



### NOTIFICATION TO THE PARTIES

No. 2023/114

Geneva, 18 September 2023

CONCERNING:

Comments on the Review of Significant Trade Tracking and Management System

- 1. In Notification to the Parties No. 2023/022 of 2 March 2023, the Secretariat announced the launch of the Review of Significant Trade Tracking and Management System (<u>RST Management System</u>), pursuant to Decision 17.108 (Rev. CoP18) and invited Parties and stakeholders to provide feedback on the system.
- 2. As a further development, the Secretariat is pleased to announce that the RST Management System and the user guides (a user guide for public users and a second user guide for Parties with login access annexed to this Notification) are now available in English, French and Spanish.
- 3. At its 32nd meeting (Geneva, June 2023), the Animals Committee requested the Secretariat to publish a second Notification to the Parties inviting feedback on the Review of Significant Trade Tracking and Management Database.
- 4. The Secretariat reiterates its invitation to Parties to provide any feedback on the RST Management System and the draft user manuals by **31 October 2023**. Please send your feedback to Ms. Dejana Radisavljevic (radisavljevicd@un.org).

Secretariat of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)

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# CITES REVIEW OF SIGNIFICANT TRADE MANAGEMENT SYSTEM - GENERAL USER MANUAL

Date: September 2023

Secretariat of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)

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## **1. INTRODUCTION**

This User Manual is designed as an aid to understanding the CITES Review of Significant Trade Management System and the information it contains.

The CITES Review of Significant Trade (RST) process is a CITES compliance process intended to ensure that trade in Appendix-II species is conducted sustainably and in accordance with Article IV of the Convention, and to identify where remedial action is needed (Res. Conf. 12.8 (Rev. CoP18)). A summary of the RST process as outlined in Res. Conf. 12.8 (Rev CoP18) is provided in Annex 1 to this guidance.

Decision 17.108 (Rev. CoP18) requested the Secretariat to develop, test and establish a Review of Significant Trade Tracking and Management database as an essential tool for the effective implementation and transparency of the process. The Review of Significant Trade Management System was developed by the United Nations International Computing Centre (UNICC) and can be accessed from: <u>rst.cites.org/public</u>. During development, the Secretariat also convened and consulted a Technical Advisory Group (comprising Parties that have been subject to the Review of Significant Trade, individuals with experience in database development and use, as well as representatives of interested non-governmental organizations) on the requirements of the tracking and management system. Initial data on case information was input into the database by UNEP-WCMC, and the case information is maintained by the CITES Secretariat.

The Review of Significant Trade Management System tracks the progress of species-country combinations for the Parties that have been selected for review, through the stages of the Significant Trade Review process. The database contains all cases that were ongoing at the time of the 74<sup>th</sup> meeting of the Standing Committee (SC74, Lyon, March 2022), including cases where a Standing Committee recommendation to suspend trade on the basis of the RST was in place, and any cases which subsequently entered the RST process. It does not comprehensively include the historical RST cases that were closed before SC74.

For each case, the database includes the following information which is publicly accessible: a summary of the case details and status, any recommendations of the relevant CITES Committee (Animals Committee, Plants Committee and Standing Committee) directed to the Party, a record of meetings, an activity log of all actions relating to the case, and a document repository, containing all AC/PC/SC documents. The system thus allows progress on a case to be tracked through the different stages of the RST process.

In addition, the system also provides a portal for Parties that are subject to the RST process to communicate with the CITES Secretariat on progress in the implementation of recommendations directed to them; these functionalities are confidential and only accessible via a login. Any Party that is subject to the RST process will need login details to access the confidential pages. A separate guidance document for Parties with cases in the RST process is available.

Note that the user view may differ from the screenshots in this guidance due to differences in screen size.

## 2. NAVIGATION

On the landing page, you have the option to Search for specific cases on a number of criteria, view the list of all ongoing cases (including cases which are subject to a Standing Committee recommendation to suspend trade), or log in to access the confidential features of the management system (Parties with cases in the RST process only, see separate guidance) (Figure 1).

	Search the dat specific case of criteria below	abase for a using the				Log in to access confide features of the managem	ntial
CIES	Review of Significant Trade Management System	Search Revi	ew list	View the list of all ongoing cases		system (Parties only)	O Login
	Search Filter by specie Filter by Specie	Advanced Searc	h		•		
	Filter by phase.						1 CAR
	Filter by countr	ý	•	Filter by stage	•	也修著	
	Current Action		_				
		Reset		Apply			
Ret					1- A		

Figure 1. Overview of the landing page for the Review of Significant Trade Management System

#### 2.1. Search for cases

You will see by default the <u>basic search</u> that contains some of the fields by which you can refine your search:	Search Advanced Search	*
Species	Filter by species	•
<ul> <li>Common name</li> <li>Phase (paragraph in the Resolution)</li> </ul>	Filter by Species common Name	•
<ul><li>Country</li><li>Stage</li></ul>	Filter by phase	•
<ul> <li>Current Action (In progress/completed)</li> </ul>	Filter by country	ter by stage
<ul> <li>Case Status (closed/ initiated/ongoing/retained/tr ade suspension)</li> <li>Deadline (missed/met)</li> <li>Specific time frame (from a specified date to another)</li> </ul>	Current Action	Apply
An <u>advanced search</u> allows to filter by:		
Kingdom	Search Advanced Search	
Meeting at which a case     was selected for inclusion in	Filter by kingdom	Filter by meetings
<ul><li>the RST process</li><li>Higher Taxonomy</li></ul>	Taxonomy Filter by phylum	Filter by class
Categorisation (Least Concern/Possible Concern	Filter by order	Filter by family
/Urgent Concern/Priority Species for cases selected	Categorization Action Is Needed Exceptional Case Least Concern Less Con	com N/A Other Possible Concern
Concern /Action is Needed	Reset	Apply
/Exceptional Case for cases		
<ul> <li>Committee which selected the taxon for inclusion (AC/PC/SC)</li> </ul>		
Removal reason for closed cases		
• <b>Decision Type</b> (suspended /restricted/allowed /conditional depending on whether any trade might be permitted)		
• Terms of trade (all/commercial/wild /exceptions if the Decision type allows or partially allows trade)		

#### To obtain a list of cases for a country:

Select the country from the 'Filter by country' drop-down (Figure 2.1a), then click 'Apply'. Remember to select the desired case status(es) from the Case status field if you want to see Closed, Retained or Initiated cases as well, as the list is automatically filtered to return cases with the status "Ongoing" and "Trade suspension" only (Figure 2.1a). Note that if you reset the filters, you may need to refresh the page for the case list to return to its default view.

Filter by Species	common Name		
	common Namo		•
Filter by phase			•
GHANA 🐼	Filter by country	✓ Filter by stage	•
	r nor by oound jiii		
Current Action			
Current Action	Completed		
Current Action In Progress	Completed		
Current Action In Progress Case Status Closed	Completed	Retained <b>V</b> Trade Suspension	

Figure 2.1a Example filter parameters (search parameters: cases from Ghana with status 'Ongoing' and 'Trade suspension')

Country	Species scientific name	Common Name	Meeting	Recommendations	Status	More
GHANA	Chamaeleo gracilis	Slender Chameleon	AC25	i	Trade Suspension	•
GHANA	Chamaeleo senegalensis	Senegal Chameleon	AC25	i	Trade Suspension	•
GHANA	Pandinus imperator	Emperor Scorpion	AC24	i	Trade Suspension	•
GHANA	Pterocarpus erinaceus	Kosso		I	Ongoing	•
•						
				Items per page: 20	▼ 1-4 of 4	< >

Figure 2.1b Example filtered case list

#### 2.2. Review list/search results

The Review list option or, if having performed a search, the search results, provide each taxon/country combination as a separate record, displaying the country, species scientific and common name, the meeting at which the taxon/country combination was selected, a link to the recommendations for the case (if any), the case status, the stage in the RST process in which the case currently is, the date of trade suspension (if relevant), the deadline for the latest action

needed to progress the case in the RST process, and a 'More' option which allows to open or download details of the case (Figure 2.2).

Below the table, you can see the total number of cases corresponding to your search and navigate between pages.

	Search Results Search > Search Results									
- Back										
Country	Species scientific name	Common Name	Meeting	Recommendations	Status	Stage	Date of trade suspension	Deadline	More	
ALGERIA	Anguilla anguilla	Eel	AC29	I	Ongoing	Stage 4		13-Nov-2022	:	
BELIZE	Myrmecophila tibicinis		PC15	i	Trade Suspension	Stage 4	15-Jun-2010	10-Apr-2022	:	
BENIN	Chamaeleo gracilis	Slender Chameleon	AC25	=	Trade Suspension	Stage 4	03-Feb-2016	10-Apr-2022	:	
BENIN	Kinixys homeana	Home's Hinged-backed Tortoise	AC25	=	Trade Suspension	Stage 4	03-Feb-2016	10-Apr-2022	:	
BENIN	Pandinus imperator	Emperor Scorpion	AC24	=	Trade Suspension	Stage 4	02-May-2013	31-Dec-2099	:	
BENIN	Chamaeleo senegalensis	Senegal Chameleon	AC25	=	Trade Suspension	Stage 4	03-Feb-2016	10-Apr-2022	:	
BENIN	Pterocarpus erinaceus	Kosso		=	Ongoing	Stage 4		31-Dec-2099	:	
BURKINA FASO	Pterocarpus erinaceus	Kosso			Ongoing	Stage 4		31-Dec-2099	:	
CAMEROON	Trioceros montium	Mountain Chameleon	AC27	🔳 Details of	a case can be	e opened	l by clicking either	of these ico	ons	
CAMEROON	Prunus africana	African Cherry	PC21		Ongoing	Stage 4		10-Apr-2022	:	
			• s vi: • t	Select number o sible per page Navigate betwee	f items en pages	Iter	ms per page: 20 👻	L – 20 of 85 🛛 🔇	>	

Figure 2.2. Overview of the cases list: how to navigate in the table and access details of a case

Important: The case list is automatically filtered to show only cases with the status "Trade Suspension" and "Ongoing". The search tool can be used to show additional cases which have been Closed, Retained, or Initiated.

## **3. CASE RECORD**

From the main page, you can open any record by clicking on its Recommendations icon or 'Open detail' under 'More' (see Figure 2.2).

Once a case is opened, at the top is a summary of the case details, split into two boxes: a case overview, and the latest action for the case (these may appear side by side or one below the other depending on your screen size). Below this summary are four tabs detailing:

- the recommendations of the relevant CITES Committee directed to the country,
- records of meetings
- activity log of all actions relating to the case,
- and a **document** repository, containing all AC/PC/SC documents relevant to the case, and letters between the CITES Secretariat and the Party

#### 3.1. Case summary

At the top are two boxes providing a summary of the key information for the case. Here we use the example of *Pericopsis elata* from Côte d'Ivoire to visualise the possible options for each field (Figure 3.1a and b).



Figure 3.1a Case overview (example case: *Pericopsis elata* from Côte d'Ivoire)



Figure 3.1b Summary of latest action

In this example for *P. elata* from Côte d'Ivoire (Figure 3.1), the current **Status** of the case in box a) is "Trade Suspension". However, other options for the status could include: "initiated", "retained", "closed" or "ongoing". The **Trade Suspension** field lists the date at which the suspension started, if relevant. Accordingly, for *P. elata*, the **Decision type** is "suspended", but other alternatives could be "restricted", "allowed" or "conditional" depending on whether any trade might be permitted. If trade is allowed, then the **Terms of trade** may be specified. Here there are none, given the suspension, but other possible options are: "all", "wild", "commercial", and "exceptions".

The categorisation and the latest action for the case is summarised in the second box (b) (Figure 3.1b). The **Categorisation** details the conclusion by the Animals or Plants Committee on whether the case needs to progress from the initial stage, and may be "Least Concern", "Possible Concern", "Urgent Concern", "Priority Species" for cases selected prior to CoP17, or

"Less Concern", "Action is Needed", "Status is Unknown", "Exceptional Case" for cases selected at CoP17 or later. The box further provides:

- **Current action:** the most recent (completed or pending) action in the activity log (in the case of *P. elata*, the Secretariat notifies the Parties of the SC recommendation to suspend trade).
- **Current stage:** this reflects the corresponding stage and paragraph of the RST process for the action, including the relevant revision of Res. Conf. 12.8.
- Action required by: this provides the user group that needs to complete the current action: either the Secretariat, Animals/Plants/Standing Committee or a Party (in this case, the Secretariat).
- **Deadline:** The deadline set for completion of the current action; note that where a deadline was not specified at the relevant Animals/Plants/Standing Committee, a deadline of the 31<sup>st</sup> December 2099 has been set as an arbitrary date in the RST tracking system.
- The **Status** indicates whether the action is complete, and the **Completed on** specifies the date.

#### 3.2. Recommendations tab

Case recommendations are entered by the Secretariat and can be viewed in the 'Recommendations' tab in the case detail. Recommendations are listed chronologically, with those formulated by the AC/PC appearing first, followed by any recommendations transmitted to Parties by the Standing Committee. For example, the recommendations directed to Côte d'Ivoire for *Pericopsis elata* are provided in Figure 3.2 below.

Recommendation	s Correspo	ndence Records of meetings	Activity log	Documents					
Туре	Deadline	Action				Justification	Status	Attachment	Quota
Short Term	08-Sep-2011	The Management Authority should se quotas on the CITES website. Before the level of trade is not detrimental to v	a zero quota and inform t rade resumes the Manag rild populations.	he CITES Secretariat so that it can t ement Authority should clarify with t	be included in the national expo he Secretariat how it determines	rt s that	Not Implemented	Û	0
Long Term	31-Dec-2099	The Standing Committee, at its 62nd r country demonstrates compliance wit regarding compliance with recommen	neeting, recommended th n Article IV, paragraphs 2 ( dation of the Plants Comm	at all Parties suspend trade in speci a) and 3, for this species, and provid nittee.	mens of P. elata from CI until the des full information to the Secret	at Recommendation to suspend trade maintained at SC66, SC70 and SC74	Implemented	Û	
							Items per page: 20 🔻	1-3 of 3	< >

Figure 3.2. Overview of the fields in the recommendations tab (example case: *Pericopsis elata* from Côte d'Ivoire)

The following information is summarised in the recommendations tab:

- **Type:** The category of the recommendation, as specified in the document which set the recommendations: Short term (e.g. 6 months), Long term (e.g. 2 years), or Final.
- **Deadline**: The deadline for the implementation of the recommendation, as indicated in the relevant AC/PC document<sup>1</sup>. For recommendations for which there is no specified deadline, such as trade suspensions, a deadline of 31 December 2099 has been added to the system.
- Justification: Any additional information or context. For example, to note that a recommendation was determined to be no longer relevant by the Standing Committee, or

<sup>&</sup>lt;sup>1</sup>The Standing Committee may agree to change the deadline of recommendations; any changes to a recommendation deadline will be noted as a separate recommendation by the Standing Committee, rather than the original deadline being edited.

if the recommendation to suspend trade was maintained at subsequent Standing Committee meetings.

- Status: The progress against a recommendation, as determined by the Animals or Plants Committee. "Initial" is the default status of a recommendation. A recommendation may be marked as "amended" if the original recommendation was agreed to be altered at a subsequent meeting, for example, to change the deadline. Note that a recommendation will only be marked as "implemented", "partially implemented" or "not implemented" by the Secretariat at the outcome of an Animals or Plants Committee or Standing Committee meeting.
- Attachment: The meeting document which directed the original recommendation to the Party. Clicking on the paperclip symbol for an action will take you to the Document library, and the document relevant to the action will be highlighted with a grey box.
- **Quota:** Only included if the relevant AC/PC/SC recommendation specified a quota.

#### 3.3. Record of meetings tab

This section contains all the Animals/Plants Committee, Standing Committee and Conference of the Parties documents for meetings occurring after the database was launched at the 19<sup>th</sup> meeting of the Conference of the Parties (CoP19, Panama, November 2022).

#### 3.4. Case activity log

In this tab, users can see the history of the actions for each case, listed chronologically with the most recent action first (Figure 3.4).

Recommendations	Records of meetings	Activity log	Documents			
Name				Deadline	Completed on	Attachment
Secretariat notifies	all parties of recommendations	or actions taken by SC	- Res. Conf. 12.8 (Rev. CoP18)	10-Apr-2022	12-Apr-2022	
SC reviews recomm	nendations to suspend trade in	place for over 2 years -	Res. Conf. 12.8 (Rev. CoP18)	11-Mar-2022	11-Mar-2022	
Secretariat monitor	s progress - Res. Conf. 12.8 (F	Rev. CoP18)		07-Jan-2022	07-Jan-2022	
SC reviews recomm	nendations to suspend trade in	place for over 2 years -	Res. Conf. 12.8 (Rev. CoP17)	05-Oct-2018	05-Oct-2018	
SC reviews recomm	nendations to suspend trade in	place for over 2 years -	Res. Conf. 12.8 (Rev. CoP17)	05-Oct-2018	05-Oct-2018	
SC reviews trade s	uspension recommendations lo	onger than two years and	takes appropriate measures - Res. Conf. 12.8 (R	15-Jan-2016	15-Jan-2016	
SC reviews trade s	uspension recommendations lo	onger than two years and	takes appropriate measures - Res. Conf. 12.8 (R	15-Jan-2016	15-Jan-2016	U
Sec. notifies Partie	s of recommendations/actions	of SC - Res. Conf. 12.8 (	(Rev. CoP13)	26-Aug-2012	28-Aug-2012	

Figure 3.4. Overview of the actions in the Activity log tab (example case: *Pericopsis elata* from Côte d'Ivoire)

This history includes the list of actions, the deadline for each action, when it was completed, and any relevant documents.

- As the history of a case may span different revisions of the Resolution on the Review of Significant Trade since the case was initiated, the relevant revision in place when an action was set is visible next to each action in the activity log.
- **Deadline:** Each action deadline is set by the Secretariat, based on the deadlines specified for each stage and phase in the relevant revision of the Resolution in place at the time the action was set.

- Completed on: Incomplete actions will have no date in this column. Note that the Secretariat will mark actions as complete; Parties will not be able to edit this.
- Attachment: For every record it is possible to see if any relevant documents are attached; some actions may have multiple documents. Clicking on the paperclip symbol for an action will take you to the Document library, and the document relevant to the action will be highlighted with a grey box. However, note that any letters between the Party and Secretariat will have been marked as confidential and will not be publicly viewable.

#### 3.5. Documents library

Recommendations	Records of meetings	Activity log	Documents	
Uploaded by	•			Download all documents
РС17-WG04 86 КВ	(Rev.1).pdf	PC17_summary_ 471 KB	record.pdf	PC17-08-05.pdf 314 KB
PC17-WG04 86 KB	(Rev.1).pdf	PC18-sum.pdf 409 KB		PC18-WG03.pdf 48 KB

Figure 3.5. Overview of the documents library functionalities (example case: *Pericopsis elata* from Côte d'Ivoire)

In the Documents library tab, you will be able to see a full list of the public case documents (Figure 3.5). You can filter the documents based on the different actors in a case (the Party, Secretariat, Animals or Plants Committee Chair or Standing Committee) using the 'Uploaded by' dropdown menu. It is also possible to download all public documents for the case.

#### Annex 1

STAGE ONE 1YEAR	<ul> <li>a) Sec. compiles or recruits consultants to compile trade data for possible RST sélections (90 after CoP);</li> <li>b) Species/country combinations of greatest concern are included in Stage 2 of the review process by the AC or PC at their first regular meeting following a meeting of the CoP;</li> <li>c) In exceptional cases, a species/country combination may be brought to AC/PC attention for inclusion in Stage 2 (through Sec.);</li> <li>c) In exceptional cases, a species/country combination may be brought to AC/PC attention for inclusion in Stage 2 (through Sec.);</li> <li>c) Understanding Resolution Conf. 12.8 (Rev. Conf.)</li> </ul>
STAGE TWO 1YEAR	<ul> <li>d) Sec. informs range States that their species have been selected and requests information on the scientific basis for establishing exports compliant with Article IV of the Convention (30 days after AC/ PC meeting or selection in exceptional cases). Sec. compiles report and on information provided by range State and presents it to the next AC or PC;</li> <li>e) The above-mentioned report will divide selected species/country combinations into preliminary categorisations: 'action is needed,' 'unknown status' and 'less concern;'</li> <li>f) Sec. conveys the report to range States and invites them to provide additional information for consideration at the next AC or PC;</li> </ul>
STAGE THREE 1 YEAR	<ul> <li>g) AC or PC reviews the Sec.'s report and information from range States and recategorises species/ country combinations of 'unknown status,' as well as any other preliminary categorisations as necessary.</li> <li>i. Species/country combinations of 'less concern' will be removed from the RST process and Sec. will notify the range State (within 30 days); any change of a zero quota to be communicated and justified to Sec. and AC or PC Chair;</li> <li>ii. Species/country combinations of 'action is needed' will be retained in the RST process. AC or PC to make recommendations;</li> <li>h) Sec. transmits recommendations to range States (30 days after AC or PC);</li> <li>i) AC or PC prepares separate recommendations to SC for problem cases as outlined in Annex 3 of Res. Conf. 12.8 (Rev. CoP18);</li> </ul>
STAGE FOUR ONGOING	<ul> <li>j) Sec. monitors progress;</li> <li>k) Sec. determines whether recommendations are implemented;</li> <li>i. where recommendations have been met, the Sec. notifies the range State;</li> <li>ii. where the recommendations have not been met, the Sec. recommends to SC appropriae action including possibly a trade suspension;</li> <li>iii. where the recommendations have not been met, or partially met, the Sec. requests AC or PC to revise recommendations. Sec. Informs ranfge State of revised recommendations (within 30 days);</li> <li>l) Sec. reports to SC;</li> <li>m) Where recommendations not met, SC decides on appropriate action and makes reccommendation.;</li> <li>n) Secretariat notifies all Parties of any recommendations of actions taken by SC;</li> <li>o) Recommendation to suspend trade should only be withdrawn where the range State demonstrates to SC its compliance with Article IV, paragraph 2(2), 3 or 6(a);</li> <li>p) SC reviews recommendations to suspend trade in place for over 2 years and takes measures.</li> </ul>