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

Seventeenth meeting of the Conference of the Parties
Johannesburg (South Africa), 24 September - 5 October 2016

Interpretation and implementation matters

Reporting

Review of reporting requirements

REPORT OF THE STANDING COMMITTEE

1. This document is submitted by the Standing Committee and has been prepared by the Chair of the Standing Committee Working Group on Special Reporting Requirements.*

2. Four Decisions (16.43 – 16.46) on Review of reporting requirements were agreed at the 16th meeting of the Conference of the Parties (CoP16, Bangkok, March 2013), directed respectively to the Parties, Standing Committee, Animals and Plants Committees, and the Secretariat. A further two Decisions (Decision 14.41 (Rev. CoP16) and 16.67) concerning reporting were also directed to the Standing Committee and details of Committee’s work on them are included in the present document for convenience.

Decision 16.43

3. Decision 16.43 was directed to Parties: Parties should:

   a) submit the report for 2013-2014 using the revised format agreed at the 65th meeting of the Standing Committee (SC65) for reporting under the provisions of Article VIII, paragraph 7 (b), of the Convention; and

   b) submit a special report by 30 June 2014, using a format provided by the Secretariat, which provides statistical information for the calendar year 2013 on: administrative measures (e.g. fines, bans, suspensions) imposed for CITES-related violations; significant seizures, confiscations and forfeitures of CITES specimens; criminal prosecutions or other court actions; and disposal of confiscated specimens.

4. In paragraph 5 of Notification to the Parties No. 2015/032 of 29 May 2015, Parties were advised as follows:

   In preparing and submitting their reports on legislative, regulatory and administrative measures taken to enforce the Convention during the period 2013-2014, Parties should use the biennial report format contained in Notification to the Parties No. 2005/035 of 6 July 2005. As the 17th meeting of the Conference of the Parties is expected to take place in South Africa during September/October 2016, reports for the period 2013-2014 should be submitted by September/October 2015 as recommended in Resolution Conf. 11.17 (Rev. CoP16).

* The geographical designations employed in this document do not imply the expression of any opinion whatsoever on the part of the CITES Secretariat (or the United Nations Environment Programme) concerning the legal status of any country, territory, or area, or concerning the delimitation of its frontiers or boundaries. The responsibility for the contents of the document rests exclusively with its author.
5. Parties’ implementation reports for the period 2013-2014, which were due on 31 October 2015, can be viewed in the Secretariat’s table of implementation report submissions. As reported in this document under the text relating to implementation of Decision 16.44, the Standing Committee at its 66th meeting (SC66, January 2016, Geneva) adopted a new implementation report format, which the Secretariat will make available for Parties to use to report to the 18th meeting of the Conference of the Parties.

6. Notification to the Parties No. 2014/050 of 5 November 2014 requested Parties to complete the special report in Decision 16.43 paragraph b) (which was unfortunately delayed from the original timing). As agreed at the 65th meeting of the Standing Committee (SC65, July 2014, Geneva), and where Parties have indicated that it can be made available, results of the special report have been passed to the United Nations Office on Drugs and Crime (UNODC) for analysis as part of a report on global wildlife crime which they have been compiling. The results of that research effort should be made available in May 2016 before the 17th meeting of the Conference of the Parties.

Decision 16.44

7. Decision 16.44 was directed to the Standing Committee:

The Standing Committee, with the assistance of its Working Group on Special Reporting Requirements and the Secretariat, shall undertake the following actions at its 65th meeting or, if necessary, its 66th meeting (SC65 and SC66):

a) adopt a revised format for reporting under Article VIII, paragraph 7 (b) and ensure distribution of the revised format through a Notification to the Parties;

b) review identified special reporting requirements and the results of related reviews undertaken by the Animals and Plants Committees in accordance with Decision 16.45;

c) assess whether each special reporting requirement identified in paragraph b) above is still current and valid, or whether it is outdated or otherwise unnecessary and can be considered for deletion, taking account of advice from the Animals and Plants Committees as appropriate;

d) consider how best to assist Parties with the preparation and submission of national reports, including the opportunities offered for using information technology to capture information using online or electronic report formats;

e) consider appropriate means for collecting statistical information on illegal trade through the annual report, taking into account the data fields contained in the INTERPOL Ecomessage or other relevant reporting formats;

f) consider the linkages between the CITES Strategic Vision, and its indicators, and the Aichi Targets, including how best to report CITES input to achieve the Strategic Plan for Biodiversity 2011-2020, its Aichi Targets and related global biodiversity indicators;

g) consider whether any CITES Strategic Vision indicators should be amended, deleted or added;

h) provide advice to the Secretariat on the publication of the outcomes resulting from implementation of the CITES Strategic Vision indicators; and

i) prepare a report for the 17th meeting of the Conference of the Parties on the results of this work and its future recommendations, if any.

8. The Standing Committee’s Working Group on Special Reporting Requirements was established following the adoption of Decisions 14.37 (Rev CoP15) and 14.38 (Rev CoP15) by the Conference of the Parties. The Working Group’s mandate was re-established through Decision 16.44 of the Conference which superseded earlier Decisions. Progress with the Working Group’s tasks has previously been documented through papers to the 61st (SC61, Geneva, August 2011), 62nd (SC62, Geneva, July 2012) 65th (SC65, July 2014, Geneva) and 66th (SC66, January 2016, Geneva) meetings of the Standing Committee, and the 16th meeting of the Conference of the Parties (CoP16).
9. The Working Group was chaired by the United Kingdom of Great Britain and Northern Ireland, with the following membership: Australia, Botswana, Canada, China, Colombia, Costa Rica, Germany, Kenya, Switzerland, the United Nations Office on Drugs and Crime (UNODC), the Great Apes Survival Partnership (GRASP), UNEP-World Conservation Monitoring Centre (UNEP-WCMC), IUCN Primate Specialist Group, the Environmental Investigation Agency, the Species Survival Network, and the Secretariat.

10. Documents SC65 Doc 24.2 and SC66 Doc. 30.2 provide in-depth reports on activities of the Working Group since CoP16. Documents SC65 Sum.10 (11/7/14) and SC66 Sum.7 (Rev. 1) (14/1/16) show the Standing Committee’s decisions regarding the recommendations made. Using the paragraph numbers in Decision 16.44, this can be summarised as follows:

a) a revised format for the implementation report, required under Article VIII, paragraph 7 (b) was adopted by the Committee, and in accordance with the first URGES of Resolution Conf. 11.17 (Rev. CoP16) on National reports has subsequently been made available via Notification to the Parties No. 2016/006 of 5 February 2016. It was agreed that the implementation report should not be subject to compliance procedures. Subject to the availability of external funds, the Secretariat will prepare a version of the implementation report which can be made available using the CITES Online Reporting System by 31 October 2017;

b) the review of reporting requirements was undertaken at SC65 (detail is provided in document SC65 Com. 6). Subsequent to SC65, the spreadsheet of reporting requirements was updated by the Chair of the Working Group on Special Reporting Requirements to reflect the discussions and decisions at SC65 and handed over to the CITES Secretariat. The Secretariat made this information about the reporting requirements available on the CITES website;

c) recommendations for deletion of five reporting requirements were agreed by SC65 as a result of the review. These relate to:

- Resolution Conf. 8.13 (Rev.) on Use of coded-microchip implants for marking live animals in trade;
- Resolution Conf. 11.8 (Rev. CoP13) on Conservation of and control of trade in the Tibetan antelope;
- Resolution Conf. 11.11 (Rev. CoP15) on Regulation of trade in plants;
- Resolution Conf. 12.7 (Rev. CoP16) on Conservation of and trade in sturgeons and paddlefish;
- Notification 2004/044 about the endemic Astrochelys yniphora (Madagascar angulated tortoise; formerly known as Geochelone yniphora).

Four of these deletions require amendments to existing resolutions, so are carried forward in this document in Annexes 1 to 4 of this document. Notification 2004/044 has been deleted from the list of valid Notifications by the Secretariat. A draft Decision relating to future consolidation of reporting requirements, and making the list available to Parties is proposed in Annex 5 of this document as Decision 17.AA;

d) CITES Parties are invited to use the CITES Online Reporting System for the new implementation report, species based reports and other reports or questionnaires. The need to maintain the option of offline reporting for Parties with poor internet connectivity was noted;

e) a new annual illegal trade report, based on the proposal in Annex 5 of document SC66 Doc. 30.2 was adopted, and has subsequently been made available via Notification to the Parties No. 2016/007 of 5 February 2016. The Standing Committee agreed that the new annual illegal trade report should be mandatory, but not subject to compliance procedures. The first annual illegal trade report is due on 31 October 2017, covering data from 2016;

7 The Secretariat notes that the Standing Committee, at its 66th meeting, recommended to the Conference of the Parties, at its 17th meeting, that paragraph b), under ‘DIRECTS’, of Resolution Conf. 11.8 (Rev. CoP13) be maintained, and that Decision 16.93 be included in the Resolution (see SC66 Sum. 9 (Rev. 1)).
f) a mapping of the CITES Strategic Vision 2008-2020 objectives and the Aichi Targets within the Strategic Plan for Biodiversity 2011-2020, documented in Annex 3 of document SC66 Doc 30.2, was noted; and is available on the CITES website;

g) revisions to the CITES Strategic Vision indicators documented in Annex 2 of document SC66 Doc 30.2, were noted. The revised set of indicators is available on the CITES website;

h) following an options analysis, a draft Decision relating to publication of the CITES Strategic Vision Indicators is proposed in Annex 5 of this document as Decision 17.BB;

i) this document and the links to previous documents / discussions provides the report anticipated.

11. In addition to implementation of Decision 16.44, the Working Group responded to paragraph o) of document SC65 Com.4, a recommendation of the Working Group on Asian big cats subsequently agreed by SC65, which states:

   o) requests the Working Group on Special Reporting Requirements to consider all reporting requirements for individual species and devise a template which would form the basis for consistent reporting across species;

12. SC66 adopted guidance and a template for species-specific reports (slightly amended from Annexes 7 and 8 of document SC66 Doc 30.2); the Secretariat made the guidance available to Parties on 5 February 2016 via Notification to the Parties No. 2016/004; the template and the guidance are available on the CITES website.

Decision 16.45

13. Decision 16.45 was directed to the Animals and Plants Committees:

   The Animals and Plants Committees, with the assistance of the Standing Committee Working Group on Special Reporting Requirements and the Secretariat, shall undertake the following actions at their 27th meeting (AC27) and 21st meeting (PC21), respectively:

   a) review the special reporting requirements identified by the Standing Committee Working Group on Special Reporting Requirements which relate to animals and plants, respectively;

   b) assess whether any of these reporting requirements are still current and valid, or whether they are outdated or otherwise unnecessary and can be considered for deletion; and

   c) advise the Standing Committee Working Group on Special Reporting Requirements of the results of the review and assessments mentioned in paragraphs a) and b) above, in a timely manner, so that it can provide a collated report on valid reporting requirements for the 65th meeting of the Standing Committee (SC65).

14. During the Joint sessions of the 27th meeting of the Animals Committee and 21st meeting of the Plants Committee, reporting requirements relevant to them were reviewed, and recommendations made. These recommendations were incorporated into the discussions and recommendations made by the Working Group in its discussions in the margins of SC65, during which the Working Group made recommendations on which reporting requirements which should be maintained or deleted. At its 65th meeting, the Standing Committee agreed with the recommendations of the Working Group.

Decision 16.46

15. Decision 16.46 was directed to the Secretariat, information on its implementation is provided in Document CoP17 Doc. 35.2. The Working Group on Special Reporting Requirements has contributed to implementation of the following parts of Decision 16.46:

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b) identify potential financial and other resources for publishing the outcomes resulting from implementation of the CITES Strategic Vision and its indicators;

At SC66 the Standing Committee agreed with the recommendation from the Working Group on Special Reporting Requirements that publication of the Strategic Vision indicators should be undertaken using a mid-range approach whereby an analysis of progress against all indicators is undertaken and reported in a clear and simple manner. A draft Decision to implement this recommendation is proposed in Annex 5 of this document as Decision 17.BB.

d) develop a special report format for use by Parties under Decision 16.43 to provide statistical information for the calendar year 2013 on: administrative measures (e.g. fines, bans, suspensions) imposed for CITES-related violations; significant seizures, confiscations and forfeitures of CITES specimens; criminal prosecutions or other court actions; and disposal of confiscated specimens;

The Secretariat consulted with the Chair of the Working Group on the format and analysis of the special report, which was circulated in Notification to the Parties No. 2014/050, as reported in paragraph 6 above.

e) collate for the 66th meeting of the Standing Committee a list of the currently valid reporting requirements under the Convention and advise on appropriate mechanisms for their implementation;

Following SC66, the Secretariat consulted the Chair of the Working Group before updating the list of reporting requirements and making the list available on the CITES website.

Decision 14.41 (Rev. CoP16)

16. Decision 14.41 was directed to the Standing Committee: The Standing Committee shall:

a) taking into consideration the findings of the Plants Committee, determine whether it is possible to streamline the reporting of trade in artificially propagated Appendix-Il plants; and

b) report on its findings at the 17th meeting of the Conference of the Parties and submit draft wording to amend Resolutions concerned, where appropriate.

17. The Committee received the report from the Plants Committee required under Decision 14.40 (Rev. CoP16) and taking it into consideration, concluded that it was not possible to streamline the reporting of trade in artificially propagated Appendix-II plants at this time. Consequently the Committee recommends that Parties continue to report trade in artificially propagated Appendix-II plants at the species level consistent with the Guidelines for the preparation and submission of CITES annual reports when possible, taking into account data entry capacity and in consideration of conservation priorities such as the value in species level reporting for new species in trade.

Decision 16.67

18. Decision 16.67 was directed to the Standing Committee:

The Standing Committee, assisted by the Secretariat, and in consultation with interested Parties, GRASP, the Convention on the Conservation of Migratory Species of Wild Animals, the Food and Agriculture Organization of the United Nations, the Animals Committee and other bodies as appropriate, review Resolution Conf. 13.4 (Rev. CoP16), with a view to establishing an illegal trade reporting mechanism, and present a summary of its consultations and its recommendations at the 17th meeting of the Conference of the Parties.

19. The Standing Committee agreed that reporting on illegal trade in great apes proposed in Decision 16.67 should be part of the illegal trade report referred to in paragraph 10e above.

Recommendations

20. The Conference of the Parties is invited to:
a. amend the Resolutions in Annexes 1 – 4 of this document in order to delete reporting requirements that are no longer needed; and

b. adopt the draft decisions in Annex 5 of this document.

Annexes

21. This document is supported by six annexes:

- Annex 1. Proposed amendments to Resolution Conf. 8.13 (Rev.) on Use of coded-microchip implants for marking live animals in trade;
- Annex 3. Proposed amendments to Resolution Conf. 11.11 (Rev. CoP15) on Regulation of trade in plants;
- Annex 6. Tentative budget and source of funding for the implementation of draft resolutions or decisions.
COMMENTS OF THE SECRETARIAT

1. The Secretariat recommends that the Conference of the Parties adopts the amendments to Resolutions presented in Annexes 1, 3 and 4 of the present document and the two draft Decisions in Annex 5.

2. With respect to the proposal in Annex 2, in the new text for paragraph c), after the words “investigations to take place;”, the Secretariat suggests inserting the words “where appropriate, make full use of the Ecomessage of INTERPOL and existing law enforcement networks, including the World Customs Organization;”. With this amendment, the Secretariat recommends that the Conference of the Parties adopts the proposal made in Annex 2 of the present document.

3. In view of its potential significance and the fact that the Standing Committee recommends that it be mandatory, the Secretariat suggests that the Conference of the Parties should acknowledge the existence of the new annual illegal trade report. This could be done through the insertion of new third and fourth operative paragraphs in Resolution Conf. 11.17 (Rev. CoP16) on National reports, as follows:

URGES all Parties, commencing in 2017, to submit an annual illegal trade report by 31 October each year covering actions in the preceding year and in accordance with the report format distributed by the Secretariat, as may be amended by the Secretariat from time to time with the concurrence of the Standing Committee.

DIRECT the Secretariat, unless otherwise specified by the reporting Party, to share the data collected in the annual illegal trade report with the members of the International Consortium on Combating Wildlife Crime (ICCWC), to allow data to be used in ICCWC global research and analysis studies on wildlife and forest crime.

4. There is presently no provision for the collation of the annual illegal trade reports submitted by Parties. Consequently, the Secretariat recommends that the Conference of the Parties adopts the following draft Decisions on this matter:

Directed to the Secretariat

17.A The Secretariat shall engage with appropriate bodies, such as, but not limited to, UNEP-WCMC and/or UNODC, regarding the establishment of a sustainable global framework to store and manage illegal trade data collected through the Parties’ annual illegal trade reports, including identifying the associated cost implications and how such costs could be met, and report to the Standing Committee with its findings and recommendations.

DIRECT the Standing Committee

17.B The Standing Committee shall review the findings and recommendations of the Secretariat reported under Decision 17.A and prepare its own findings and recommendations for the consideration of the 18th meeting of the Conference of the Parties.

5. The Secretariat also recommends that the Conference of the Parties recognizes the Guidelines for improving species specific reporting requests by CITES working groups and the Template for species based reporting adopted by the Standing Committee and referred to in paragraph 12 of the present document. This could be done by the insertion of an additional sentence at the end of paragraph d) in the first RESOLVES of Resolution Conf. 11.1 (Rev. CoP16) on Establishment of committees thus:

Working groups should use the Guidelines for improving species specific reporting requests by CITES working groups and the Template for species based reporting as adopted and amended from time to time by the Standing Committee and distributed by the Secretariat.

6. Following the completion of the work described in the present document, the Secretariat recommends that the Conference of the Parties deletes the following Decisions: 14.40 (Rev. CoP16), 14.41 (Rev. CoP16), 16.43, 16.44, 16.45 and 16.67.
PROPOSED AMENDMENTS TO RESOLUTION CONF. 8.13 (REV.)

USE OF CODED-MICROCHIP IMPLANTS FOR MARKING LIVE ANIMALS IN TRADE

NB: Text to be deleted is crossed out. Proposed new text is underlined.

... THE CONFERENCE OF THE PARTIES TO THE CONVENTION ...

DIRECTS:

a) the Secretariat to consult regularly with the ISO Central Secretariat on this subject, and to urge it to resolve current problems with standards ISO 11784 and ISO 11785; and

b) the Management Authority of each Party to inform all known manufacturers of microchip implants and associated equipment on its territory about the present Resolution, urge them to strive towards the production of compatible equipment that can be applied universally and ask them for information about their products compatible with CITES needs; and to advise the Secretariat about the results, for the information of the Parties;

be) the Animals Committee to monitor developments in microchip-implant technology and application techniques and to advise the Secretariat about such developments, for the information of the Parties.

Note item c) above renumbered to b) to account for deletion of the original item b).
PROPOSED AMENDMENTS TO RESOLUTION CONF. 11.8 (REV. CoP13)

CONSERVATION OF AND CONTROL OF TRADE IN THE TIBETAN ANTELOPE

NB: Text to be deleted is crossed out. Proposed new text is underlined.

... THE CONFERENCE OF THE PARTIES TO THE CONVENTION ... 

URGES: ...

b) all countries and territories with relevant experience and technical capabilities to strengthen cooperation and the exchange of information, technology and experience with regard to education and awareness, law enforcement such as smuggling routes and methods, and techniques for the identification of parts and derivatives of the Tibetan antelope; and

c) relevant Parties to designate a contact point and to provide contact details to the Secretariat in order to establish a network to assist in the control of illegal trade in Tibetan antelope parts and derivatives, particularly shahtoosh, and, where appropriate to make full use of the ECO-MESSAGE of ICPO-Interpol and existing law enforcement networks, including the World Customs Organization.

c) all Parties immediately bring every seizure of illegal Tibetan antelope wool and its products made within its territory to the attention of authorities in countries of origin, transit and destination, as applicable, and to the attention of the Secretariat; provide available associated information on the seizure to enable follow-up investigations to take place; and report to the Secretariat the progress of follow-up investigations.

Note: New paragraph c) is a copy and paste of Decision 16.93 with a minor revision to fit the format of Resolutions, and is incorporated to implement the agreement at SC66 that the decision be incorporated into the Resolution (see SC66 Sum 9 (Rev.1)).
REGULATION OF TRADE IN PLANTS

NB: Text to be deleted is crossed out. Proposed new text is underlined.

... THE CONFERENCE OF THE PARTIES TO THE CONVENTION ...

Regarding education about plant conservation through CITES

RECOMMENDS that:

...

c) Parties develop and maintain a good liaison with national plant-trade organizations, to inform them about all aspects of the implementation of CITES for plants, and to communicate to the Secretariat specific implementation problems presented by these national organizations, for consideration by the Plants Committee;

...
PROPOSED AMENDMENTS TO RESOLUTION CONF. 12.7 (REV. CoP16)

CONSERVATION OF AND TRADE IN STURGEONS AND PADDLEFISH

NB: Text to be deleted is crossed out. Proposed new text is underlined.

... THE CONFERENCE OF THE PARTIES TO THE CONVENTION ...

RECOMMENDS, with regard to regulating trade in sturgeon products, that:

... h) Parties supply to UNEP-WCMC copies of all export permits and re-export certificates issued to authorize trade in caviar, no longer than one month after they have been issued, for inclusion in the UNEP-WCMC caviar trade database;

h) Parties consult the UNEP-WCMC caviar trade database prior to the issuance of re-export certificates;

i) where available, Parties use the full eight-digit Customs code for caviar, instead of the less precise six-digit code which also includes roe from other fish species;

j) Parties implement the universal labelling system for caviar outlined in Annexes 1 and 2 and importing Parties not accept shipments of caviar unless they comply with these provisions; and

k) caviar from different Acipenseriformes species not be mixed into a primary container, except in the case of pressed caviar;

...

Note items i) to l) above renumbered to h) to k) to account for deletion of the original item h).
Directed to the Secretariat:

Decision 17.AA: DIRECTS the Secretariat to maintain a list of reporting requirements and continue to make the information available on the CITES website in a timely and easily accessible manner.

Decision 17.BB: DIRECTS the Secretariat, in advance of the 18th Conference of the Parties, and subject to the availability of external funds, to prepare an analysis, including, if possible, a regional breakdown, of progress towards the CITES Strategic Vision: 2008-2020 based upon the reports of Parties under Article VIII paragraph 7 (a) and (b), and other information as appropriate.
TENTATIVE BUDGET AND SOURCE OF FUNDING
FOR THE IMPLEMENTATION OF DRAFT RESOLUTIONS OR DECISIONS

According to Resolution Conf. 4.6 (Rev. CoP16) on Submission of draft resolutions, draft decisions and other documents for meetings of the Conference of the Parties, the Conference of the Parties decided that any draft resolutions or decisions submitted for consideration at a meeting of the Conference of the Parties that have budgetary and workload implications for the Secretariat or permanent committees must contain or be accompanied by a budget for the work involved and an indication of the source of funding. The authors of this document propose the following tentative budget and source of funding.

With respect to the amendments to Resolutions in Annexes 1 - 4 of this document, there should be no financial implications as the amendments are to restrict rather than extend the Resolutions by removing reporting requirements that are no longer needed.

With respect to the draft decisions in Annex 5:

Decision 17.AA will have some staff time implications for the Secretariat, but should be viewed as a core requirement in terms of understanding what information the Convention is requesting from Parties, and maintaining that list so Parties can respond efficiently and effectively.

Decision 17.BB is subject to the provision of external funds and does not therefore require core funds to be spent. Supervision of the work will require some time from the Secretariat, but should be a core part of the Secretariat’s work in terms of understanding how the Convention is progressing against its Strategic Vision. There is after all little point in having a list of indicators for the CITES Strategic Vision if they are not implemented.