailed in Decision 10.1. These inspections were based on the plan of verification missions presented at the 41st meeting of the Standing Committee in document Doc. SC.41.6.5:
  - a) November 1998: Verification missions to Botswana, Japan, Namibia and Zimbabwe, to check compliance with conditions a), e) and f). The Secretariat reported on these missions to the Standing Committee in document Doc. SC.41.6.1(Rev.).
  - b) February 1999: Verification mission to Botswana to check outstanding compliance issues detailed in the Secretariat's report presented to the 41st meeting of the Standing Committee. The Secretariat reported to the Standing Committee in document Doc. SC.42.10.2.1.
  - c) April 1999: Verification missions to Botswana, Namibia and Zimbabwe to check compliance requirements regarding the ivory auctions in these countries and the subsequent export to Japan. The Secretariat reported to the Standing Committee in document Doc. SC.42.10.2.1.
  - d) July 1999: Verification mission to Japan to check compliance requirements regarding the import of the auctioned ivory in Japan. The Secretariat reported to the Standing Committee in document Doc. SC.42.10.2.1.
  - e) November 1999: Verification mission to southern Africa to check that Botswana, Namibia and Zimbabwe had complied fully with condition f) of Decision 10.1, regarding the reinvestment of revenues into elephant conservation. The Secretariat's report on this mission is presented here.
  - f) December 1999: Verification mission to Japan to check that all of the concerns, expressed by the Panel of Experts, regarding the domestic registration of ivory stocks in Japan, had been fully dealt with. The Secretariat's report on this mission is presented here.

5. This document reports on all the actions taken regarding the experimental trade in raw ivory, sanctioned under Decision 10.1, and presents the Standing Committee's assessment of the outcome of this experiment.

#### Prior to the auctions

6. At the 40th meeting of the Standing Committee (London, United Kingdom, March 1998), reports were received from each of the four trading Parties, indicating the measures they had taken to comply with the conditions in Part A of Decision 10.1. The Standing Committee acknowledged that condition d), relating to the withdrawal of reservations on the inclusion of the African elephant in Appendix I, had been met by Botswana, Namibia and Zimbabwe, within the specified deadline (Doc. SC.40.5.2).
7. At its 40th meeting, the Standing Committee agreed that document Doc. SC.40.5.2.1 specified the deficiencies identified by the Panel of Experts in reviewing the proposals of the three proponent States, and indicated those that remained to be addressed. After that meeting, the Secretariat received further reports from the four Parties, specifying the additional steps they had taken to rectify the deficiencies. The Secretariat then prepared a list of matters that remained to be dealt with and agreed to undertake verification missions to the four countries to confirm compliance *in situ*. These missions were undertaken from 9 to 27 November 1998. In each country, the Secretariat met with the Management Authority and addressed each of the conditions to be fulfilled. The Secretariat also interviewed other persons who could supply information relevant to the verification process. The Secretariat examined conditions a), e) and f) of Part A of Decision 10.1 and its findings were reported at the 41st meeting of the Standing Committee [Doc. SC.41.6.1 (Rev.), Annex 2].
8. At its 41st meeting, the Standing Committee agreed that Namibia, Japan and Zimbabwe had complied with all relevant conditions that could be met prior to the experimental sale, whereas Botswana had yet to comply fully with condition a). The Committee decided that the Secretariat should conduct a mission as soon as possible to Botswana to verify that condition a) of Decision 10.1, Part A had been met completely and that final verification would be confirmed by the Chairman of the Standing Committee, following a report from the Secretariat. This confirmation was provided subsequently in February 1999, thereby allowing all four trading Parties to partake in the experimental sales sanctioned by the Standing Committee under Decision 10.1.
9. Importantly, the Standing Committee, at its 41st meeting, clarified two other conditions specified in Decision 10.1.
  - a) The Committee agreed to the operational procedures detailed in document Doc. SC.41.6.4 (Rev. 2) (provided in Annex 2 to this document) as satisfying the 'mechanism to halt trade' requirements of condition g) of Decision 10.1.
  - b) The Committee also clarified that the reporting and monitoring systems that had been established by the Secretariat [refer to Notification No. 1998/10 (Incident Report Form on Illegal Hunting of Elephants) and Notification No. 1998/30 (National Reporting Form on Illegal Killing of Elephants)] satisfied completely condition i)ii) of Decision 10.1. The Standing Committee determined that the long term system for Monitoring the Illegal Killing of Elephants (MIKE), satisfied completely the relevant monitoring requirements in Resolution Conf. 10.10 (refer document Doc. 11.31.2). Furthermore, the Committee clarified that the implementation of MIKE was not a pre-condition required under condition i)ii) of Decision 10.1.
10. The Standing Committee, having agreed that all of the relevant conditions in Decision 10.1, Part A had been met, authorized the experimental commercial trade from Botswana, Namibia and Zimbabwe to Japan.

#### The auctions and shipment of the authorized export of raw ivory to Japan

11. The auctions took place in southern Africa in April 1999. Some USD 5 million was realized through the auctions, ensuring that substantial funds for elephant conservation are available in the three range States. The ivory from the auctions arrived in Japan in July 1999.
12. The actions taken by the Secretariat to monitor the sale and shipment of the authorized export of raw ivory are detailed in document Doc. SC.41.6.5 (provided in Annex 3 to this document), approved by the Standing Committee at its 41st meeting.

13. The Secretariat reported to the Standing Committee (document Doc. SC.42.10.2.1) that the trading Parties had complied fully with all of the precautionary undertakings referred to in condition h) of Decision 10.1 and specified by the Standing Committee at its 40th and 41st meetings.
14. At the 42nd meeting of the Standing Committee (September 1999, Lisbon, Portugal) the Secretary General of CITES confirmed that no action was required by the Depository Government regarding Decision 10.1, Part A, paragraph g).

#### The Secretariat's final verification missions to Southern Africa and Japan

15. In November 1999, the Secretariat conducted a final verification mission to southern Africa to check that Botswana, Namibia and Zimbabwe had complied fully with condition f) of Decision 10.1, regarding the reinvestment of revenues into elephant conservation.
16. The following arrangements were confirmed by the Secretariat.

#### Botswana

- a) In its report to the Standing Committee (refer Doc. SC.40.5.2.1, Annex A), Botswana noted that "Normally government revenue is deposited into Central government coffers. In order to fulfil conditions set by CITES Decision 10.1 and the Botswana proposal, the DWNP has put a proposal to Cabinet for revenue to go directly to the targetted areas instead of Central Government. The proposal has already been submitted to the Ministry of Commerce and Industry for approval." The Secretariat verified that Botswana had established a Conservation Trust Fund (Statutory Instrument No. 12 of 1999, Finance and Audit Act; Cap. 54:01), administered by a Board of Trustees appointed by the Minister of Finance and Development Planning. The Board of Trustees consists of: a Chairman (i.e. the Permanent Secretary to the Minister of Commerce and Industry), two representatives of non-governmental organizations concerned with conservation, one representative of community-based organization, one representative of the national Conservation Strategy Agency and two representatives of the Department of Wildlife and National Parks (DWNP), one of whom serves as the Secretary to the Board. The DWNP has been appointed to undertake the day to day activities of the Fund.
- b) The Secretariat confirmed that all funds received from the auction in Botswana had been deposited correctly into an account held in the name of the Wildlife Conservation Trust Fund at Barclays Bank of Botswana Limited. These accounts are audited annually, as part of the Auditor General's audit responsibilities.
- c) At the time of inspection, none of the funds received had been expended on any particular conservation project. However, the Secretariat confirmed that the Board of Trustees were required under the Conservation Trust Fund Order to use "Seventy per cent of the moneys of the Fund ... for expenses connected with the conservation of elephants and thirty per cent ... for expenses connected with the development of community based projects for communities living adjacent to elephant ranges". Furthermore, the Board is required to "develop guidelines for the payment of moneys from the Fund to: a) organizations concerned with the conservation of elephants [and] b) the development of community based projects for communities living adjacent to elephant ranges".
- d) The Secretariat confirmed that the DWNP had developed proposals for the Fund to finance: Botswana's contribution towards monitoring of illegal trade in ivory and illegal killing of elephants under the MIKE (Monitoring of the Illegal Killing of Elephants) system; a review of Botswana's 1991 Elephant Management Plan; and a Water Prospecting in Chobe National Park project to encourage the dispersal of elephant populations within this conservation reserve.

#### Namibia

- a) In its report to the Standing Committee (refer Doc. SC.40.5.2.1, Annex B), Namibia noted that "The 'Game Products Trust Fund Act' (Act 7 of 1997) of Namibia was published in the official gazette in September 1997 and provides for mechanisms to invest trade revenues in elephant conservation. These mechanisms have been rated as exemplary by the CITES Panel of Experts." The Act requires the Fund to be administered by a Board of Trustees that reports to the Minister of Environment and Tourism.

- b) The Secretariat confirmed that all funds received from the auction in Namibia had been deposited correctly into an account held in the name of the Game Products Trust Fund at the Standard Bank Namibia Limited. These accounts are audited annually, as part of the Auditor General's audit responsibilities.
- c) At the time of inspection, none of the funds received had been expended on any particular conservation project. However, the Secretariat confirmed that the Board of Trustees, through the Minister of Environment and Tourism, had approved the following disbursements of revenues received from the auction:
  - i) 50 per cent allocated to conservancies within the elephant range, for recurrent costs in conservancy management, wildlife protection (especially community game guards) and dealing with water and fence issues where elephants are involved.
  - ii) 50 per cent allocated specifically for supporting improvements in the monitoring, conservation and protection of the elephant population in Namibia, with the following breakdown:
    - 20 per cent for elephant conservation expenses, including Namibia's contribution towards monitoring of illegal trade in ivory and illegal killing of elephants under the MIKE (Monitoring of the Illegal Killing of Elephants) system and research programmes.
    - 20 per cent for purchase of equipment to assist in elephant monitoring, management and law enforcement (e.g. purchase of an aircraft to replace one of the survey aircraft; for anti-poaching patrols for the Caprivi region; purchase of a vehicle for anti-poaching patrols in the regions in which it is most needed etc.).
    - 10 per cent towards the next national elephant aerial survey.

#### Zimbabwe

- a) In its report to the Standing Committee (refer Doc. SC.40.5.2.1, Annex C), Zimbabwe noted that "The Parks and Conservation Fund was set up to meet the conservation activities of DNPWLM [Department of National Parks and Wildlife Management]. The mandate of DNPWLM is to conserve and manage the Parks and Wildlife Estate. The Fund is governed by an oversight Board made up of representatives from various sections in the Zimbabwean Society". The Fund's Accounting Officer is the Department's Permanent Secretary and the Minister is its Trustee.
- b) The Secretariat confirmed that all funds received from the auction in Zimbabwe had been deposited correctly into the Parks and Wildlife Conservation Fund. These accounts are audited annually by the Comptroller and Auditor General and the audit report is a public document.
- c) At the time of inspection, 38 per cent of the funds received had been dispersed to CAMPFIRE Communities, in Zimbabwe. The Campfire Association provided the Secretariat with a detailed report on the community projects that had been funded from the ivory sale revenues received. Some 10 District Councils had received funding for a range of activities including wildlife management and protection and for dealing with water and fence issues where elephants are involved.
- d) The remaining funds had been earmarked for the following elephant conservation and management projects (detailed documentation provided to the Secretariat):
  - i) Monitoring of illegal activities and law enforcement
    - Implementation of MIKE (start-up phase): Includes: Training site-based field staff and national co-ordinator; Surveys and patrols; Computers; GPS and data loggers; Travel and subsistence/field allowances.
    - Acquisition of patrol vehicles and patrol equipment: Includes the purchase of 25 patrol vehicles and the necessary camping and anti-poaching equipment.
    - Establishment of emergency health insurance scheme (start-up phase): To address the necessary emergency health care provisions required by enforcement field staff engaged in combating armed poachers.

- Review of field allowances (start-up phase): To improve the morale of enforcement field staff.
- ii) Monitoring population status of elephants and other large mammals
  - Acquisition of survey aeroplane. The DNPWLM lost its survey aeroplane through an accident in 1994 and is currently relying on hiring.
  - Acquisition of vehicle for the aerial survey Unit. The vehicle donated to the Unit in 1994 needs replacement.
- iii) Research into elephant ecology, conservation and management
  - Elephant-habitat interactions in Hwange National Park. Local over-abundance of elephant populations in most of Zimbabwe's national parks is threatening wildlife habitats. DNPWLM aims to generate quantitative information which will help develop effective elephant management regimes.
  - Elephant-biodiversity interactions. Elephant populations are having adverse impacts on the biodiversity of the national parks.
  - Studying elephant movements across the Botswana-Zimbabwe border. The largest elephant sub population in the southern African sub region inhabits an area of continuous range across the borders of Botswana and Zimbabwe. There is, however, no quantitative information on the nature and extent of the movements to enable the development of effective conservation and management plans.
  - Elephant and water-supply relations in Hwange National Park. The extensive development of artificial water supplies increased the dry season habitat available to wildlife, including elephant. This has led to habitat degradation around pumped water pans. There is a need to rotate artificial water supplies, but little is known about ground water supply levels.

17. The Secretariat confirmed that all of the ivory sale revenues had been deposited into the relevant conservation trust funds, in each range State, and that the funds had been, or were soon to be, applied to elephant conservation projects as required by Decision 10.1. All three range States have established transparent and accountable mechanisms for the effective management of their ivory trade revenues and they have complied fully with condition f) of Decision 10.1, regarding the reinvestment of revenues into elephant conservation.

#### The Secretariat's final verification missions to Japan

18. In December 1999, the Secretariat conducted a final verification mission to Japan to check that the imported ivory from the auctions in southern Africa had been correctly registered and that Japan's recently established ivory trade control legislation had been applied effectively. In particular, the Secretariat sought to confirm that the corrective measures taken by the Government of Japan addressed fully the concerns, expressed by the Panel of Experts, regarding domestic ivory trade controls in Japan.
19. In its report to the Standing Committee (refer Doc. SC.40.5.2.1, Annex D), Japan detailed the measures it had taken to address the concerns raised by the Panel of Experts. These measures were independently verified by the Secretariat in its mission to Japan in November 1998. The Secretariat's report was presented at the 41st meeting of the Standing Committee [Doc. SC.41.6.1 (Rev.), Annex 2]. Since the full range of controls introduced by Japan in its new legislation did not actually take effect until 18 March 1999, the Secretariat checked the measures again to confirm that they addressed fully the following concerns, raised by the Panel of Experts:

#### Controls on parts of tusks and carved pieces need improvement

- a) Japan has introduced legislation that requires all traders, manufacturers and retailers to maintain ledgers recording all stock and use of ivory, regardless of its nature. Annual returns from ledgers must be submitted to the Ministry of International Trade and Industry (MITI) and the Environment Agency (EA). Additionally, the Japan Wildlife Research Centre (JWRC) database records the details associated with any application for certification seals for individual carved items. The Secretariat inspected examples of such records in the offices of MITI and JWRC and during its visits to traders,

carvers and retailers. The Secretariat is satisfied that the deficiency identified by the Panel has been rectified completely.

#### JWRC database software needs improvement

- b) The Secretariat's inspection of the database confirmed that the software had been improved. The fields now include records of whole tusks, cut-pieces and small cut-pieces. New data entered in the database are compared automatically with existing records and a warning message is displayed if any incompatibility is detected (for example, if the number of carvings derived from a registered tusk exceeds what is considered reasonable). In such a case, a follow-up enquiry is made by MITI. The Secretariat noted during its first inspection (November 1998) that there was no clear link between the database and the mandatory ledger system, although MITI and EA inspectors use the database as a reference tool. The Secretariat recommended during its second inspection (December 1999) that the manufacturers and wholesalers record in their ledgers the certification seal numbers so that the records in the JWRC database can be traced through the ledgers to the individual retailers. The Japanese Ivory Association (JIA) agreed to introduce this refinement and they have moved to require their members to record these seal numbers in their ledgers. MITI has agreed to include this additional protocol in its inspection procedures. The Secretariat is satisfied that the deficiency identified by the Panel has been rectified completely.

#### Retail trade controls inadequate to identify any illegal ivory

- c) Since the 18 March 1999, it has been mandatory for ivory retailers to maintain ledgers of their ivory stocks and sales. Annual returns must be made to MITI and EA. The Secretariat visited various retailers, in Tokyo and Osaka, during its second mission and found that the certification seal system was fully operational. Promotional material was also on display to the public, relating to the scheme. The Secretariat is satisfied that the legal requirement in Japan to maintain ledgers that is now imposed upon ivory dealers, manufacturers and retailers, provides a sufficient basis for identifying any ivory of illegal origin in trade. The Secretariat is satisfied that the deficiency identified by the Panel has been rectified completely.

#### More inspections needed, including stockpiles

- d) The Secretariat confirmed that MITI and EA have increased significantly their rate of inspections. The Secretariat also viewed the file of reports of inspections. Visits to the premises of ivory dealers, manufacturers and retailers are supplemented by a review of the annual ledger returns submitted to MITI and EA. The JWRC database then acts as a further check on ivory use and transfers. The Secretariat's visits to traders and manufacturers in Tokyo and Osaka confirmed that such inspections are being conducted and that ledgers are being maintained in a proper and accurate fashion. It noted, also, that the ledgers are now being signed by the inspectors to show that they have been inspected (a deficiency identified during the Secretariat's first inspection). The Secretariat is satisfied that MITI and the EA are maintaining an efficient overview of the domestic ivory trade in Japan. The Secretariat is satisfied that the deficiency identified by the Panel has been rectified completely.

#### Method to verify scraps needed

- e) Before the first visit of the Secretariat, JWRC had conducted research on the proportion of each tusk that is used to produce different types of articles, and on the remaining scraps and waste. The research indicated that, as an example, when a tusk is used for the production of inzais ('blanks' for making signature stamps, called 'hankos') in most cases about 70 per cent of an average tusk is used for this purpose. Based on this result, 60 per cent has been set as a benchmark and incorporated as the automatic check in the JWRC database. When JWRC receives an application for certification seals for hankos, the information about the original registered tusk and the weight of the objects produced must be provided. These data are computerized and, if the weight of hankos is more than 60 per cent of the weight of the original tusk, this is indicated by the computer and an investigation is initiated. Ledger inspections also take this figure into account. The Secretariat confirmed that the combination of the database and checks of the ledger will detect attempts to declare more finished products than the raw material could produce. The Secretariat is completely satisfied that MITI and EA are effectively regulating the domestic use of ivory and that Japan has rectified the deficiencies identified by the Panel of Experts.

## Conclusions

20. The Secretariat's numerous verification missions to the ivory trading States concluded that all of the requirements of Decision 10.1 Part A had been met. These trading States applied all of the required controls effectively, despite the fact that these 'experimental' requirements exceeded significantly the trade controls imposed on any other internationally traded CITES specimen.
21. Importantly, the Standing Committee endorsed the Secretariat's findings and concluded that, since all conditions imposed on the trading States in Decision 10.1 had been met, the 'experimental' trade in ivory could proceed.
22. Following the sales, the Standing Committee at its 42nd meeting concluded that no action was required by the Depositary Government regarding Decision 10.1, Part A, paragraph g), since there was no evidence that illegal hunting of elephants and/or trade in elephant products had escalated because of the resumption of legal trade.

### Decision 10.1, Part B

23. Part B of Decision 10.1 states that "*the Standing Committee shall make available its evaluation of legal and illegal trade and legal offtake pursuant to the implementation of Resolution Conf. 10.10 as soon as possible after the experimental trade has taken place*" and that they "*shall identify, in co-operation with the range States, any negative impacts of this conditional resumption of trade and determine and propose corrective measures*" (see Annex 1).
24. The Standing Committee's evaluation is provided in the attached Annex 4.





## DECISION 10.1 OF THE CONFERENCE OF THE PARTIES

### Conditions for the resumption of trade in African elephant ivory from populations transferred to Appendix II at the 10th meeting of the Conference of the Parties

#### Part A

Trade in raw ivory shall not resume unless:

- a) deficiencies identified by the CITES Panel of Experts (established pursuant to Resolution Conf. 7.9, replaced by Resolution Conf. 10.9) in enforcement and control measures have been remedied;
- b) the fulfilment of the conditions in this Decision has been verified by the CITES Secretariat in consultation with the African regional representatives on the Standing Committee, their alternates and other experts as appropriate;
- c) the Standing Committee has agreed that all of the conditions in this Decision have been met;
- d) the reservations entered by the range States with regard to the transfer of the African elephant to Appendix I were withdrawn by these range States prior to the entry into force of the transfer to Appendix II;
- e) the relevant range States support and commit themselves to international co-operation in law enforcement through such mechanisms as the Lusaka Agreement;
- f) the relevant range States have strengthened and/or established mechanisms to reinvest trade revenues into elephant conservation;
- g) the Standing Committee has agreed to a mechanism to halt trade and immediately re-transfer to Appendix I populations that have been transferred to Appendix II, in the event of non-compliance with the conditions in this Decision or of the escalation of illegal hunting of elephants and/or trade in elephant products owing to the resumption of legal trade;
- h) all other precautionary undertakings by the relevant range States in the supporting statements to the proposals adopted at the 10th meeting of the Conference of the Parties have been complied with; and
- i) the relevant range States, the CITES Secretariat, TRAFFIC International and any other approved party agree to:
  - i) an international system for reporting and monitoring legal and illegal international trade, through an international database in the CITES Secretariat and TRAFFIC International; and
  - ii) an international system for reporting and monitoring illegal trade and illegal hunting within or between elephant range States, through an international database in the CITES Secretariat, with support from TRAFFIC International and institutions such as the IUCN/SSC African Elephant Specialist Group and the Lusaka Agreement.

#### Part B

- a) If all of the conditions in this Decision are met, the Standing Committee shall make available its evaluation of legal and illegal trade and legal offtake pursuant to the implementation of Resolution Conf. 10.10 as soon as possible after the experimental trade has taken place.
- b) The Standing Committee shall identify, in co-operation with the range States, any negative impacts of this conditional resumption of trade and determine and propose corrective measures.



CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES  
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Forty-first meeting of the Standing Committee  
Geneva (Switzerland), 8-12 February 1999

Issues relating to species

Elephants

OPERATIONAL PROCEDURE REGARDING IMPLEMENTATION OF PARAGRAPH G)  
OF DECISION 10.1, PART A

1. Pursuant to paragraph 2(b) of the Decision of the Standing Committee taken at its 40th meeting 'Regarding Decisions adopted at the 10th meeting of the Conference of the Parties relating to Elephants', with respect to the mechanism it was required to put in place to discharge the requirement of paragraph (g) of Decision 10.1, Part A, the Secretariat will adopt the following procedure.
2. The reporting and monitoring procedures already in place using the Incident Report Form on Illegal Hunting of Elephants and the National Reporting Form on Illegal Killing of Elephants and ETIS will provide the Secretariat with information on rates and levels of illegal hunting and/or trade in elephant specimens.
3. The Secretariat will work with the Parties that report an important increase in illegal hunting of elephants or illegal trade in elephant specimens, to establish the veracity of such reports and the linkage, if any, to the experimental commercial trade in raw ivory.<sup>1</sup>
4. If the Secretariat determines that there is reason for concern, it will report to the Chairman of the Standing Committee and to the Parties concerned and will adopt a precautionary approach acting in the best interests of conservation in formulating its recommendations.
5. If the Secretariat establishes non-compliance with the conditions in Decision 10.1, Part A, by one or more of the Parties involved, it will recommend to the Standing Committee that international trade from the State or States concerned in specimens referred to in Annotation 604 of Appendices I and II be halted, pursuant to paragraph g) of the Decision.
6. If the Secretariat concludes that there has been an important increase in either illegal hunting of elephants or illegal trade in elephant specimens owing to the experimental commercial trade, it will recommend to the Standing Committee that international trade in specimens referred to in Annotation 604 of Appendices I and II be halted, pursuant to paragraph g) of the Decision.
7. The Secretariat will report to the Parties at least every six months on the implementation of this procedure.

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<sup>1</sup> *Information on escalation of illegal hunting of elephants will become more precise once MIKE begins to provide better information on 'background rates' of poaching.*



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Issues relating to species

Elephants

COMPLIANCE WITH THE PRECAUTIONARY UNDERTAKINGS  
FOR THE SALE AND SHIPMENT OF RAW IVORY

1. This document presents the Secretariat's proposal to ensure compliance, by the range States concerned, with the precautionary undertakings given in relation to the sale and shipment of raw ivory permitted in accordance with Annotation °604 of Appendices I and II and referred to in paragraph h) of Decision 10.1, Part A.
2. The Secretariat will be present when the raw ivory is sold and shipped, in order to ensure that the precautionary undertakings are complied with.
3. These include the following:
  - a) The ivory shall be from the relevant range-State population only;
  - b) The raw ivory to be sold shall have been registered and held in a central store in each State concerned;
  - c) The ivory shall have been marked using the standard system, e.g. die-punched marks, which shall correlate with the records in the register;
  - d) For each trading State, the sale shall be conducted through a single centre;
  - e) The ivory shall be shipped, as far as possible, direct to Japan;
  - f) Personnel of the Secretariat (or Parties agreed by the relevant range State and the Secretariat) shall be present at the time of sale, packaging and shipment, to check all details and the inventories.
4. In paragraph 2 of the Decision of the Standing Committee taken at its 40th meeting 'Regarding Decisions adopted at the 10th meeting of the Conference of the Parties Relating to Elephants' (transmitted to the Parties by Notification to the Parties No. 1998/09), the Committee welcomed the report of Botswana, Namibia and Zimbabwe in document Doc. SC.40.9.2.7, which reiterates commitments to the undertakings given in their proposals to the 10th meeting of the Conference of the Parties (Prop. 10.25, Prop. 10.26 and Prop. 10.27). These undertakings are also referred to in document Doc. SC.40.5.2.1. It should be noted that relevant undertakings were given in virtually identical form by each of the three range States concerned. The Secretariat will monitor the full compliance with these undertakings.



Report of the Standing Committee pursuant to Decision 10.1, Part B

Background

1. Decision 10.1, Part B a), requires, if all of the conditions in the Decision are met, that the Standing Committee shall make available its evaluation of legal and illegal trade and legal offtake, pursuant to the implementation of Resolution Conf. 10.10 as soon as possible after the experimental trade has taken place. Part B b) of the Decision requires that the Standing Committee shall identify, in co-operation with the range States, any negative impacts of this conditional resumption of trade and determine and propose corrective measures.
2. All of the conditions of Decision 10.1 having been met, as reported in document Doc. 11.31.1, it remains for the Standing Committee to make available its evaluation of legal and illegal trade and legal offtake and this annex has been prepared to fulfil these requirements.

Reporting and monitoring mechanisms

3. The Standing Committee is aware that the Secretariat has made unprecedented efforts to acquire information relating to illegal hunting of elephants and illicit trade in ivory and elephant products. The monitoring and reporting systems have been discussed at meetings with ICPO-Interpol and the World Customs Organization. Both those international law enforcement agencies have drawn the attention of their member countries to the reporting forms for illegal killing of elephants and seizure of ivory and other elephant products. The primary law enforcement agencies in CITES Parties have therefore been informed of the reporting mechanisms. The Committee has every reason to believe that most Customs authorities and Police forces had ample opportunity to make use of this reporting system. Several reports were indeed submitted via the World Customs Organization and ICPO-Interpol.
4. The Secretariat's "Incident report form for illegal killing of elephants" was first distributed by Notification to the Parties No. 1998/10 (31 March 1998). Another copy of the form, and a reminder of its importance and relevance to the international monitoring and reporting requirements under Decision 10.1 was distributed by Notification to the Parties No. 1999/93 (30 November 1999).
5. Prior to the reminder in Notification to the Parties No. 1999/93, issued in response to media reports of other incidents of illegal killing that were not reported to the Secretariat in the prescribed way, only Botswana, Namibia, Kenya, Zimbabwe and Chad had submitted incident report forms to the Secretariat. Since the reminder, only Gabon and Namibia have reported poaching incidents to the Secretariat.
6. The "Ivory and Elephant Product Seizure Data Collection Form", designed specifically for the expanded and revised Bad Ivory Data System (renamed Elephant Trade Information System [ETIS]), was distributed by Notification to the Parties No. 1998/10. Explanatory notes to assist in the completion and submission of that form were distributed by Notification to the Parties No. 1999/36 (30 April 1999). Another copy of the form and the explanatory notes, and a reminder of its importance and relevance to the international monitoring and reporting requirements under Decision 10.1 was distributed by Notification to the Parties No. 1999/93.
7. TRAFFIC East/Southern Africa has prepared a report on the implementation and use of ETIS and this is attached as Annex 5.
8. As an interim measure prior to the commencement of MIKE in African and Asian elephant range States, and to also collate historical data, a National reporting form was designed by IUCN and distributed by Notification to the Parties No. 1998/30 (30 June 1998). Another copy of the form, and a reminder of its importance and relevance to the international monitoring and reporting requirements under Decision 10.1 was distributed by Notification to the Parties No. 1999/93.
9. The systems, and the three reporting forms, were explained in detail at the 3rd Elephant Range State Dialogue Meeting (Arusha, Tanzania) when all those present gave a commitment to submitting data to the Secretariat. Similarly, the various reporting forms were discussed with the range States in central, southern and west Africa, and in south east Asia, as part of the MIKE pilot phase workshops in those sub-regions.

The forms were also discussed with all of the range States in these sub-regions during the Secretariat's visits to each country (refer to document Doc. 11.31.2).

10. The Standing Committee is aware of a few minor complaints and observations that the reporting forms are complex and difficult to complete. The Standing Committee rejects these concerns. Comprehensive notes providing guidance on completion have been distributed relating to the ETIS and National reporting forms. The reporting form for illegal killing of elephants contains 17 fields, 6 require a 'Yes' or 'No' answer. The form was specifically designed in a format that was suitable for completion in the field and the questions are laid out in the form of a checklist that can also aid field staff in their investigations. The Secretariat has reported that it deliberately designed the form to act as a data collection tool but also, importantly, to aid operational targeting of poaching and poachers. That element of the system was explained in Notification to the Parties No. 1998/10.
11. By Notification to the Parties No. 1999/93, the Secretariat distributed a "National reporting form on enforcement actions" to collect annual data relating to ivory seizures and the arrest of poachers/traders that the Secretariat was aware is recorded by many, if not all, elephant range States. The Secretariat further believed that the historical information the form is intended to acquire could help contribute to the identification and assessment of trends.

#### Non-compliance and/or escalation of illegal hunting of elephants and/or trade in elephant products

12. At its 41st meeting, the Standing Committee agreed to a 'trigger mechanism' whereby the Secretariat would co-operate with range States to investigate any reports that indicated an increase in poaching subsequent to the experimental trade in ivory (refer Doc. 11.31.1. Annex 2). The Secretariat reported receiving information from one source that directly attributed illicit activities to the auctions in the trading States of Botswana, Namibia and Zimbabwe. This allegation emanated from Kenya. It also became aware of allegations regarding an upsurge in poaching in Zimbabwe. The findings of its investigations in Kenya and Zimbabwe are reported below. Also discussed are concerns expressed by Chad and India at Standing Committee meetings.

#### Kenya

##### The Maralal incident

13. The initial report was in the form of a press release by the Kenya Wildlife Service (KWS), which the Service copied to the Secretariat. Comments by KWS staff linked the seizure to the legal auctions of ivory stocks that had taken place earlier in the year in Botswana, Namibia and Zimbabwe. The press coverage related to the seizure of 45 elephant tusks, on 29 July 1999, in the town of Maralal in northern Kenya. Six further tusks were subsequently located, bringing the total weight seized to 352 kgs.
14. The Secretariat immediately responded by requesting further details and, thereafter, conducted a mission to Kenya to investigate the allegation. During its mission, the Secretariat examined the seized ivory and spoke with a large number of KWS staff. The Secretariat also visited field offices in National Parks where KWS reported an increase in poaching.
15. The Secretariat's mission reported the following findings:
  - The appearance and condition of the majority of the tusks indicated that they had been collected together from different locations and that some of the tusks had been previously buried elsewhere.
  - The condition of the bags and sacks in which the tusks were contained was consistent with the intelligence that the ivory had relatively recently arrived at the locations of discovery.
  - Only two of the tusks appeared relatively fresh.
  - Intelligence, and the geographical location of Maralal, indicated that the ivory was intended for shipment north to Ethiopia where there is a well known, but un-regulated, ivory carving industry and curio market in the capital city of Addis Abeba.
  - Importantly, the seizure formed part of a long-running intelligence-driven operation that had been in existence prior to the auctions held in connection with the experimental ivory trade.



16. The Secretariat asked to be allowed to interview the two persons arrested at Maralal in connection with the ivory seizures. It was not, however, possible to gain access to these people who were in custody, remanded for trial having pleaded not guilty to charges of being in possession of, and dealing in, ivory.
17. The Secretariat could find no evidence to demonstrate any link between the seizure and the ivory auctions held in southern Africa earlier in 1999. To the contrary, the evidence showed that the majority of the ivory had been gathered prior to the auctions.

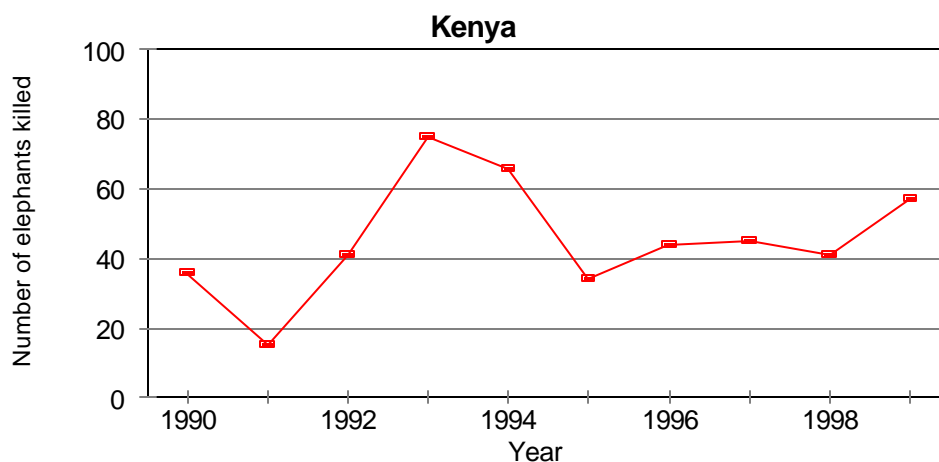
Reports of increased seizures

18. Whilst the Secretariat was in Kenya, a significant seizure of almost 700 kgs of ivory took place at Nairobi's international airport. The shipment was under the control of a diplomat of the Democratic People's Republic of Korea. During interview by KWS staff, the diplomat admitted that he had engaged in similar shipments previously through Kenya. He claimed to have purchased the ivory in Cameroon. The Secretariat commended KWS for its decision to prosecute the diplomat. It is regrettable that the Diplomat managed to avoid prosecution by leaving the country illegally.
19. The Secretariat subsequently learned that the discovery of the ivory had been made by a Customs officer who was prompted to take action, having learned during a workshop on CITES implementation, conducted by TRAFFIC a few weeks previously, that diplomats were not exempted from the provisions of the Convention. The Secretariat understands that ivory had been noted by Customs staff to be in the possession of diplomats on numerous occasions in the past but that they did not appreciate that they were entitled to take enforcement action against such persons.

Reports of increased poaching

20. The Secretariat also examined statements by KWS that Kenya was experiencing significant increases in elephant poaching.
21. KWS makes great efforts to monitor elephant mortality and to differentiate between natural and unnatural deaths. In the latter category, it attempts to determine the cause of death and distinguish between poaching and other illicit activities, such as the unlawful killing of problem animals by villagers. A number of factors, for example the degrees of decomposition that may have occurred before a carcass is discovered, make this work difficult.
22. A database is maintained in which KWS records confirmed incidents of poaching, incidents where the cause of death remains unknown, and the number of carcasses in each category. The following table, provided to the Secretariat, gives figures for the years 1990 to 1999. (Despite requests to KWS, no data was submitted for the period beyond August 1999).

Year	Cause of death – poaching		Cause of death – unknown	
	No. of incidents	No. of carcasses	No. of incidents	No. of carcasses
1990	16	36	23	22
1991	8	15	28	28
1992	24	41	47	50
1993	38	75	46	55
1994	32	66	15	26
1995	19	34	15	16
1996	30	44	34	35
1997	28	45	26	27
1998	31	41	28	30
1999 (to end of August)	45	57	25	28



23. In the years 1998 and 1999, KWS created an additional category (not shown above) where the circumstances of an incident indicated that poaching was considered to be the likely cause. In 1998, eight incidents were placed in that category, involving nine carcasses. To the end of August 1999, two incidents involving two carcasses had been placed in that category.
24. During the Secretariat's mission, security department personnel repeatedly commented on the lack of staff. The ranger staff figures provided by KWS suggest that national ranger staffing has been slightly declining since 1997. Similarly, in Tsavo, apart from 1994 when staffing levels increased, ranger staffing has been declining since 1992-1993.

Ranger Force	1992	1993	1994	1995	1996	1997	1998	1999
Kenya	521	532	526	528	539	550	538	528
Tsavo	178	178	195	163	164	154	155	149

25. The following figures (in Kenyan Shillings), relating to national security department expenditures, were supplied to the Secretariat by KWS.

	1996/1997	1997/1998	1998/1999
Anti-poaching operations	23,867,642	21,041,395	10,710,994
Routine patrols	5,593,643	4,113,588	4,220,740
Intelligence operations	2,709,299	7,540,168	5,904,315
Equipment maintenance	9,993	52,447	14,000
Security training	5,848,886	1,323,239	1,469,079
<b>Totals in Kenyan shillings</b>	<b>38,029,463</b>	<b>34,070,837</b>	<b>22,319,128</b>

26. It is clear from the figures supplied by KWS that poaching continued in Kenya after the ivory ban and, indeed, increased during the first half of the 1990s. It is regrettable that national expenditures have fallen significantly in recent years in Kenya, since it is well established that illegal killing of wildlife increases when enforcement expenditure is reduced<sup>1</sup>.

<sup>1</sup> Jachmann reports (Jachmann, H. (1998). *Monitoring Illegal Wildlife Use and Law Enforcement in African Savanna Rangelands*. Wildlife Resource Monitoring Unit, ECZ, Lusaka, Zambia) that an operational law-enforcement budget of US\$ 82.2 per km<sup>2</sup> per annum is the projected requirement to ensure that zero elephants are killed illegally.

27. While the Secretariat remains concerned that the number of elephants killed illegally in Kenya increased in 1999, the information supplied by KWS does not demonstrate that poaching has increased significantly in Kenya in recent years. The Secretariat noted that the Daily Nation newspaper (published in Kenya), on 31 July 1999, quoted Dr Richard Leakey, the current Head of the Civil Service and Secretary to the Cabinet in Kenya and immediate former Director of KWS, as saying that "poaching in Kenya at the moment was not a major problem".
28. During the 42nd Standing Committee meeting in Lisbon, the Secretariat reported that it could find no evidence to link elephant poaching in Kenya with the one-off, experimental ivory trade conducted pursuant to Decision 10.1.

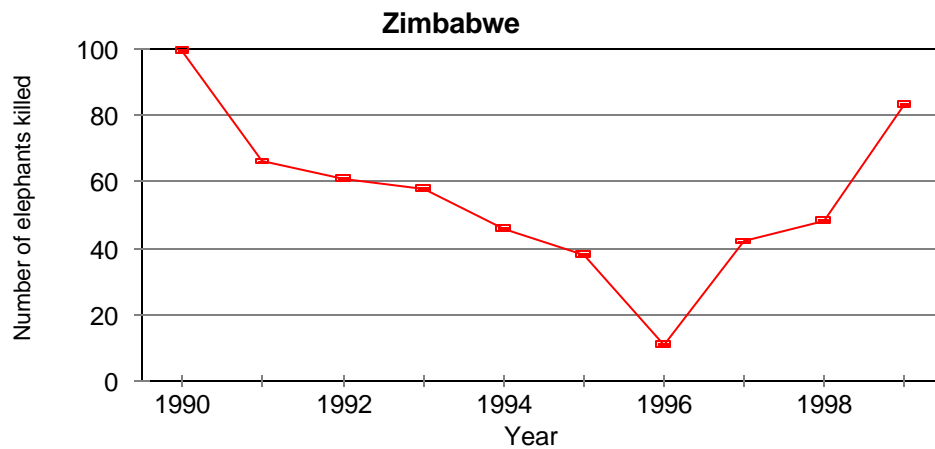
#### Zimbabwe

29. In late 1999 and early 2000, the Secretariat noted increasing media reports relating to an alleged upsurge in poaching in Zimbabwe. In some reports, anonymous government spokespersons were quoted as alleging that poaching of elephants was being sponsored or motivated by foreign governments and/or non-governmental organizations. These allegations, together with the fact that the Secretariat observed from incident report forms submitted by Zimbabwe that three incidents involved multiple deaths of elephants, prompted it to conduct a mission to investigate the events there.
30. In February 2000, the Secretariat visited Zimbabwe and held discussions with officials of the Management Authority and, in particular, its law enforcement and intelligence staff. The Secretariat was provided with details of intelligence gathered by the Department of National Parks and Wildlife Management (DNPWM).
31. Zimbabwe has a lengthy history of poaching, particularly of elephant and rhinoceros. As noted during the Secretariat's verification mission to the country to examine the efforts made to address deficiencies identified by the Panel of Experts, anti-poaching measures have given priority to the protection of rhinoceros. Not a single rhinoceros has been lost to poachers in Zimbabwe in the last five years. Elephant poaching has, however, continued on a relatively regular basis, especially in the area of the Zambezi valley.
32. Intelligence, and operational work, has demonstrated the regular involvement of Zambian nationals who cross the border of the Zambezi river and kill elephants to obtain their tusks, before then returning to their own side of the river. Whilst no incident or seizure report forms have been submitted to the Secretariat by Zambia, it is aware that Zambia's law enforcement authorities have been active in attempting to detect such criminals. Indeed, close co-operation exists between the authorities in Zambia and Zimbabwe.
33. Much of the intelligence disclosed to the Secretariat related to ongoing operations and can not be made public. The Secretariat has, however, prepared a confidential briefing on this subject for Interpol. DNPWM officials distanced themselves from the alleged official comments in the media, where governments or NGOs were said to be sponsoring poaching in Zimbabwe and said that there was no tangible evidence to demonstrate such action.
34. There is, however, clear evidence of an organized nature to the recent poaching that occurred in the Zambezi valley. Whilst this was not unknown before, there does appear to be an increased level of such organization, including the use of large calibre, high quality firearms. There is also, though, a new dimension to some of the incidents.
35. During October and November 1999, three separate incidents occurred in which a total of 37 elephants were killed by gunshots. Unusually, 11 of the elephants were immature animals, with no commercial value for ivory traders. In one incident, not all the tusks were removed. Both actions were wasteful and not normal practice for poachers. In one incident, the tail of each elephant had been cut off and removed from the scene. This might indicate that those involved had to account for, or provide physical evidence of, their actions to a third party.
36. The Secretariat interviewed three Zambian nationals in Harare Central Prison who had been convicted in December 1998 of illegal entry to the country and poaching. They are currently serving 5 years imprisonment. Little of value was learned, since the apparent leader of the group consistently lied during questioning. He appeared highly articulate, though, and had many of the characteristics of an experienced criminal. He did not, however, deny being of Zambian nationality or the fact that he had entered Zimbabwe illegally.

37. The Secretariat agreed with DNPWM officials that elements of some of the recent incidents of illegal killing of elephants are not what one would expect to find in normal poaching cases. However, unless further evidence is forthcoming, the Secretariat believes that it is unlikely that the elephants were deliberately slaughtered to provide evidence of increased poaching or to suggest poor anti-poaching efforts by the Zimbabwean authorities.

38. The following table and graph give the details of poaching in Zimbabwe and the total yearly budgets of the DNPWM during the past decade.

	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999
<b>Number of elephants killed</b>	99	66	61	58	46	38	11	42	48	83
<b>Total budget (in ZWD millions)</b>	18.4	23.7	32.7	35.3	37.5	39.7	56.8	95.0	189.4	387.1



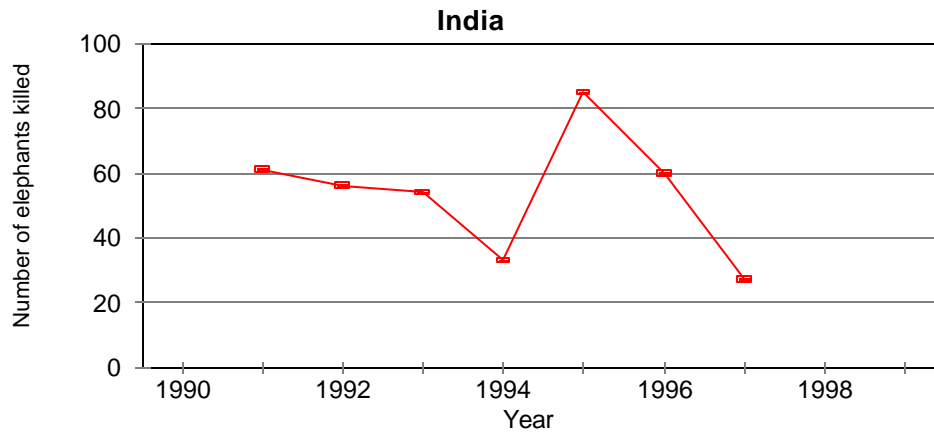
39. The Secretariat noted that the wildlife department's expenditures had increased significantly in Zimbabwe since 1997 and that the funds received from the recent ivory actions had been invested in elephant conservation projects. It is well established that detection of poaching incidents increases when enforcement expenditure is increased significantly.

40. While the Secretariat remains concerned that the number of elephants killed illegally in Zimbabwe increased in 1999, it could find no evidence to link recent poaching events there with Zimbabwe's legal trade in ivory and elephant products. Neither could it find any reason to establish a link between the illegal killing that is taking place and the decisions of the 10<sup>th</sup> meeting of the Conference of the Parties.

41. The Standing Committee notes that a WWF statement on their joint aerial survey of elephant carcasses, with DNPWM, shows that although there were localized problems within certain areas of the Zambezi Valley floor, national poaching ratios are in line with historical trends and it concluded that there was no cause for serious concern.

India

42. It was noted, at the 41st and 42nd meetings of the Standing Committee, that delegates from India expressed their concern that the experimental trade would negatively impact upon elephant populations in India and the rest of Asia. The Secretariat has not, however, received any information through its formal monitoring and reporting systems to indicate an increase in poaching in India or other Asian elephant range States. In fact, the national reports provided by India show that poaching incidents have declined significantly in India since 1995.



#### Chad

43. At its 41st meeting, the Standing Committee heard from Chad that they had experienced a serious upsurge in poaching in that country.
44. Chad argued that the increase in elephant poaching incidents was probably caused by the COP10 decision to allow the experimental trade in ivory and that rangers had been killed by poachers in their country. The Secretariat noted however, that it had not received any information, through its formally established monitoring and reporting systems, to indicate that there had been an increase in elephant poaching in Chad.
45. The Secretariat asked Chad to provide national report documentation to allow analysis of the trends in poaching levels in that country. Unfortunately, apart from the incident reports presented to the Secretariat in September 1998 and tabled in a later section of this report, no annual poaching figures have been received from Chad.
46. The Secretariat has asked unsuccessfully, for the Management Authority in Chad to provide this important information, particularly for 1999.

#### Legal trade

47. The Standing Committee has been advised by the Secretariat that it can see no evidence to indicate that the experimental trade has had any impact upon other legal trade.

#### Legal offtake

48. The Secretariat has reviewed reports from Botswana, Namibia and Zimbabwe relating to the legal offtake of elephants in those States conducted during hunting and problem animal control during the years 1997, 1998 and 1999. There is nothing to suggest that such offtakes are being used, for example, to deliberately increase amounts of ivory being added to government stocks and none of the countries have engaged in culling operations in recent years.

#### Illegal trade

49. TRAFFIC East/Southern Africa's report relating to illegal trade reported under ETIS is attached as Annex 5.

## Illegal hunting of elephants

50. By January 2000, a total of 113 incident report forms had been received by the Secretariat, representing a total number of 252 elephants reported as having been killed illegally (see Table below).

Country	Number of incident forms submitted	Number of elephants killed
<b>1997</b>		
Chad	3	14
Namibia	3	3
<b>Sub-total</b>	<b>6</b>	<b>17</b>
<b>1998</b>		
Botswana	2	3
Chad	3	24
Gabon	1 <sup>1</sup>	20 <sup>2</sup>
Namibia	1	1
Zimbabwe	21	37
<b>Sub-total</b>	<b>28</b>	<b>88</b>
<b>1999</b>		
Gabon	1 <sup>1</sup>	3 <sup>2</sup>
Kenya	45	59
Namibia	4	6
Zimbabwe	29	82
<b>Sub-total</b>	<b>79</b>	<b>147</b>
<b>TOTAL</b>	<b>113</b>	<b>252</b>
<sup>1</sup> <i>The incidents were not submitted on the required form, but the report contained substantial information</i>		
<sup>2</sup> <i>Confirmation has been requested from the Management Authority of Gabon</i>		

51. The number of reported incidents, including cases that have been attributed to human-elephant conflict rather than a commercial motive, represents a small fraction of the continental elephant population and, indeed, of any of the national populations from countries mentioned in the table. The reported number of incidents is well below the expected background rate of illegal killing that is widely known to have occurred in all or most elephant range States throughout the last decade. From what is known about the consumption of ivory in domestic manufacturing and markets within Africa, the reported number of cases is likely to be below the expected number of elephants that might have to be killed to supply such markets.

52. The information provided indicates an increased rate of reporting from 1997 to 1999, which is almost certainly due to an improvement in the use of the incident report system in 1999 compared to the previous years. The Secretariat has emphasized that other than providing a rough estimate of the scale of illegal killing of elephants, the information provided in the table does not suggest an increase in illegal hunting. If other cases are added to the table that are known to have been recorded by e.g. Kenya for 1998, but have not been reported to the Secretariat as incident reports, there is no significant difference between the two years. The Secretariat has noted some minor discrepancies between the total numbers reported on incident forms and those quoted in National report forms.

53. The Standing Committee has no reason to believe that the reported incidence of illegal killing is significant in ecological terms or is indicative of recent changes in expected background rates of illegal killing of elephants.

## National reporting

54. Relatively few Parties provided the information requested in the National reporting form, which aimed to obtain a retrospective record of illegal killing from as many countries as possible. The limited response possibly reflects a lack of systematic record keeping for illegal killing of elephants in previous years. For example, Viet Nam notified the Secretariat that it did not have data relating to the subject. Indonesia reported 12 elephants killed in 1996, which were all poisoned as a result of conflict situations and one elephant was killed in a trap in 1998 for the same reason. Indonesia had no other data for the reporting period.

55. The Secretariat supplied the following table of data from National reporting forms received. Those relating to India, Kenya and Zimbabwe have been given above. Where supplied, national wildlife department expenditures are provided.

Country	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999
<b>Botswana</b> (million Pula)	<i>no data</i> (9.3)	<i>no data</i> (13.8)	<i>no data</i> (16.2)	2 (20.0)	5 (22.7)	6 (25.4)	3 (27.3)	2 (30.5)	7 (55.3)	11 (61.3)
<b>Cambodia</b>	<i>no data</i>	<i>no data</i>	<i>no data</i>	<i>no data</i>	<i>no data</i>	<i>no data</i>	3	3	6	4
<b>Myanmar<sup>1</sup></b>	15	18	15	15	6	7	8	8	2	5
<b>Namibia</b> (million N\$)	6 <i>no data</i>	1 (16.2)	6 (19.8)	10 (25.9)	7 (29.8)	6 (32.3)	11 (38.5)	4 (48.6)	2 (49.3)	6 (115.1)
<b>Togo</b>	<i>no data</i>	6	10	12	1		1		1	<i>no data</i>

<sup>1</sup> *The figures supplied by Myanmar include elephants stolen from the State timber enterprise and from private ownership, since its data recording system is not confined to poaching of elephants.*

56. The information received indicates an ecologically insignificant level of illegal killing of elephants in the countries that have reported.

## Conclusions

57. Notwithstanding limitations in the data available to the Committee, the following conclusions are evident:

- relatively few range States had made use of the reporting systems to inform the Secretariat of illegal killing of elephants. The Committee strongly urges Parties to comply with requests to provide all relevant information in the interest of informed decision-making by the Conference of the Parties;
- ample opportunity has nevertheless been created for Parties to report such information. The Committee notes that all Parties have the responsibility of participating in reporting systems that potentially have a major impact on decisions to be taken by the Conference of the Parties;
- in the absence of a large body of information on incidents of illegal killing, the Committee considers that the low number of reported incidents, within the context of the commonly understood significance of the issue of illegal killing and the numerous opportunities to report such information, may be indicative of relatively low levels of illegal killing of elephants;
- while the Committee acknowledges concern over localized incidents of illegal killing (e.g. in Kenya and Zimbabwe), the reported levels of illegal killing do not appear to be ecologically significant and are considerably lower than natural attrition rates;
- the limited scope of information reported to the Secretariat does not indicate any particular pattern in illegal killing or relationship with the implementation of decisions taken at CoP10. Other variables such as variation in national expenditure levels in protection and enforcement, patrol frequency, staffing levels, and the continued existence of domestic ivory markets in Africa etc. have to be taken into account.

58. The Standing Committee remains concerned that inaccurate or incomplete reporting of the decisions made at the 10th meeting of the Conference of the Parties may prompt speculative poaching and encourages all governmental and non-governmental organizations to take this into consideration when commenting on the subject. The Committee is particularly concerned about unfounded or exaggerated statements on the

causes of poaching made by a number of sources in the run up to CoP11. Such statements may give a direct incentive to wildlife criminals and thereby threaten those elephant populations in Asia and Africa whose conservation status is genuinely precarious. The Committee appeals to Parties to refrain from speculating publicly about the causes of illegal killing and seizures of ivory.

59. The Standing Committee is of the opinion that it is in the best interests of the Convention, and would help support the efforts of enforcement personnel, if all statements on the subject, regardless of the source, made clear that the one-off experimental trade offered no opportunity for the laundering of poached ivory.
60. The Standing Committee notes that the impact of implementing Decision 10.1, Part A, had very significant impacts upon the time and resources of the Secretariat and suggests that such factors should be fully taken into account if the Conference of the Parties decides to require such detailed supervision of trade in the future, regardless of the species involved. Based on current understanding of the nature and likelihood of risks associated with the export of raw ivory under the trade control regime established for the experimental exports in 1999, the Committee notes that the intensive level of oversight by the Secretariat may not be warranted in future. Each case, however, will need to be examined on its merits. Where trade is experimental and involves precarious or previously untraded species then Parties and the wider public may require greater levels of assurance than will result from detailed supervision.
61. The Standing Committee is firmly of the opinion that the one-off experimental trade was conducted in accordance with Decision 10.1, Part A, of the 10<sup>th</sup> meeting of the Conference of the Parties. The trade appears to have been a success in all respects, in that it achieved the objective agreed by the Conference of the Parties, namely that government stockpiles could be sold to a designated country under specified and verifiable conditions and that the resulting profits should be put to conservation use.
62. The Standing Committee considers that the evidence before it does not substantiate claims from a limited number of sources that the trade has prompted a significant increase in illegal killing of elephants at continental level or in terms of the national populations affected.
63. With regard to Part B, b), of Decision 10.1, the Committee is therefore of the opinion that negative impacts have not been identified and that no corrective measures require to be determined or proposed.





A report on the status of the Elephant Trade Information System  
to the 11th meeting of the Conference of the Parties

January 2000

by Tom Milliken and Louisa Sangalakula  
TRAFFIC East/Southern Africa

Introduction

1. Resolution Conf. 10.10 (*Trade in Elephant Specimens*) provides for the establishment of a comprehensive, international monitoring system to monitor the illegal trade in elephant specimens. The objectives of the monitoring system are:
  - a) measuring and recording current levels and trends of illegal hunting and trade in ivory in African and Asian range States, and in trade entrepôts;
  - b) assessing whether and to what extent observed trends are a result of changes in the listing of elephant populations in the CITES appendices and/or the resumption of legal international trade in ivory; and
  - c) establishing an information base to support the making of decisions on appropriate remedial action in the event of any problems with compliance or potential detriment to the species.
2. In Annex 1 (*Monitoring of Illegal Trade in Ivory and Other Elephant Specimens*) of the Resolution, a database system, established by TRAFFIC in 1992 and known as the Bad Ivory Database System (BIDS), was recognised as “*the appropriate instrument for monitoring the pattern and measuring the scale of illegal trade in ivory and other elephant specimens.*” Annex 1 specifies that TRAFFIC will manage and co-ordinate the database, and “*oversee collection of data, ensure data quality and consistency, and provide training in data collection and information management techniques to designated officials around the world as appropriate.*” It also provides that TRAFFIC “*will produce a comprehensive report to each meeting of the Conference of the Parties.*” This report is in fulfilment of that requirement.

Development of the monitoring system

3. Since the tenth meeting of the Conference of the Parties (CoP10), TRAFFIC, in collaboration with the CITES Secretariat and with the approval of the CITES Standing Committee, has further developed the database of ivory seizures to ensure that it will meet the requirements of Resolution Conf. 10.10. In the first instance, BIDS was subjected to an independent external review by consultants from the Statistical Services Centre of the University of Reading. The results of this evaluation were presented and further refined at a workshop of technical experts in Nairobi, Kenya, in December 1997. A full report, highlighting the evaluation of BIDS and outlining the future design of the monitoring system for illegal trade in elephant products, was presented in Doc. SC.40.5.2.6, and subsequently approved, at the 40th meeting of the Standing Committee to CITES.
4. Through this process, it was recognised that BIDS required refinements in three key areas. Firstly, it was acknowledged that not all elephant product seizures are (or will be) reported to the CITES Secretariat for transmission to TRAFFIC. It was felt that a means to assess **rates of reporting** and the **quality of information** of each case provided by individual countries needed to be incorporated into the database so that, in the future, quantitative estimates of reporting rates and data quality would be available when undertaking statistical analysis of the data. Such information would be essential in any attempt to establish true measures of illegal ivory or other elephant product trade flows.
5. Secondly, it was appreciated that the occurrence of elephant product seizures is, to a great extent, directly linked to the degree of **law enforcement effort and effectiveness** on the ground. In other words, countries which commit personnel, resources and other inputs towards the protection of elephants and/or the interdiction of illegal trade in wildlife commodities are more likely to seize contraband elephant products than those who do not. In terms of analysis of elephant product seizure data and the ability to establish and

track meaningful trends over time, there is a need to incorporate time-based measures of law enforcement effort and effectiveness on a country-by-country basis into the database.

6. Finally, it was recognised that a variety of other factors are linked to the illegal trade in ivory and other elephant products, and that these factors need to be analysed together with the basic seizure data in order to fully understand and interpret the data at hand. Thus, there is a need to establish **subsidiary database components** on legal trade in ivory products, elephant product markets around the world, economic and commercial environment indicators, intelligence information and other factors as appropriate.

#### Operation and management of ETIS

7. In addressing the above concerns, BIDS has evolved into a more sophisticated monitoring tool called the **Elephant Trade Information System**, or more commonly known as **ETIS**. ETIS expands upon the capabilities of BIDS and is designed to function as an integrated trade monitoring information system with a number of linked components. In this regard, the following issues should be noted:

#### ETIS development and management

8. The Seizures Database: Since CoP10, the core database on ivory seizures has been converted to an MS/ACCESS platform and operates through a new specially-designed software programme that was developed by the University of Reading's Statistical Services Centre under contract to TRAFFIC East/Southern Africa (TESA). TESA staff have received in-house training in the operation of the database, and the system manager has undertaken general course work on data management and statistics at the University of Reading to assist with future data analysis. The seizures database is currently fully operational and housed at the TESA regional office in Lilongwe, Malawi.
9. The Law Enforcement Effort/Effectiveness Database: Complimentary and compatible database components on law enforcement effort and effectiveness and subsidiary information are currently under development at TRAFFIC International. It was originally hoped that the information on law enforcement effectiveness would derive from information already recorded by the international secretariats of INTERPOL and the World Customs Organization. This is not the case and therefore a system for evaluation and classification of countries needs to be developed for ETIS. In this regard, TRAFFIC has engaged a criminologist in a research project to evaluate how enforcement effort and effectiveness can be evaluated. A series of key data variables have been identified and are being tested using a case study approach. A process of logging and recording such variables is being established. The data will be input into a specially-designed database system, with analytical methods developed and applied to generate the classification of enforcement effectiveness for each country.
10. Subsidiary Databases: Information on legal trade in ivory and other elephant products is available through the database containing all information on wildlife trade transactions reported to the CITES Secretariat through the CITES annual report reporting process. This information will be isolated and linked to ETIS as appropriate. The development of databases to hold information on the status of ivory product markets around the world, as well as background economic variables, are also under consideration.

#### Operational protocol

11. A protocol governing the operation of ETIS is currently under development with the CITES Secretariat. Administrative issues being addressed concern access to data; communication with the Parties; translation of information, reports and other documents; the production of annual country reports and biannual reports to the CoP; and funding.

#### Data collection

12. In collaboration with the CITES Secretariat, and with the guidance of the technical experts who participated in the ETIS and MIKE technical design workshop in December 1997, TRAFFIC produced the *"Ivory and Elephant Product Seizure Data Collection Form"*, which was first circulated to all Parties in Notification to the Parties No. 1998/10, of 31 March 1998. A document entitled *"Explanatory Notes for the Ivory and Elephant Product Seizure Data Collection Form"* was produced and circulated to all Parties in Notification to the Parties No. 1999/36, of 30 April 1999. These documents were re-circulated to the Parties on 30 November 1999 in Notification to the Parties No. 1999/92.

**Table 1: Number of ETIS cases received through the CITES data collection process  
(March 1998 – January 2000)**

Country of seizure	No. of cases	Source	Entered	Not entered	Comments
<b>1989</b>					
Algeria	2	World Customs Organisation		X	Pending clarification
<b>1990</b>					
Algeria	1	World Customs Organisation		X	Pending clarification
<b>1995</b>					
Japan	5	Japanese Customs	X		
Spain	1	?		X	Pending clarification
United Kingdom	4	World Customs Organisation	X		
<b>1996</b>					
Cyprus	1	Cyprus Customs	X		
Hungary	1	Hungary Customs	X		
Japan	1	Japanese Customs	X		
Luxembourg	1	Luxembourg Customs		X	Pending translation
Mexico	1	CITES Management Authority		X	Pending translation
New Zealand	2	World Customs Organisation		X	Pending clarification
New Zealand	6	World Customs Organisation	X		
Spain	1	Spanish Customs		X	Pending translation
Spain	1	Spanish Customs		X	Pending translation
United Kingdom	2	World Customs Organisation		X	Pending clarification
United Kingdom	3	World Customs Organisation	X		
<b>1997</b>					
Austria	5	Austrian Customs	X		
Cyprus	2	Cyprus Customs	X		
Ireland	1	Irish Customs	X		
Italy	3	World Customs Organisation		X	Pending clarification
Italy	4	World Customs Organisation	X		
Mexico	1	CITES Management Authority		X	Pending translation
Namibia	28	Namibia Police	X		
Netherlands	1	World Customs Organisation	X		
Sri Lanka	1	World Customs Organisation	X		
Sweden	1	World Customs Organisation	X		
<b>1998</b>					
Canada	1	Canadian Customs	X		
Chad	3	CITES Management Authority		X	Pending translation
Chile	1	Chilean Customs	X		
Czech Republic	2	Czech Customs	X		
Czech Republic	1	Czech Environment Inspection	X		
Guinea	1	CITES Management Authority	X		
Italy	1	CITES Management Authority	X		
Italy	1	Italian Customs	X		
Kenya	2	CITES Management Authority	X		

Country of seizure	No. of cases	Source	Entered	Not entered	Comments
Namibia	5	Namibia Police	X		
Netherlands	1	Dutch Customs	X		
Spain	5	Spanish Customs		X	Pending translation
Spain	1	Spanish Customs		X	Pending clarification
Swaziland	1	National Wildlife Authority	X		
Zimbabwe	1	Zimbabwe Customs	X		
Zimbabwe	8	CITES Management Authority		X	Just received
Zimbabwe	1	CITES Management Authority	X		
<b>1999</b>					
China	1	CITES Management Authority		X	Just received
Botswana	2	Botswana Police		X	Just received
Botswana	1	CITES Management Authority		X	Just received
Ethiopia	1	CITES Management Authority		X	Just received
Ethiopia	1	CITES Management Authority		X	Just received
France	25	French Customs		X	Just received
Israel	2	CITES Management Authority		X	Just received
Kenya	7	CITES Management Authority	X		
Kenya	2	Kenyan Customs	X		
Malawi	2	CITES Management Authority	X		
Malawi	1	CITES Management Authority		X	Just received
Zimbabwe	8	CITES Management Authority		X	Just received
<b>Total</b>	<b>169</b>				
<i>Note: In addition, a tabular data set of all ivory seizures between 1976-1998 in Switzerland has just been received from the Swiss CITES Management Authority. This data set involves hundreds of cases and is currently being reviewed before input into ETIS.</i>					

13. Table 1 indicates the countries and numbers of cases of elephant product seizures which have been received through the CITES Secretariat as of 31 January 2000. TRAFFIC believes that this response, while admirable for a number of countries such as France, Namibia, Spain and Switzerland, has generally been poor for most other Parties to the Convention. Although Annex 1 of Resolution Conf. 10.10 calls upon all Parties to “provide information on seizures and confiscations of ivory or other elephant specimens in the prescribed format to TRAFFIC within 90 days of their occurrence”, it is evident that many – indeed **most** – Parties to the Convention are failing to meet this obligation. It goes without saying that the effectiveness of ETIS (or any other monitoring system) directly depends upon the provision of quality data in a timely manner. Measures need to be taken to promote greater compliance with this CITES obligation.

14. In selected countries, for example Tanzania, TRAFFIC has collaborated with Government officials to undertake focused data collection exercises to produce the backlog of data on ivory seizures over time. Further, to assist with data collection in Chinese-speaking countries and territories in Asia, TRAFFIC has had the “Ivory and Elephant Product Seizure Data Collection Form” translated into the Chinese language. (See discussion in Capacity Building and Training section below concerning the potential of such actions to introduce bias into the system).

#### Data quality

15. To facilitate the statistical analysis of the ETIS data, it is necessary to produce a measure of data quality for each record in the database. A two-dimensional matrix representing *reliability of source* and *completeness of data* was developed and presented in Inf. SC41.1 at the 41st meeting of the Standing Committee to CITES. Reliability of source is graded as follows:

A: Highest degree of reliability (e.g. government agency responsible for seizure, CITES authority, INTERPOL or Customs).



Country/territory of seizure	A1	A2	A3	B1	B2	B3	C1	C2	C3	Total
Hong Kong	0	48	32	0	2	0	0	0	0	82
Hungary	0	0	2	0	0	0	0	0	0	2
India	0	0	0	0	3	15	0	0	0	18
Ireland	0	0	1	0	0	0	0	0	0	1
Italy	0	1	8	0	18	36	0	0	0	63
Japan	0	0	7	0	6	6	0	0	1	20
Kenya	4	43	16	0	3	27	0	1	1	95
Korea, Republic of	0	1	2	0	1	0	0	0	0	4
Macau	0	12	7	0	0	0	0	0	0	19
Malawi	2	120	6	0	2	0	0	0	2	132
Malaysia	0	13	0	0	0	0	0	0	0	13
Namibia	10	393	2	0	0	0	0	3	1	409
Netherlands	0	0	1	0	4	1	0	0	1	7
New Zealand	0	0	50	0	0	1	0	0	0	51
Niger	0	0	1	0	0	0	0	0	0	1
Philippines	0	1	0	0	0	0	0	0	0	1
Portugal	0	0	0	0	36	23	0	0	1	60
Singapore	0	0	9	0	0	0	0	0	0	9
South Africa	0	50	97	0	1	5	0	1	1	155
Spain	0	0	1	0	19	59	0	0	0	79
Sri Lanka	0	0	1	0	0	0	0	0	0	1
Swaziland	1	0	0	0	0	0	0	0	0	1
Sweden	0	0	1	0	0	0	0	0	0	1
Switzerland	0	1	4	0	0	0	0	0	0	5
Taiwan	0	16	16	0	1	2	0	2	0	37
Tanzania, United Rep. of	4	123	14	17	39	9	0	2	2	210
Thailand	0	0	7	0	0	0	0	1	0	8
Uganda	0	3	1	0	0	0	0	1	2	7
United Kingdom	0	2	7	0	3	354	0	0	1	367
United States	0	0	1,423	0	0	11	0	0	1	1,435
Zambia	1	76	17	0	3	4	0	0	3	104
Zimbabwe	0	2	24	0	0	0	0	4	7	37
<b>Total</b>	<b>23</b>	<b>915</b>	<b>1,773</b>	<b>17</b>	<b>490</b>	<b>1,095</b>	<b>0</b>	<b>16</b>	<b>32</b>	<b>4,361</b>

Table 3: ETIS data quality summary

Source grade	Data completeness score			
	1	2	3	Total
A	23	915	1,773	2,711
B	17	490	1,095	1,602
C	0	16	32	48
<b>Total</b>	<b>40</b>	<b>1,421</b>	<b>2,900</b>	<b>4,361</b>

### Capacity building and training

20. To improve compliance with Resolution Conf. 10.10 and to assist countries with the collection and provision of data on elephant product seizures for inclusion in ETIS, TRAFFIC is producing a national-level ETIS workshop 'toolkit' to facilitate the development of national data collection protocols. Currently under development with funds provided through a grant from the U.S. Fish and Wildlife Service, the toolkit will offer a one-day workshop module directed at wildlife and law enforcement authorities, such as Customs, police and other bodies empowered to seize illegal wildlife products. Once completed, it is envisaged that the workshop module and toolkit will be widely disseminated to facilitate data collection on elephant product seizures for ETIS.
21. In providing such assistance, it has been recognised from the outset that such actions may introduce a bias into future analytical considerations of the issue of reporting rates and data quality. It is therefore important to understand to what degree external interventions have influenced the ability of individual countries to make elephant product seizures, or to report on such seizures through the CITES process. As the CITES Secretariat and the TRAFFIC Network are committed to promoting the implementation of ETIS by all Parties to the Convention, a ranking system to assess the kinds of interventions which have occurred at the national level for each country on an annual basis is under development. This will allow for a weighting scale to be applied as appropriate during statistical analysis and mitigate the inadvertent introduction of bias through specific actions of assistance or capacity building.

### Outputs

22. As outlined in Inf. SC 41.1 presented at the 41st meeting of the Standing Committee to CITES, it is TRAFFIC's intention to produce an *ETIS Country Report* for each Party on an annual basis in order to inform the Parties of the status of their country in the database and to establish an important 'feedback loop'. The ETIS Country Reports are designed to provide summaries in a tabular format of all cases in the database which relate to a particular country in a substantive way. Parties are asked to review the information contained in the summary tables and, wherever possible, to provide any further information on individual cases, particularly those which carry a C rank in terms of *reliability of source*, and a 3 rank in terms of *completeness of information*. The first set of ETIS Country Reports are currently being produced and will be circulated to the Parties by the CITES Secretariat prior to CoP11.

### Funding

23. The development and operation of ETIS has been supported by funding provided by the United Kingdom's Department of Environment, Transport and the Regions (DETR), United States Fish and Wildlife Service, WWF-International and the CITES Trust Fund.

### ETIS seizures database summary

#### Interpretation of results

24. At the outset of any presentation of the data in ETIS, it needs to be appreciated that the following discussion does not represent an analysis meeting the objectives of the monitoring systems described in Resolution Conf. 10.10. It is not possible to present current levels of illegal trade in elephant ivory, much less describe trends over time or assess the causality of observed trends at this time for two principal reasons. Firstly, the data for the most recent years are extremely poor and, secondly, other key components of ETIS are still under development, specifically the law enforcement effort and effectiveness database. Consequently, none of the data have been subjected to statistical modelling or analysis. The purpose of such modelling is to enable the effects of enforcement effort, rates of reporting and data quality, and other background variables, to be accounted for so that adjusted trends and other statistics may be estimated with an acceptable degree of precision. As further pointed out, various points of any such analysis will require weighting in order to reduce any bias caused by giving undue influence to certain data points. Provided that Parties co-operate in the provision of data on ivory seizures in their countries, it is envisaged that a comprehensive data analysis of this calibre will be possible prior to CoP12.
25. For the purposes of this report to CoP11, the most basic parameters of the data currently held in ETIS are presented. Readers are cautioned not to interpret increases or decreases in the number of cases or the volumes of ivory seized as indicating absolute values or suggestive of trends over time. Further, the link between illegal trade trends and the impact of decisions taken at CoP10 are not addressed at all in this presentation. These data simply suggest that illegal trade in ivory continues to occur in various parts of the



world, but the important issues of current levels of illegal trade, trends over time and causality remain to be explained. Finally, as provided for in Annex 1 of Resolution Conf. 10.10, the analysis and interpretation of data will be undertaken in association with the CITES Secretariat and those institutions who are involved with the long-term system for Monitoring of Illegal Killing of Elephants, (otherwise known as MIKE).

#### Number of records

26. As of 31 January 2000, ETIS contained the details of 4,361 individual ivory seizures which have occurred in 49 countries or territories around the world since January 1989 (Table 4). As noted above, another 75 records are pending further clarification before entry into ETIS, but have not been quantified at the present time (Table 1).

**Table 4: Number of ivory seizures by country by year (January 2000)**

Region/country/territory	1989	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	Total
<b>Africa</b>												
Algeria	-	-	-	-	-	-	-	-	-	-	-	0
Benin	-	-	-	-	-	-	-	-	-	-	-	0
Botswana	-	-	-	-	-	-	-	-	-	-	-	0
Burkina Faso	-	-	-	-	-	1	0	0	0	-	-	1
Burundi	-	-	-	-	-	-	-	-	-	-	-	0
Cameroon	-	-	3	-	3	2	-	-	-	-	-	8
Central African Republic	-	-	-	-	-	-	-	-	1	-	-	1
Chad	-	-	-	-	-	-	-	-	-	-	-	0
Comoros	-	-	-	-	-	-	-	-	-	-	-	0
Congo	-	-	-	-	-	-	-	-	-	-	-	0
Côte d'Ivoire	-	-	-	-	-	-	-	-	-	-	-	0
Democratic Republic of the Congo	-	-	-	-	-	-	-	-	-	-	-	0
Djibouti	-	-	-	1	-	-	-	-	-	-	-	1
Egypt	-	-	-	-	-	-	-	-	-	-	-	0
Equatorial Guinea	-	-	-	-	-	-	-	-	-	-	-	0
Eritrea	-	-	-	-	-	-	-	-	-	-	-	0
Ethiopia	-	-	1	-	-	-	-	-	-	1	-	2
Gabon	-	-	-	1	-	-	-	1	-	-	-	2
Gambia	-	-	-	-	-	-	-	-	-	-	-	0
Ghana	-	-	-	-	-	-	-	-	-	-	-	0
Guinea Bissau	-	-	-	-	-	-	-	-	-	-	-	0
Guinea	-	-	-	-	-	-	-	-	-	1	-	1
Kenya	-	1	1	17	20	7	24	8	6	2	9	95
Liberia	-	-	-	-	-	-	-	-	-	-	-	0
Madagascar	-	-	-	-	-	-	-	-	-	-	-	0
Malawi	22	12	27	26	25	4	9	2	1	1	3	132
Mali	-	-	-	-	-	-	-	-	-	-	-	0
Mauritania	-	-	-	-	-	-	-	-	-	-	-	0
Mauritius	-	-	-	-	-	-	-	-	-	-	-	0
Morocco	-	-	-	-	-	-	-	-	-	-	-	0
Mozambique	-	-	-	-	-	-	-	-	-	-	-	0
Namibia	24	31	44	40	69	70	71	27	28	5	-	409

Region/country/territory	1989	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	Total
Niger	-	-	-	-	-	-	1	-	-	-	-	1
Nigeria	-	-	-	-	-	-	-	-	-	-	-	0
Rwanda	-	-	-	-	-	-	-	-	-	-	-	0
Senegal	-	-	-	-	-	-	-	-	-	-	-	0
Seychelles	-	-	-	-	-	-	-	-	-	-	-	0
Sierra Leone	-	-	-	-	-	-	-	-	-	-	-	0
Somalia	-	-	-	-	-	-	-	-	-	-	-	0
South Africa	3	6	47	38	27	15	6	10	2	1	-	155
Sudan	-	-	-	-	-	-	-	-	-	-	-	0
Swaziland	-	-	-	-	-	-	-	-	-	1	-	1
Togo	-	-	-	-	-	-	-	-	-	-	-	0
Tunisia	-	-	-	-	-	-	-	-	-	-	-	0
Uganda	-	3	-	1	-	1	1	-	1	-	-	7
United Republic of Tanzania	32	19	40	24	28	19	7	15	15	9	2	210
Zambia	17	16	21	17	9	10	6	3	4	1	-	104
Zimbabwe	-	11	6	2	10	-	3	-	4	1	-	37
<b>Subtotal</b>	<b>98</b>	<b>99</b>	<b>190</b>	<b>167</b>	<b>191</b>	<b>129</b>	<b>128</b>	<b>66</b>	<b>62</b>	<b>23</b>	<b>14</b>	<b>1,167</b>
<b>Asia</b>												
Afghanistan	-	-	-	-	-	-	-	-	-	-	-	0
Bangladesh	-	-	-	-	-	-	-	-	-	-	-	0
Brunei Darussalam	-	-	-	-	-	-	-	-	-	-	-	0
Cambodia	-	-	-	-	-	-	-	-	-	-	-	0
China	-	-	-	-	-	-	-	1	-	-	1	2
Hong Kong	-	19	14	18	11	8	11	1	-	-	-	82
India	-	-	8	3	0	1	1	5	-	-	-	18
Indonesia	-	-	-	-	-	-	-	-	-	-	-	0
Iran	-	-	-	-	-	-	-	-	-	-	-	0
Israel	-	-	-	-	-	-	-	-	-	-	-	0
Japan	2	7	2	1	0	0	5	2	1	-	-	20
Jordan	-	-	-	-	-	-	-	-	-	-	-	0
Macau	2	1	0	7	3	3	3	-	-	-	-	19
Malaysia	0	0	0	11	2	0	0	-	-	-	-	13
Mongolia	-	-	-	-	-	-	-	-	-	-	-	0
Myanmar	-	-	-	-	-	-	-	-	-	-	-	0
Nepal	-	-	-	-	-	-	-	-	-	-	-	0
Pakistan	-	-	-	-	-	-	-	-	-	-	-	0
Philippines	-	-	-	-	-	-	-	-	1	-	-	1
Republic of Korea	0	0	0	0	2	0	1	-	1	-	-	4
Saudi Arabia	-	-	-	-	-	-	-	-	-	-	-	0
Singapore	0	1	1	1	3	2	1	-	-	-	-	9
Sri Lanka	-	-	-	-	-	-	-	-	1	-	-	1
Taiwan	-	-	1	1	6	6	10	8	4	1	-	37
Thailand	-	-	-	2	3	2	1	-	-	-	-	8



Region/country/territory	1989	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	Total
United States	-	452	264	234	172	112	158	43	-	-	-	1,435
<b>Subtotal</b>	<b>0</b>	<b>452</b>	<b>264</b>	<b>234</b>	<b>172</b>	<b>113</b>	<b>158</b>	<b>44</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>1,438</b>
<b>Oceania</b>												
Australia	-	-	-	-	-	-	-	-	-	-	-	0
Fiji	-	-	-	-	-	-	-	-	-	-	-	0
New Zealand	3	19	11	12	-	-	6	-	-	-	-	51
Papua New Guinea	-	-	-	-	-	-	-	-	-	-	-	0
Vanuatu	-	-	-	-	-	-	-	-	-	-	-	-0
<b>Subtotal</b>	<b>3</b>	<b>19</b>	<b>11</b>	<b>12</b>	<b>0</b>	<b>0</b>	<b>6</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>51</b>
<b>Central and South America and the Caribbean</b>												
Antigua and Barbuda	-	-	-	-	-	-	-	-	-	-	-	0
Argentina	-	-	-	-	-	-	-	-	-	-	-	0
Bahamas	-	-	-	-	-	-	-	-	-	-	-	0
Barbados	-	-	-	-	-	-	-	-	-	-	-	0
Belize	-	-	-	-	-	-	-	-	-	-	-	0
Bolivia	-	-	-	-	-	-	-	-	-	-	-	0
Brazil	-	-	-	-	-	-	-	-	-	-	-	0
Chile	-	-	-	-	-	-	-	-	-	1	-	1
Colombia	-	-	-	-	-	-	-	-	-	-	-	0
Costa Rica	-	-	-	-	-	-	-	-	-	-	-	0
Cuba	-	-	-	-	-	-	-	-	-	-	-	0
Dominica	-	-	-	-	-	-	-	-	-	-	-	0
Dominican Republic	-	-	-	-	-	-	-	-	-	-	-	0
Ecuador	-	-	-	-	-	-	-	-	-	-	-	0
El Salvador	-	-	-	-	-	-	-	-	-	-	-	0
Grenada	-	-	-	-	-	-	-	-	-	-	-	0
Guatemala	-	-	-	-	-	-	-	-	-	-	-	0
Guyana	-	-	-	-	-	-	-	-	-	-	-	0
Honduras	-	-	-	-	-	-	-	-	-	-	-	0
Jamaica	-	-	-	-	-	-	-	-	-	-	-	0
Nicaragua	-	-	-	-	-	-	-	-	-	-	-	0
Panama	-	-	-	-	-	-	-	-	-	-	-	0
Paraguay	-	-	-	-	-	-	-	-	-	-	-	0
Peru	-	-	-	-	-	-	-	-	-	-	-	0
Saint Kitts and Nevis	-	-	-	-	-	-	-	-	-	-	-	0
Saint Lucia	-	-	-	-	-	-	-	-	-	-	-	0
Saint Vincent and the Grenadines	-	-	-	-	-	-	-	-	-	-	-	0
Suriname	-	-	-	-	-	-	-	-	-	-	-	0
Trinidad and Tobago	-	-	-	-	-	-	-	-	-	-	-	0
Uruguay	-	-	-	-	-	-	-	-	-	-	-	0
Venezuela	-	-	-	-	-	-	-	-	-	-	-	0
<b>Subtotal</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>1</b>
<b>TOTAL</b>	<b>131</b>	<b>938</b>	<b>828</b>	<b>784</b>	<b>672</b>	<b>319</b>	<b>370</b>	<b>185</b>	<b>88</b>	<b>30</b>	<b>16</b>	<b>4,361</b>

Region/country/territory	1989	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	Total
Key: 0 = Formal report indicating no seizures for the year in the question. – = No information received (including cases or years where Parties had not yet acceded to CITES)												

27. Overall, ETIS currently contains few records of ivory seizures which have occurred over the last three years. There are only 16 records of ivory seizures in 1999, only 30 records for 1998 and only 87 records for 1997. It is evident that few countries are reporting seizures in a timely manner. In TRAFFIC's experience in the collection of elephant product seizure records, at present there is generally a two to three-year time lag before sufficient records are available for a credible analysis of any given year. Initially, it appears that the larger, more sensational, seizure cases (those that have generally garnered attention in the global media) are the first to be reported to the database. This is not an acceptable state of affairs, and the Parties are encouraged to develop national data collection protocols and procedures to ensure that elephant product seizure information is communicated to the CITES Secretariat in a timely and accurate manner.
28. There are a number of comments which can be made about the data presented Table 4 at the regional level:
- a) Europe: The ETIS data set for Europe is generally satisfactory through 1993, but data for most countries is lacking for most years thereafter. However, it should be acknowledged that additional data from France and Switzerland have been recently received through the CITES process, but have not yet been entered into ETIS at the time of writing this report (Table 1). In view of the historical importance of Europe as both a consumer and transit point for ivory to other destinations, there is a need for a focused data collection effort in key European countries, including Belgium, Denmark, France, Germany, Italy, Netherlands, Portugal, Spain and the United Kingdom, to compile the backlog of data between 1994 and the present. Data from Russia, potentially a new consumer of ivory, is also completely lacking.
  - b) South America/Caribbean: There are virtually no records of ivory seizures in South American or Caribbean countries in ETIS. There is a need to ascertain whether this reflects the fact that no elephant product seizures are occurring in this region, or whether it is a case of poor rates of reporting.
  - c) North America: The ETIS data set for the United States is generally good through 1995/1996, but there have been no reports of elephant product seizures in subsequent years. This is believed to result from the failure to supply seizure data through the CITES process. For Canada, there are very few records, but it is not clear if this reflects the absence of elephant product seizures or simply poor reporting. There is a need to undertake a focused data collection effort in the United States for the years 1996 to the present, and to further evaluate the situation in Canada.
  - d) Asia: Historically, the Asian region has been the greatest consumer of raw ivory and has supported major ivory manufacturing industries in China, Hong Kong, India and Japan. Other parts of the region, such as Dubai and Singapore, have functioned as major transit destinations or entrepôts. It is therefore disappointing that ETIS records are generally incomplete for the region. In particular, key countries, such as China and India, have supplied very few, if any, records of ivory seizures to ETIS through the CITES process, though unsubstantiated media reports indicate that some major ivory seizures have occurred. Data sets for Japan and Hong Kong, while fairly complete through 1996/1997, have not been updated over the last two to three years. There is a need to undertake focused data collection exercises in key countries, including China, India, the Republic of Korea, Thailand, the United Arab Emirates and Vietnam.
  - e) Africa: ETIS holds fairly complete data sets for certain countries in East and Southern Africa, especially Namibia and Tanzania, and less so for Kenya, Malawi, South Africa, Uganda, Zambia and Zimbabwe. For most other countries, particularly those in West and Central Africa, there are very few reported cases of ivory seizures. This is disappointing because TRAFFIC has consistently tried to promote the need to report ivory seizures through the CITES process at meetings of the African Elephant Range State Dialogue and the IUCN/SSC African Elephant Specialist Group. There is a clear need for targeted data collection exercises throughout the region to compile the backlog of data and establish more regular reporting mechanisms in individual countries.

- f) Oceania: There are very few records of elephant product seizures from countries in the Oceania region. Whether this reflects a lack of seizures altogether or poor reporting needs to be assessed. In particular, the situation in Australia, for which there are no cases of elephant product seizures, deserves attention, and New Zealand should be encouraged to update its data set which is believed to be complete through 1992.

Volume of seized ivory by ivory type

29. Not all records of ivory seizures in ETIS contain data on both the weight and the number of pieces by ivory type. To quantify the volume of ivory represented by the seizures recorded in ETIS, it is necessary to use average variables to 'fill in the gaps'. These variables were determined by assessing all ETIS records by ivory type for which both the weight and number of pieces were provided. Using this method, the following variables have been used in this report:
- a) for raw ivory tusks and pieces, the average weight is 3.49 kg;
  - b) for pieces of semi-worked ivory, the average weight is 0.042 kg; and
  - c) for pieces of worked ivory products, the average weight is 0.012 kg.
30. Currently, ETIS records indicate that nearly 120 tonnes of ivory have been seized world-wide since January 1989. Altogether, these seizures are estimated to represent 28,319 tusks and pieces of raw ivory, 204,215 semi-worked ivory blocks, and 187,950 worked ivory products (Table 5). This volume is the net total of all ETIS records and does not take into account the quantity of ivory which is lost during the manufacturing processes for semi-worked or worked ivory products. Thus, these seizures actually represent a greater volume of raw ivory than what is presented in Table 5 for semi-worked and worked ivory products.

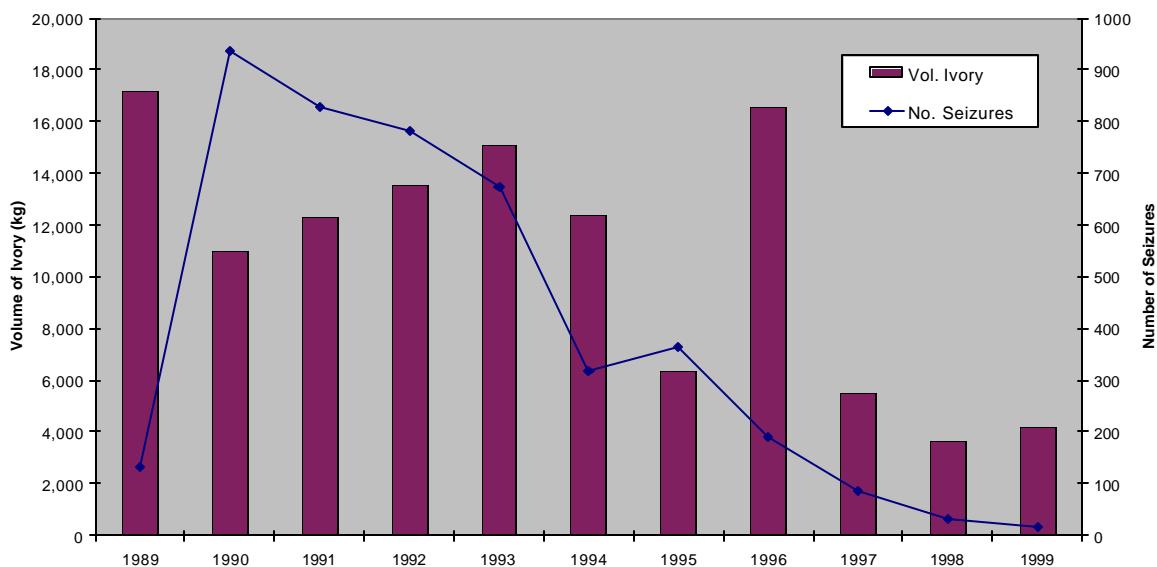
**Table 5: Volume of ivory represented by the ETIS data (January 2000)**

Year of seizure	Raw ivory		Semi-worked ivory		Worked ivory	
	No. of pcs	Weight (kg)	No. of pcs	Weight (kg)	No. of pcs	Weight (kg)
1989	2,850	16,524	14,046	590	2,015	65
1990	4,565	7,173	53,282	1,913	54,003	1,869
1991	2,596	10,480	6,286	470	24,545	1,329
1992	2,301	11,323	2,815	163	15,879	2,034
1993	2,931	12,845	22,137	1,026	30,036	1,221
1994	2,775	11,735	11,672	480	9,643	186
1995	1,345	5,447	11,914	476	39,858	461
1996	5,448	13,857	60,946	2,660	2,381	78
1997	1,032	4,543	20,164	881	4,638	62
1998	1,208	3,616	1	6	2,090	33
1999	1,268	4,146	952	40	2,862	37
<b>Total</b>	<b>28,319</b>	<b>101,689</b>	<b>204,215</b>	<b>8,705</b>	<b>187,950</b>	<b>7,375</b>
					<b>Total weight</b>	<b>117,769</b>

31. Figure 1 indicates the net volume of ivory represented by the seizures held in ETIS in January 2000 and the number of seizure cases from which the data stems. These data show that the greatest quantity of ivory was seized in 1989, a year of unprecedented upheaval for the global ivory trade. That year, the decision to transfer the African elephant to Appendix I of CITES was preceded by the imposition of a host of national and regional import bans. In a climate of heightened law enforcement effort, nearly 17.2 tonnes of ivory was seized. Because this volume is based on relatively few records of ivory seizures in 1989, it is evident that a number of individual cases represent exceptionally large volumes of ivory.
32. From 1990 to 1995, the volume of ivory seized ranged from 6.3 to 15.1 tonnes annually. With the number of cases ranging from 672 to 938 up to 1993, these data derive from a much more robust information base

than the 1989 data set. Thereafter, the number of seizures reported to ETIS drop to 319 and 370 respectively for the years 1994 and 1995. Reflecting two exceptionally large ivory seizures in Tanzania, the second greatest volume of ivory, totalling 16.6 tonnes, was seized in 1996. Overall, with only 185 seizure records, the information base for 1996 is rather diminished. Data for subsequent years are generally lacking and predictably the volume of seized ivory drops considerably.

Figure 1: Volume of Raw, Semi-Worked and Worked Ivory Seized and Number of Seizures by Year



(Source: ETIS 31 January 2000)

#### Seizures of non-ivory elephant products

33. Currently, there is only a single record of a non-ivory elephant product in ETIS. In 1999, Austrian authorities report the seizure of one elephant hide product from Nigeria.

#### Conclusions and recommendations

34. For any monitoring system to be effective, quality data needs to be received in a timely manner. ETIS – as the Convention’s primary tool for monitoring the illegal trade in ivory and other elephant products – is no exception. Therefore, it stands to reason that the greatest impediment to the success of ETIS would be a lack of co-operation from the Parties in the transmission of quality data on elephant product seizures through the designated CITES process.
35. With respect to the implementation of Resolution Conf. 10.10, CoP11 needs to address two key issues: rates of reporting and the quality of information being reported. Concerning the first issue, in approving Resolution Conf. 10.10, the Parties agreed to submit data on ivory seizures within 90 days of the event. There is little doubt that this obligation is not being met by most CITES Parties at the present time. In some cases, this represents a lack of national capacity, and measures which serve to develop such capacity need to be undertaken. In other cases, the means to comply with this CITES reporting requirement is at hand, but the will to comply appears lacking. The Parties need to renew their commitment to the goal of monitoring illegal trade in elephant products on a global basis and strive to ensure that any seizure of elephant products in their countries become records in ETIS.
36. Secondly, it is imperative that the Parties improve the quality of information that is provided on elephant product seizures in their countries. As pointed out, two-thirds of the records in ETIS carry the lowest possible data completeness score (i.e. 3). It is hoped that the Parties will improve this situation by undertaking a thoughtful review of the information contained in the ETIS Country Reports now being circulated to the Parties and provide additional information as appropriate.

37. Great progress is being made in the establishment of the Elephant Trade Information System. The potential of this instrument to play a vital and dynamic role in the conservation of African and Asian elephants under CITES can not be understated. The Parties need to fully engage in the ETIS initiative.