



**Elephant Trade Information System (ETIS)**

**ETIS Data Request Form and User Agreement for Research Collaborations**

I. *Please complete this form fully.*

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**For ETIS to fill out:**

**Date sent to MIKE-ETIS Subgroup:**

**Result:**            **Approved:**            **Rejected:**

**Date of Approval/Rejection:**

**II. Please list and describe the data that you would like to obtain from ETIS. To the extent possible, and with reference to the ETIS Data Collection Form, cite the specific fields that will be needed for research purposes, as well as the time period and the geographical scope that will be examined in the research project.**

- **Time coverage**

1989-2018

To ensure consistent and robust analysis, and understand possible variations in trafficking trends, routes and changes in the criminals' *modus operandi* overtime, UNODC requests information on individual (not aggregated) seizures for all years available, with the understanding that this is from 1989 through 2018.

- **Geographical scope**

Global coverage.

- **Fields/variables requested**

UNODC kindly requests fields 1 to 21 of the data collected (field numbers referring to the "Ivory and elephant product seizure data collection form" provided by TRAFFIC).

UNODC kindly requests also ETIS database metadata, with detailed descriptions of the information provided by the CITES parties. In particular, UNODC is interested to have information that clarifies if:

- *Country of origin* was interpreted as country of origin of the consignment or was interpreted as country of origin of the seized species. In case information on both is available in the ETIS database, UNODC would kindly request all information.
- *Country of export/re-export* includes all countries of export-re-export, or only the last transit country before destination.

**III. Please outline the proposed research collaboration, describing how the data will be used and why it is required. Please note that such data will only be released if the MIKE-ETIS Subgroup (MESG) of the CITES Standing Committee agrees that the release of the data will not violate existing agreements with the data providers and the ETIS Data Access Policy, the intended use will support elephant conservation, and limitations with the data source will be fully recognized.**

ETIS data will be used to supplement and validate the CITES Annual Illegal Trade Report (AITR) data collected from the CITES secretariat (UNODC collects and maintains the AITR data from 2016 on). UNODC will conduct analyses of trends and patterns in the seizure data, to be included in the forthcoming World Wildlife Crime Report (WWCR) and in an assessment of the illicit financial flows associated with the illegal markets for elephant ivory and rhino horn.

UNODC conducts research on wildlife and forest crime, which is mandated by two ECOSOC resolutions and several General Assembly resolutions. UNODC supports "international strategy and programme development" against transnational organized crime threats by "developing global analyses of the threats and modalities of transnational organized crime, studying new forms and dimensions of transnational organized crime and analysing new and emerging challenges, in order to support evidence-based policy guidance" (ECOSOC Resolution 2012/19). ECOSOC

Resolution 2013/40, requested UNODC to research “organized crime networks involved in the illicit trafficking of specific protected species of wild fauna and flora, their parts and derivatives”.

In 2015, the United Nations General Assembly requested UNODC to “continue to collect information on the patterns and flows of illicit trafficking in wildlife and to report thereon,” (A/RES/69/314). The General Assembly renewed this mandate in 2017 in the annual wildlife crime resolution (A/RES/71/326), specifying a biennial reporting period.<sup>1</sup> UNODC launched the first World Wildlife Crime Report (WWCR) in 2016, an update of the WWCR is scheduled for early 2019.

ETIS data will be used under these mandates supporting the aforementioned outputs. UNODC research provides its Member States an evidence base for international and national policy making. As such, data is used under the mandates above, with the aim to provide an evidence base to combat all forms of illicit trafficking of specific protected species of wild fauna and flora, their parts and derivatives in the context of organised crime.

**IV. *The release and use of ETIS data is subject to acceptance of the following conditions and constitutes a non-disclosure confidentiality agreement between the data recipient and TRAFFIC:***

- i. **The recipient of ETIS data agrees to abide by the ETIS Data Access and Release Policy (Annex I). In particular UNODC agrees that**  
*“any such data relating to a CITES Party will be accessible to that Party for information and review purposes, but will not be released to any third party without the consent of the Party concerned; data may also be released to contractors (e.g. statisticians) or other researchers (e.g. MIKE ETIS Subgroup-approved research collaborations) under appropriate non-disclosure agreements.”*  
**and to keep such data strictly confidential, including beyond the reach of Freedom of Information requests, and only for use consistent with the purposes agreed in the context of this agreement.**
- ii. **All data provided by ETIS to the recipient remain the property of their respective owners and shall not be shared with or passed on to any third party.**
- iii. **In terms of use or presentation externally, approved summarized or aggregated data may be used publicly, ~~following the procedures outlined below~~, but case records of the ETIS data are not to be disclosed publicly or otherwise given to or**

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<sup>1</sup> A/RES/71/326, paragraph 28: Requests, in this regard, the United Nations Office on Drugs and Crime, within its mandate and resources, in line with Economic and Social Council resolution 2013/40 and in close cooperation and collaboration with Member States, to continue and to strengthen the collection of information on patterns and flows of illicit trafficking in wildlife and to report thereon biennially.

shared with any third party, unless previous consent is received from the data owner.

- iv. UNODC will treat the data following the Fundamental Principles of Official Statistics (A/RES/68/261 from 29 January 2014) approved by the General Assembly and the Principles Governing International Statistical Activities ([https://unstats.un.org/unsd/ccsa/principles\\_stat\\_activities/](https://unstats.un.org/unsd/ccsa/principles_stat_activities/)) with particular reference to principles 4, 5, 6 and 9. UNODC's analysis of the data are conducted on the basis of professional impartiality and transparent methodologies (see UNODC's Thematic Programme on Research, Trend Analysis and Forensics<sup>2</sup>)
- v. Before the release of any output (including aggregate data and analyses), UNODC will submit the underlying ETIS data together with all other data to the review by the respective data owners.
- ~~vi. The recipient of the ETIS data agrees that, prior to submission, publication or dissemination of any output containing any presentation, analysis, alteration or manipulation of data extracted from ETIS, he/she must submit to TRAFFIC (the manager of ETIS), for review and comment, a final draft of all materials, including reports, manuscripts, presentations or other products intended for dissemination. As appropriate, the MIKE-ETIS Technical Advisory Group may be requested to review and comment on any such submissions as they pertain to the ETIS data.~~
- ~~vii. In the event that any violations of the ETIS Data Access Policy or this agreement are found in the materials under review pursuant to paragraph iv. above, such instances will be notified to the recipient of the ETIS data in writing and must be modified or removed from the materials prior to publication or public dissemination.~~
- ~~viii. In the event that there are no violations of the ETIS Data Access Policy or this agreement found in the materials under review pursuant to paragraph iv. above, a letter of approval from TRAFFIC will be sent to the recipient of the ETIS data stating that there is no objection to publication or public dissemination of the ETIS data as presented.~~
- ~~ix. In the event that violations of the ETIS Data Access Policy or this agreement are found to have occurred without benefit of the process described in paragraphs iv., v. and vi. above, the issue will be brought to the attention of the MIKE-ETIS~~

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<sup>2</sup> [https://www.unodc.org/documents/data-and-analysis/Thematic\\_Programme.pdf](https://www.unodc.org/documents/data-and-analysis/Thematic_Programme.pdf)

~~Subgroup and this agreement will be terminated. As a result any further use of the ETIS data will be prohibited.~~

- x. Any ETIS data used in papers, publications, reports or any other output will be given proper acknowledgement as described in Annex 2.
- xi. TRAFFIC will be provided with two copies of any document or output in which ETIS data has been used.
- xii. The decisions of the MIKE-ETIS Subgroup will be accepted as final ~~and binding.~~

I hereby offer the above conditions for collaboration between TRAFFIC and UNODC

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

I hereby agree to the above conditions.

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Institutional Stamp:

## **Annex 1: ETIS Data Access and Release Policy**

The MIKE-ETIS Data Access and Release Policy is found in Resolution Conf. 10.10 (Rev. CoP17), sub-section '*Regarding monitoring the illegal killing of elephants and trade in elephant specimens*', paragraph g and states the following:

***summaries and aggregates of data provided to MIKE and ETIS, and the analyses of such data, constitute information that will be considered to be in the public domain once they are published on the CITES website, or otherwise publicly distributed; the detailed data on individual seizure cases, elephant mortalities and law enforcement submitted to MIKE or ETIS are owned by the respective data providers, which in most case are the CITES Parties; any such data relating to a CITES Party will be accessible to that Party for information and review purposes, but will not be released to any third party without the consent of the Party concerned; data may also be released to contractors (e.g. statisticians) or other researchers (e.g. MIKE ETIS Subgroup-approved research collaborations) under appropriate non-disclosure agreements.***

As approved at the 17<sup>th</sup> meeting of the CITES Conference of the Parties (Johannesburg, October 2016)

## **Annex 2: Proposed Citation**

**ETIS data were provided by TRAFFIC and used pursuant to a collaborative agreement approved by the MIKE-ETIS Subgroup of the CITES Standing Committee.**