

CITES World

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

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CITES trade data edition Questions and Answers

From the Editor

Discussions on CITES trade always lead to the same essential questions: "What is in trade? How much is in trade? Where is it going? Is the trade sustainable?" These questions, and many more, can be answered on the basis of good information. The question, then, is does this information exist and, if it does, how can it be obtained? In this 14th issue of CITES World, we examine a valuable and under-utilized CITES resource: the trade record database. This database, managed by UNEP-WCMC on behalf of the CITES Secretariat, is a unique resource and currently holds over 5.6 million records of trade in wildlife and their products. More than 500,000 records of trade in CITES-listed species of wildlife are reported annually, as one of the basic requirements for Parties to the Convention is the preparation of annual reports detailing imports and exports of species listed in the Convention's three Appendices. And all of this information, in raw and analysed form, is available free of cost to whoever wishes it.

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Reminder

Each data record by itself tells very little, but collectively, and properly interpreted and analysed, they can tell quite a lot about levels of trade, market trends, the impact of regulatory measures and the need for implementing regulatory measures. Such analyses can assist Management and Scientific Authorities in their management of their country's wildlife trade, and facilitate the implementation of CITES.

This edition of CITES World tries to answer some questions about CITES trade data, such as how these can be interpreted and used. UNEP-WCMC provides guidance on accessing the information on-line.

We are very much in an information age, and until recently we did not have the easy access to information the Internet provides, or the instant communication that e-mail makes so convenient. The CITES website receives many thousands of visits each day, and it is now the Secretariat's primary means of providing information to Parties and interested persons. The exchange of information through 'cyberspace' has become essential for the Convention, for everything from capacity building to enforcement. In this issue, the Secretary-General writes on the positive impact new technologies have had on the evolution of the Convention.

Finally, implementing CITES means regulating trade in accordance with the provisions of the Convention, for species included in the Appendices. To keep our readers up to date with recent changes to Appendices I and II, we are again providing the outcome of the proposals to amend the Appendices that were discussed at CoP13, in a loose table.

Stephen Nash



The on-line CITES trade database

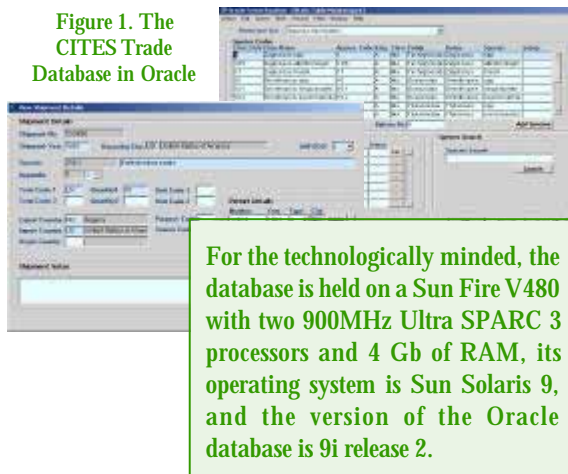
The CITES trade database

The CITES trade database is managed by UNEP-WCMC on behalf of the CITES Secretariat and currently holds 6 million records of trade in wildlife and 40,000 scientific names of taxa listed in CITES. Around 500,000 records of trade in CITES-listed species of wildlife are currently reported by CITES Parties annually and these data are entered into the CITES trade database as soon as they are received by UNEP-WCMC. CITES annual reports are the only available means of monitoring the implementation of the Convention and the level of international trade in specimens of species included in the Appendices.

The CITES trade information was recently moved to an Oracle relational database and this has enabled UNEP-WCMC to develop a Web-based interface that allows the database to be queried over the Internet.

What is very exciting is that since the on-line CITES trade database service was launched in March 2004, at the 50th meeting of the CITES Standing Committee, there have been more than 5,000 CITES trade data queries and data downloads from the UNEP-WCMC and CITES websites. This is an extraordinary increase in use from the 300 - 400 queries per year that were received previously. At the time of writing, September 2004, the new on-line database service has been accessed by CITES Management and Scientific Authorities from 27 countries, representing four of the five CITES regions. Worldwide, individuals and organizations in over 60 countries have accessed the on-line database.

Figure 1. The CITES Trade Database in Oracle



Why analyse CITES trade data?

The following are just a few of the reasons:

- To assess the levels of trade between countries and thus facilitate, over time, the analysis of trends in trade;
- To discern the most important trade in terms of volume;
- To identify major anomalies in the reporting of imports and exports;
- To identify where the levels of trade might adversely effect wild populations; and
- To ascertain whether the available data provide evidence of infractions or inadequate enforcement of CITES and national regulations.

Using the on-line CITES trade database

You can access the database via the UNEP-WCMC and CITES websites.

However, before you start using the database there are a number of things you should be aware of:

- A basic guide to interpreting outputs from the CITES trade database is available to download from the on-line Welcome Page. It is recommended that you review this before querying the database;
- It is important that your Internet browser, whether this is Internet Explorer, Netscape Navigator or any others, accepts cookies¹;
- Individual queries and data downloads from the database are currently limited to 50,000 trade records;
- The UNEP-WCMC CITES trade database team are available to provide advice and assistance at any time. They can be contacted at species@unep-wcmc.org.

Select data variables

In order to access or query the database you need to follow these steps:

1. Type either

www.cites.org/eng/resources/trade.shtml

or

<http://sea.unep-wcmc.org/citestrade>

into your web browser address field to access the CITES trade database. This will take you to the login screen as shown in Figure 2.



Figure 2. The on-line CITES trade database login screen

2. Enter your name, organization, email address, and the purpose of your query (e.g. research, CITES licensing, etc.). The information given at registration enables us to learn why and how the CITES trade database is used. By registering you will also have access to an email help facility for technical problems or specific questions about the data itself.
3. Select whether you wish to use the 'Novice' or 'Expert' version to query the database. You can switch between 'Novice' and 'Expert' modes at any time during the data selection process.
4. The 'Novice' version provides a step-wise approach to selecting your data variables. This takes you through the following screens:
 - i) **YEARS.** The earliest year for which there is CITES data is 1975 and although there are data available for 2003, the most complete recent year for data is 2002. The default is set from 1975 to 2003;
 - ii) **EXPORT and IMPORT countries.** The default setting is 'All Countries'. You can select individual or multiple countries. For multiple countries hold down the 'Ctrl' button and select the import or export countries of interest;
 - iii) **GENUS, SPECIES or SUBSPECIES.** To select an individual species or subspecies fill in the species scientific name section as shown in the example below:

Species scientific name: Genus Species Sub Species

If you would like all species in a particular genus then select a genus from the genus field as shown here.

There is currently no facility to download data for an entire family, order or class. If you wish data at this level then please contact UNEP-WCMC who will be happy to provide the data for you.



You can of course leave these blank if you want to learn about the entire trade to or from a particular country.

- iv) **TERMS, SOURCE and PURPOSE.** The default is set for all terms, all sources and all purposes. You can select individual or multiple terms, source and purpose. For multiple selections hold down the 'Ctrl' button and select those of interest.

When you have selected all the relevant data variables selection then click on the Finish button (see point 6 below).

5. The 'Expert' mode provides all the options given in the 'Novice' version but on a single screen. Help and instructions are indicated by the question mark symbol '?'. Follow the same steps as provided in point 4 above to select your data variables.

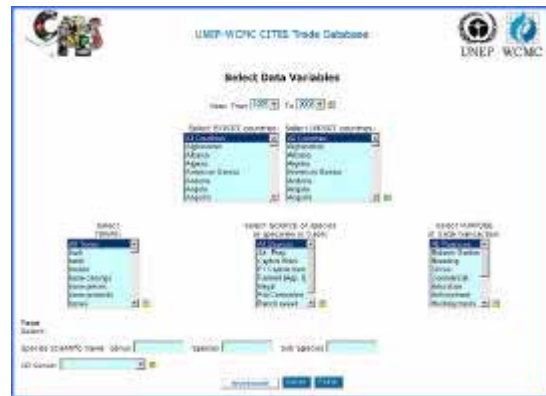


Figure 3. The 'Expert' version of the 'Select Data Variables' screen

6. Once you have selected your data variables click on the Finish button. This should take you to the reports window. However, if you remain in the 'Select Data Variables' screen there may be a problem with your data selection. There are two main problems:
 - i) When the subset exceeds the 50,000 trade records limit you will receive an error message at the top of the screen that reads:

Your Query has returned too large a subset. Please select some other data variables.

- ii) When the database does not find the variable combination you have requested you will receive an error message at the top of the screen that reads:

Your Query has returned no data. Please select a taxon. You can search the [UNEP-WCMC species database](#)² for the correct spelling/scientific name.

In both cases re-select your variables, perhaps limiting the years or checking the spelling of any species name.

7. If your query has been successful then you will go to the reports screen. You can either view your report on the Web or download the data in a CSV file. CSV files are suitable for use in MS Excel and other similar software.



Figure 4. The reports screen

Choosing your report format

8. Comparative tabulations

This output is most commonly used to determine the accuracy of reporting. Reported exports or re-exports from one country can be compared with the imports reported by another. They are extremely useful for assessing compliance with national and international trade controls.

The reporting between countries might not match in all respects and therefore may not appear on the same line of the comparative tabulation. This is usually because of one or more of the following reasons:

- i) Differences in the units used, e.g. skins may be reported by number, area or weight;
- ii) The source of the items and the purpose of the transaction are often poorly reported, if at all;
- iii) Specimens may be exported at the end of one year but not received by the importer until the following year;
- iv) Trade may be reported at species level by one country, whilst another country reports it at a higher taxonomic level. This is particularly common in the reporting of artificially propagated plants; or
- v) Some countries report on the basis of the permits they have issued rather than on the actual number of items traded. This may lead to an overestimation of trade volume.

9. Gross/net trade tabulations

This output is most commonly used to determine the volume of trade in a given species or genus. As the UNEP-WCMC CITES trade database data covers the years 1975 to 2003 (although the last year for which comprehensive statistics are available is 2002) trade levels and patterns can be analysed over a period of time.

Gross export is the sum of all reported exports and re-exports in a particular commodity or species; similarly gross imports are the sum of all reported imports. Gross trade is thus a simple measure of the total number of items reported in international trade, however it may overestimate the actual number of specimens involved as it includes re-exports as well as direct exports, e.g. many of Indonesia’s exports pass through Singapore en route to their final destination. Gross trade estimates will include both the export from Indonesia and the re-export from Singapore.

Net trade is the difference between total (re-) exports and total imports so in the example above, Indonesia will be a net exporter while Singapore and final destination countries will be net importers. The net import by Singapore will be the quantity they imported from Indonesia less the quantity re-exported to other countries. If your data selection involved imports to or exports from specified countries then, you cannot calculate the net trade as all the data necessary for the calculation will not be available. You will only be able to obtain gross import or export.

Using your CITES trade data

Once you have your comparative tabulation or gross/net trade report you can then proceed with the analysis of your data. Using the CSV file option you can open your data file in MS Excel or equivalent software. Depending on your data and the questions you wish answered, there are two effective and easy ways to summarize and display your CITES trade data.

You can tabulate your findings, as shown in Table 1. These figures were derived from comparative tabulation reports. In this example data reported by the producer countries were used in preference to those reported by importing countries because small differences in the manner of reporting, or the time lag between export and import, may lead to double counting and thus an overestimation of trade volume. However where producer countries failed to submit annual report data on exports of crocodylians, importers’ data were used.

Table 1. Reported trade in *Crocodylus porosus* skins, 1997-2002³

Country	1997	1998	1999	2000	2001	2002
Australia	8777	9896	5048	13 296	11 849	10 423
Indonesia	150	3141	1087	3172	3397	3277
Malaysia	120*	320*	320*	559*	675*	662*
Papua New Guinea	8771	10255	9396	8336	10 676	9332
Singapore	296	211	60	438	762	584
Thailand	440	300	60	0	805	0
Total	18 554	24123	15 971	25 791	28 164	24 278

* Figure derived from import data

You can display your data graphically, as shown in Figure 5. The graph displays gross exports of *Alligator mississippiensis* skins from the United States of America from 1986 to 2002. It combines skin data from all sources.

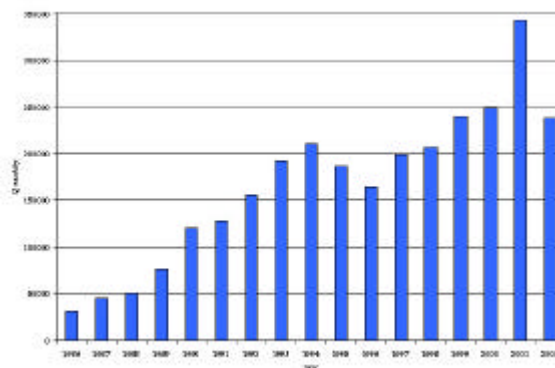


Figure 5. Gross exports of *Alligator mississippiensis* skins from the United States of America 1986-2002³

Contact

The UNEP-WCMC CITES Trade Team has over 20 years experience of analysing trade data and is happy to answer any questions and provide advice on selecting and utilizing CITES trade data. Please contact us at species@unep-wcmc.org.

We hope that you will find the on-line CITES trade database of use and easy to follow. If you have any comments on how we can improve the service, then we would love to hear from you.

Helen Corrigan, Programme Officer, Species
UNEP World Conservation Monitoring Centre
219 Huntingdon Road, Cambridge CB3 0DL, United Kingdom
Helen.Corrigan@unep-wcmc.org

(Footnotes)

¹ A cookie is a small text file placed on your hard drive by a Web Page server and that tells the server that you have returned to that Web page. Please contact UNEP-WCMC if you require assistance enabling cookies on your Internet browser.

² The UNEP-WCMC species database contains information about species included in the CITES Appendices, including approved names, synonyms, distribution, legislation and additional resources. The Species Database can be consulted at www.cites.org/eng/resources/species.html or at <http://sea.unep-wcmc.org/species/dbases/>

³ Taken from Caldwell, J. 2004. World Trade in Crocodylian Skins, 2000-2002. Prepared as part of the International Alligator and Crocodile Trade Study. UNEP World Conservation Monitoring Centre, Cambridge, United Kingdom.

CITES trade database Qs & As

Q. What is the CITES trade database?

A. One of the basic requirements for Parties is the preparation of annual reports detailing trade in specimens of species included in the Convention's three Appendices. The data from these annual reports are compiled into the CITES trade database managed on behalf of the CITES Secretariat by UNEP World Conservation Monitoring Centre. To date, the database has over 5.6 million records, documenting international trade from the Convention's beginnings to the most recent year for which the majority of annual reports have been received (usually two years prior to the present).

Q. What is the value of annual report data?

A. Parties can examine data that allow a comparison of their records of national exports with import records submitted by other Parties. Alternatively, Parties can review information on trade volumes for particular countries, species or higher taxonomic groups, and analyses of trade trends and patterns over time. Such reviews can assist Management and Scientific Authorities in the management of their country's wildlife trade and facilitate CITES implementation.

Q. Why analyse CITES trade data?

A. CITES was established to ensure that international trade in wildlife did not threaten the survival thereof. CITES trade data is an important tool for informing decisions concerning the management of national harvests of species in international trade and other aspects of CITES implementation.

Q. What are the different approaches to analysing CITES trade data?

A. Broad summary data can be reviewed by starting from either a geographic or taxonomic approach. The geographic approach looks at trade at the country level, whilst the taxonomic approach focuses on trade in particular taxa or groups of species. Following on from such broad approaches are species-

level analyses. An indication of the accuracy of trade reporting is provided by comparing reported exports with reported imports. Export quotas can be compared with reported trade to give an indication of the extent of quota implementation. Analysis of the reported source of specimens in trade can also determine the number of wild specimens in trade, and the success and extent of ranching or captive breeding.

A **geographic approach** may be useful for Management and Scientific Authorities that want to look at basic trade patterns from their country or region. Questions that can be answered with this approach include:

- How many specimens of each taxonomic group were exported during a particular period?
- Which taxonomic group was exported in the largest quantities during a particular period?
- How many species in each taxonomic group were subject to exports during a particular period?
- Which taxonomic group had the most species in trade over a specified period?
- How have the number of specimens and number of species in trade varied over time?
- Which species are traded in the highest quantities?
- Which species are traded to/from non-Parties?
- Which species of a particular taxonomic group are traded in the highest quantities?
- Were the same species traded throughout a given period and were they all equally common in trade?

A **taxonomic approach** allows a broad investigation of trade in a particular taxon. It allows CITES Authorities to identify the main exporting and importing regions, and within those regions to identify range and consumer States that contribute significantly to the trade. Trade trends over time can also be investigated. Questions that can be answered with this approach include:

- Who are the major exporters?

- How do trade trends in particular taxa vary with time?
- How do national exports change over time?
- How does the level of national or regional exports compare with global exports?
- What is the trade from other countries with which a particular taxon is shared (such as migratory species that occur in several countries)?
- How do changes in national legislation or CITES regulations affect trade in particular taxa?
- How evenly spread is national trade over time?
- What is the magnitude of trade fluctuation over time (for particular exporters and/or taxa)?

Comparison of reported exports with reported imports can give some indication of the accuracy of trade reporting and hence of CITES trade data, and may also point to cases of unauthorized trade. As a general rule, such comparisons are best made at the species level. However, comparisons involving species reported in trade in many forms, i.e. multiple terms and units (e.g. different weight measures), is more complicated than those involving a single term and/or unit. In some cases data for similar terms and units can be combined to facilitate comparison. Questions that can be answered with this approach include:

- How do overall reported exports compare with overall reported imports?
- How do reported exports compare with reported imports for specific countries?

Comparison of reported trade levels with export quotas is useful for assessing implementation of export quotas, and the quality and impact of management measures. Given the growing reliance on such quotas, it is increasingly important for CITES Authorities and others to compare reported trade volumes with quota levels. Such comparisons can help to determine whether a quota is being adhered to, identify cases where reported trade is significantly below quota levels and also whether a review of a quota might be necessary. Questions that can be answered with this approach include:

Continued on page 11



Proposals for amendment of Appendices I and II

Results

Thirteenth meeting of the Conference of the Parties
2 to 14 October 2004, Bangkok (Thailand)



No.	Proponent	Proposal	Result
1			Withdrawn
2			Withdrawn
FAUNA			
3	Thailand	<i>Orcaella brevirostris</i> Transfer from Appendix II to Appendix I	Accepted by secret ballot with 73 in favor, 30 against and 8 abstentions
4	Japan	<i>Balaenoptera acutorostrata</i> Transfer from Appendix I to Appendix II of the Okhotsk Sea – West Pacific stock, the Northeast Atlantic stock and the North Atlantic Central stock	Rejected by secret ballot with 63 against, 57 in favor and 13 abstentions
5			Withdrawn
6			Withdrawn
7	Namibia	<i>Loxodonta africana (Appendix II)</i> Amendment of the annotation regarding the population of Namibia to include: – an annual export quota of 2,000 kg of raw ivory (accumulated from natural and management-related mortalities); – trade in worked ivory products for commercial purposes; and – trade in elephant leather and hair goods for commercial purposes.	Delegates rejected establishing an annual export quota by a vote of 31 in favor, 59 against and 20 abstentions, and adopted an annotation allowing for trade in individually marked and certified ekipas incorporated in finished jewellery for non-commercial purposes, with 71 votes in favor, 23 against and 35 abstentions. The amendment to include trade in leather and goods for commercial purposes was adopted by consensus
8	South Africa	<i>Loxodonta africana (Appendix II)</i> Amendment of the annotation regarding the population of South Africa to allow trade in leather goods for commercial purposes.	Adopted by consensus
9	Swaziland	<i>Ceratotherium simum simum</i> Transfer from Appendix I to Appendix II of the population of Swaziland with the following annotation: – for the exclusive purpose of allowing international trade in: a) live animals to appropriate and acceptable destinations; and b) hunting trophies. – all other specimens shall be deemed to be specimens of species included in Appendix I and the trade in them shall be regulated accordingly.	Adopted by vote with 88 in favor, 15 against and 21 abstentions
10	United States of America	<i>Haliaeetus leucocephalus</i> Transfer from Appendix I to Appendix II	Adopted by consensus
11	Indonesia	<i>Cacatua sulphurea</i> Transfer from Appendix II to Appendix I	Adopted by consensus
12	Namibia and the United States of America	<i>Agapornis roseicollis</i> Deletion from Appendix II	Adopted by consensus



No.	Proponent	Proposal	Result
13	Mexico	<i>Amazona finschi</i> Transfer from Appendix II to Appendix I	Adopted by consensus
14	Mexico and the United States of America	<i>Passerina ciris</i> Inclusion in Appendix II	Rejected with a vote of 63 in favor, 57 against and 13 abstentions
15	Madagascar	<i>Pyxis arachnoids</i> Transfer from Appendix II to Appendix I	Adopted by consensus
16			Withdrawn
17	Indonesia	<i>Malayemys subtrijuga</i> Inclusion in Appendix II	Adopted by consensus
18			Withdrawn
19	Indonesia	<i>Notochelys platynota</i> Inclusion in Appendix II	Adopted by consensus
20	United States of America	<i>Amyda spp.</i> Inclusion in Appendix II	Adopted by consensus for <i>A. cartilaginea</i>
21			Withdrawn
22	Indonesia	<i>Carettochelys insculpta</i> Inclusion in Appendix II	Adopted by consensus
23	Indonesia and the United States of America	<i>Chelodina mccordi</i> Inclusion in Appendix II	Adopted by consensus
24	Cuba	<i>Crocodylus acutus</i> Transfer of the population of Cuba from Appendix I to Appendix II	Adopted by consensus
25	Namibia	<i>Crocodylus niloticus</i> Transfer from Appendix I to Appendix II of the population of Namibia	Adopted by consensus
26			Withdrawn
27	Madagascar	<i>Uroplatus spp.</i> Inclusion in Appendix II	Adopted by consensus
28 - 31			Withdrawn
32	Australia and Madagascar	<i>Carcharodon carcharias</i> Inclusion in Appendix II	Adopted by vote with 87 in favor, 34 opposed and 9 abstentions
33	Fiji, Ireland (on behalf of the Member States of the European Community) and the United States of America	<i>Cheilinus undulates</i> Inclusion in Appendix II	Adopted by consensus



No.	Proponent	Proposal	Result
34	Switzerland (as Depositary Government, at the request of the Nomenclature Committee)	<i>Ornithoptera spp.</i> , <i>Trogonoptera spp.</i> and <i>Troides spp.</i> in Appendix II Deletion of the annotation “ <i>sensu</i> D’Abrera”	Adopted by consensus
35	Italy and Slovenia (on behalf of the Member States of the European Community)	<i>Lithophaga lithophaga</i> Inclusion in Appendix II	Adopted by consensus
36			Withdrawn
FLORA			
37	Botswana, Namibia and South Africa	<i>Hoodia spp.</i> Inclusion in Appendix II, with an annotation to read as follows: Designates all parts and derivatives except those bearing the label “Produced from <i>Hoodia</i> spp. material obtained through controlled harvesting and production in collaboration with the CITES Management Authorities of Botswana/Namibia/South Africa under agreement no. BW/NA/ZA xxxxxx)”	Adopted by vote with 49 in favor, 10 against and 42 abstentions
38	Thailand	<i>Euphorbiaceae</i> (Appendix II)	
39	Thailand	Adopted as amended by consensus to include artificially propagated specimens of crested, fan-shaped or colour mutants of <i>Euphorbia lactea</i> , when grafted on artificially propagated root stock of <i>Euphorbia neriiifolia</i> , and artificially propagated specimens of cultivars of <i>Euphorbia</i> ‘Milii’ when they are traded in shipments of 100 or more plants and readily recognizable as artificially propagated specimens.	
40	Thailand	<i>Orchidaceae</i> in Appendix II Annotation adopted as amended by a vote of 105 in favor, 3 against and 17 abstentions to read as follows: Artificially propagated specimens of hybrids of the genera <i>Cymbidium</i> , <i>Dendrobium</i> , <i>Phalaenopsis</i> and <i>Vanda</i> are not subject to the provisions of the Convention when: 1) the specimens are traded in shipments consisting of individual containers (i.e. cartons, boxes or crates) each containing 20 or more plants of the same hybrid; 2) the plants within each container can be readily recognized as artificially propagated specimens by exhibiting a high degree of uniformity and healthiness; and 3) the shipments are accompanied by documentation, such as an invoice, which clearly states the number of plants of each hybrid.	
41	Switzerland	<i>Orchidaceae</i> in Appendix II Annotation adopted as amended by a vote of 33 in favor, 16 against and 45 abstentions to read as follows: to Artificially propagated specimens of the following hybrids: <i>Cymbidium</i> : Interspecific hybrids within the genus and intergeneric hybrids; <i>Dendrobium</i> : Interspecific hybrids within the genus known in horticulture as “nobile-types” and “phalaenopsis-types”; <i>Phalaenopsis</i> : Interspecific hybrids within the genus and intergeneric hybrids; and <i>Vanda</i> : Interspecific hybrids within the genus and intergeneric hybrids are not subject to the provisions of the Convention when: 1) they are traded in flowering state, i.e. with at least one open flower per specimen, with reflexed petals; 2) they are professionally processed for commercial retail sale, e.g. labelled with printed labels and packaged with printed packages; 3) they can be readily recognized as artificially propagated specimens by exhibiting a high degree of cleanliness, undamaged inflorescences, intact root systems and a general absence of damage or injury that could be attributable to plants originating in the wild; 4) the plants do not exhibit characteristics of wild origin, such as damage by insects or other animals, fungi or algae adhering to leaves, or mechanical damage to inflorescences, roots, leaves or other parts resulting from collection; and 5) the labels or packages indicate the trade name of the specimen, the country of artificial propagation or, in the case of international trade during the production process, the country where the specimen was labelled and packaged; and the labels or packages show a photograph of the flower, or demonstrate by other means the appropriate use of labels and packages in an easily verifiable way. Plants not clearly qualifying for the exemption must be accompanied by appropriate CITES documents.	



No.	Proponent	Proposal	Result
42			Withdrawn
43	Colombia	<i>Cattleya trianaei</i> Transfer from Appendix I to Appendix II	Adopted by consensus
44	Thailand	<i>Vanda coerulea</i> Transfer from Appendix I to Appendix II	Adopted by consensus
45	China	<i>Cistanche deserticola</i> (Appendix II) Addition of annotation #1, i.e.: Designates all parts and derivatives, except: a) seeds, spores and pollen (including pollinia); b) seedling or tissue cultures obtained <i>in vitro</i> , in solid or liquid media, transported in sterile containers; and c) cut flowers of artificially propagated plants.	Adopted by consensus
46	Madagascar	<i>Dyopsis decipiens</i> (NB: according to the standard nomenclature adopted by the Conference of the Parties, the correct name for this species is <i>Chrysalidocarpus decipiens</i>) Transfer from Appendix II to Appendix I	Adopted by consensus
47	China and the United States of America	<i>Taxus wallichiana</i> Amendment of the annotation (currently annotation #2), to read: Designates all parts and derivatives, except: a) seeds and pollen; and b) finished pharmaceutical products.	Adopted by consensus
48	China and the United States of America	<i>Taxus chinensis</i> , <i>T. cuspidata</i> , <i>T. fuana</i> , <i>T. sumatrana</i> and all infraspecific taxa of these species Inclusion in Appendix II with the following annotation: Designates all parts and derivatives, except: a) seeds and pollen; and b) finished pharmaceutical products.	Adopted as amended to exclude artificially propagated horticultural species
49	Indonesia	<i>Aquilaria spp.</i> and <i>Gyrinops spp.</i> Inclusion in Appendix II (NB: <i>Aquilaria malaccensis</i> is already included in Appendix II)	Adopted by vote with 72 in favor, 9 against and 23 abstentions
50	Indonesia	<i>Gonystylus spp.</i> Inclusion in Appendix II Designates all parts and derivatives, except: a) seeds, spores and pollen (including pollinia); b) seedling or tissue cultures obtained <i>in vitro</i> , in solid or liquid media, transported in sterile containers; and c) cut flowers of artificially propagated plants.	Adopted by consensus, with an annotation designating all parts and derivatives except: seeds, spores and pollen; seedling or tissue cultures obtained <i>in vitro</i> ; and cut flowers of artificially propagated plants



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- What is the relationship between quota levels and the level of reported exports?
- How well is a country managing its self-established export quotas?
- How well is a country managing quotas adopted by the Conference of the Parties?

Analysing the reported source of specimens in trade is important to assess the potential impacts of international trade on species' wild populations. Knowledge of whether specimens derive from the wild, from captive breeding, artificial propagation or ranching operations is important prior to drawing any firm conclusions about trade impacts. Questions that can be answered with this approach include:

- Do importing and exporting countries differ in their reporting of source?
- What proportion of live animals derive from each source?
- How does the source of exports of specimens of a particular species change over time?
- What is the source of live animals from the major exporting countries?
- What might be the cause of such changes in source of exports?
- How do changes in legislation or trade restrictions affect the source of specimens?
- How is captive-breeding or artificial propagation affecting trade in wild specimens over time?

Q. what are important points to consider when analysing CITES trade data?

A. CITES trade data are only as complete and accurate as the CITES annual reports from which they are compiled. Although great improvements have been made to annual reporting over the years, problems remain. Some of the main difficulties with CITES annual reporting and complications with respect to analysing CITES annual report data are highlighted below.

Timeliness of annual reports – Management Authorities are required to submit annual reports to the CITES Secretariat by 31 October of the year following that in which the trade took place. Although

many Parties provide annual reports within this time-frame, some Parties have consistently failed to provide CITES annual reports, and many are late in their reporting. This distorts the data by reducing the level of trade recorded. Furthermore States that are not Party to the Convention do not provide annual reports, and therefore trade with non-Parties is only reflected when documented by trading Parties in their annual reports.

Reporting on permits issued or actual trade– Parties are encouraged to report on the actual trade in CITES-listed specimens. However, annual reports are commonly based on permits issued and/or used rather than actual trade volumes. In the case of exports, this can result in inflated reported trade volumes as a permit may be issued but trade may not take place subsequently, or for lesser quantities.

Matching of export and import transactions – CITES permits generally have a validity of six months, and exports and/or imports may take place several months after a permit is issued. Bearing in mind the point that annual reports are often compiled based on permits issued, this can result in exports being recorded and reported in one year, and imports being recorded and reported in the following year. As a result, it can appear as if twice as many specimens are in trade as may actually be the case. Further, it can appear as if imports are taking place without export permits having been issued, as there are no corresponding exports recorded in the data for a given year for which imports are recorded.

Taxonomic identification – Management Authorities are encouraged to report trade to the species level, where possible. However, trade is sometimes reported at a higher taxonomic level. This is especially the case for corals, owing to the difficulties in identification, and also for some plant taxa, e.g. orchid and cactus hybrids. This complicates the comparison of trade between Parties.

Reporting of source, purpose, terms and units – Some Parties fail to record the source of wildlife specimens in trade. All specimens for which the source code is left blank are assumed to be of wild origin. This may inflate trade figures for the trade in wild specimens. Some Parties use source codes other than those stipulated in the Guidelines for the preparation of CITES annual reports. Information on the purpose of trade in wildlife specimens is also often missing from CITES annual reports. This reduces the ability to identify and assess the trade in specimens that may be for non commercial purposes. Parties may fail to use standard units to record the trade in wildlife,

especially in processed or manufactured products. As a result, analysis of the trade in processed and manufactured items and, specifically, equating this trade to the number of specimens of animals or plants traded, are especially difficult. Parties are required to report on trade in all plant specimens, both wild-collected and artificially propagated. However, owing to resource constraints, as of 1992, data for artificially propagated plants have only been included in the CITES trade database if provided in electronic format. This impedes analysis of the trade in specimens reported as artificially propagated.



Photo: Peter Dollinger

Phragmipedium schroederi

Reporting on confiscations and seizures – Few Parties provide comprehensive information on wildlife confiscations or seizures in their annual reports. The data therefore do not give an accurate indication of the amounts of illegally-traded CITES-listed specimens confiscated or seized by enforcement authorities.



Photo: Peter Dollinger

Geochelone pardalis

The Secretariat

Indications from CITES trade data

Detrimental trade could be indicated by:

- Changes in the number of specimens of species (or higher taxonomic groups) appearing in trade over time;
- Changes in countries of export, e.g. serial shifts from one range State to another;
- Lack of correspondence between trade volumes and quota levels (e.g. quotas lower or higher than reported trade); or
- Transfer of species to a CITES Appendix affording a higher level of protection.

Trade shifts in response to changing harvest or trade controls could be indicated by:

- Declines in reported trade in target taxa;
- Shifts among range States supplying target taxa; or
- Increases in trade volumes of specimens of species used for similar uses as target taxa.

Inadequate trade reporting or enforcement problems could be indicated by:

- Discrepancies between reported export and import volumes; or
- Declaration of “Source” information contrary to available information (e.g. exports of wild specimens from non-range States, exports of captive-bred/artificially propagated specimens of species not known to be available from such sources in commercial quantities).

Changing market trends could be indicated by:

- Changes in the reported “Purpose” or “Source” of specimens in trade over time;
- Changes in the reported product types in trade over time; or
- Changes in national and global trends in the numbers of specimens imported or exported.



The E-volution of CITES

From the Secretary-General

Everybody nowadays knows about the Internet, electronic mail, MP3, MPEG, CDs, DVDs and may other possibilities created for use on computer and other electronic equipment. Although access to these electronic tools is unfortunately not as easy in many places in the world as one would like, progress is being made rapidly and the use of these tools instead of the old means of communication, like a simple letter with a stamp, a telex or a fax, continues to grow. The Conference of the Parties to CITES made budgetary decisions that limit the distribution by the Secretariat of documents on printed copies and – although this obviously has many advantages – we have seen during the recent meeting of the Conference of the Parties that unfortunately not everybody can access electronic documents in a satisfactory way. The Secretariat will therefore do its utmost to help those that are unable to fully use the advantages of cyberspace yet.

Everybody in the CITES community will certainly have spent lots of time on the CITES website, which has become our fastest and most informative tool. Copies of the site have been and will be made available on CD-ROMs to overcome the difficulties mentioned above that some experience to access the Internet. We will also carry on providing printed copies of CITES meeting documents to those who request them.

As you probably know, I have been publishing The Evolution of CITES since 1988 in an attempt to keep myself and others abreast of provisions of the Convention and of their evolution through recommendations and decisions of the Conference of the Parties and its permanent committees. I started this on a computer which just had a blank black screen with what was called a prompt I believe, just a “c: /” and a flashing “_” behind it. There was a floppy disk drive, a black and white 13-inch screen and a dot matrix printer. Later I got myself a 20-megabyte hard disk. There were no scanners, no texts from the Secretariat in electronic form, so I had to retype every word. MS-DOS and Wordperfect are names of programmes that come back to my mind while I write this.

Nowadays someone may scan a negative at such a high resolution that it would take 30 of my first hard disks per picture to save it. Most people would not be

able to work without daily access to the Internet and the email, and we all expect from our PCs performances that only supercomputers were able to attain only a few years ago.

Since CoP13, I have read quite a bit about the possibilities of the “eBook”. The problem I have always faced in the writing of The Evolution of CITES has been to manage to connect texts from different places and to make Convention articles, recommendations and decisions about their provisions really accessible and interconnected. I have tried different presentations in The Evolution of CITES through the years, but I think the eBook really is the way forward. The fact that it allows one to use hypertext makes it fully searchable and the links to relevant texts and other information become a mouse-click away.

I am currently working on the E-volution of CITES and hope to be able to put it on the CITES website for people to download and install as soon as possible. I am sure that copies will also be made available on CD-ROM and maybe, “subject to the availability of external funding” as is the CITES term, there will be versions in French and Spanish as well.

But, there will always be people that will want a book to hold in their hands and that travels with them to meetings, accessible at all times and not just when there is a computer, a power outlet or a full battery at hand. So, just maybe, I will need to do a version for them as well.

In whatever form or on whatever media you access information about CITES, we in the Secretariat are eager to hear from you and to receive suggestions on how we produce the information you need, so let us know what you think and about your experience with CITES and cyberspace.

Willem Wijnstekers

Amazona viridigenalis



Photo: Peter Dollinger

How technology is influencing CITES

Thirty years ago when CITES entered into force, manual typewriters were widespread while telefax machines were starting to become popular, computers were rare, and long-distance communication was mainly by post, 'land line' telephone and telex machines. Nowadays, technology has advanced greatly and this is having a significant impact on implementation of the Convention. We are now in an age where:

- Office and home computer use is widespread, common software packages are highly sophisticated
- Large amounts of documents can be archived electronically, and easily made available
- Mobile telephone use is widespread
- High-quality and high-speed photocopying is widespread
- Most Governments have official websites
- Many CITES Authorities have websites
- Most Parties communicate with the Secretariat and each other essentially by e-mail, and transfer documents electronically
- Photographs can be taken and stored in digital form, and transmitted electronically
- The CITES species database is on line
- The CITES trade database is available on line
- The CITES website receives thousands of 'visits' each day
- The CITES website is also provided on CD-ROM
- Self-learning CD-ROM materials on CITES are available from the Secretariat and from others
- CITES training materials are available on CD-ROM and will soon be available on line
- The Identification Manual will soon be available on line
- Most CITES publications and documents are available electronically
- Notifications to the Parties are distributed through the website (unless requested in printed copies by Parties)
- Several Parties issue CITES documents electronically
- Several Parties 'sign' CITES documents electronically
- CITES specimens are offered for sale 'in cyberspace' (both legally and illegally)
- Micro-chipping of specimens is now routine

As a result of a Decision adopted at CoP13, the Standing Committee shall establish a working group to explore the use of information technology or electronic systems to enhance the implementation of CITES.

The use of codes to indicate the purpose of the transaction

Resolution Conf. 12.3 (Rev. CoP13) on permits and certificates provides a series of codes to be used to describe the 'purpose of the transaction'. These codes were introduced at CoP8 in document Doc. 8.34 Annex, but no explanation was provided on how to use these codes, nor were the codes properly defined or explained. These codes might have been discussed in an informal working group of CoP8 on the proposed draft Resolution on permits and certificates, but this is not reflected in the minutes of Committee II or Plenary. Although the codes are mentioned in the text of the Resolution and in Annex 2, they are nevertheless not included in Annex 1 in the list of information that should be included in CITES permits and certificates.



Photo: Peter Dollinger

Panthera pardus kotlya doue

Appendix I specimens

Only in one Article does the text of the Convention clearly refer to the purpose of a transaction, and that is in the conditions for the issuance of import permits for Appendix-I specimens (of wild origin, or not covered by any of the special provisions in Article VII) for which it is important to determine that the specimens will not be used for primarily commercial purposes. The interpretation of this term is guided by Resolution Conf. 5.10 (Definition of 'primarily commercial purposes') or those on hunting trophies, and this facilitates the use of the correct purpose code.



Appendix-II specimens

Looking at the trade in Appendix-II specimens, the application of the purpose code is not an obligation derived from the text of the Convention and its use becomes more confusing. For example:

- If a European zoo buys from a trader in the Democratic Republic of Congo twenty grey parrots (*Psittacus erithacus*; source code 'W') should the purpose code for the export be 'Z' because the specimens are going to a zoo, or should it be 'T' because it is a commercial export?
- If a European trader, traveling in Cameroon buys twenty grey parrots (*Psittacus erithacus*; source code 'W') and claims he is going to breed them, should the purpose code be 'B' or 'T'?

The opinion of the Secretariat is that in both cases the purpose code on the export permit should be 'T', because the exporter can only indicate his own purpose, not the purpose of the use after import.

The importing country has to make its own determination of the use of the purpose code. In these cases a precise determination of the purpose code is not of critical importance, because all trade is permitted, whether it is commercial or non-commercial.

Captive-bred Appendix-I specimens

Resolution Conf. 12.10 (Guidelines for a procedure to register and monitor operations that breed Appendix-I animal species for commercial purposes) indicates that Parties shall restrict imports of Appendix-I species for primarily commercial purposes to specimens originating in registered captive-breeding operations. With the adoption of this text, the Parties agreed to equate some of the procedures of Article III to trade in captive-bred specimens of Appendix-I species, asking all Parties to take stricter domestic measures for particular imports. This is because Article VII, paragraph 4 states that specimens of Appendix-I species, captive-bred for commercial purposes, are deemed to be specimens included in Appendix II and therefore can be traded commercially under the provisions of Article IV, in which case only exports permits are required. However, only Parties that have adopted stricter domestic measures that require import permits for Appendix-II and/or captive-bred specimens of Appendix-I species can effectively

implement this. Parties that implement the provisions of this Resolution could therefore interpret the purpose codes along the guidelines contained in Resolution Conf. 5.10 (but perhaps not as strict as they would have done for the import of wild specimens).

If a non-registered breeding operation wants to export some of the specimens it has bred (source code 'D'), the purpose of the export will in most cases be 'T', because that is inherent to the use of the source code (bred for commercial purposes). For the exporting country it is not relevant whether the exporter is a registered breeding operation in the sense of Resolution Conf. 12.10, or not. The notion that the source code 'C' should be used for specimens originating in non-registered breeding operations is incorrect. The source code 'C' can, for Appendix-I specimens, only be used for specimens that are bred in captivity for non-commercial purposes.

It is up to the importing country to consider the intended use, and in particular the commercial aspect of it. If it wants to use the purpose code 'B' it has to determine what this means, so that it can not be interpreted as a permission to trade specimens for commercial purposes. The purpose code 'P' should also be used with care, and should perhaps not be used for persons that want to import eight specimens of the same species, because that looks very much like commercial breeding. The same could apply to someone who wants to import one specimen each of a particular species in eight different transactions in a relatively short period.

Conclusion

The current use of the purpose codes is unclear, because they are not clearly defined. Parties are using them therefore in a confusing and often haphazard manner. What is clear, however, is that the exporting country should only use a code related to the purpose of the export, whereas the importing country should only decide on a code relevant to the purpose of the import. Consequently, the two can be different.

It would be useful if the Parties clarified this at the next CoP. They could, for example, decide that the purpose codes should only be used for import permits issued under the provisions of Article III of the Convention.

The Secretariat

Reminder

Notification to the Parties No. 2004/073 of 19 November 2004 concerns amendments to Appendices I and II of the Convention adopted by the Conference of the Parties at its 13th meeting, Bangkok (Thailand), 2-14 October 2004. In addition to the changes to the Appendices, the Notification also outlines several other important changes, such as those related to:

- The text of the annotation regarding the inclusion in Appendix II of the populations of *Loxodonta africana* of Namibia and South Africa;
- The annotation regarding *Euphorbia* spp. in Appendix II, indicating which specimens are not subject to the provisions of the Convention;
- The annotation for Orchidaceae spp. in Appendix II, indicating which artificially propagated specimens of hybrids of the genera *Cymbidium*, *Dendrobium*, *Phalaenopsis* and *Vanda* are not subject to the provisions of the Convention;
- The species *Cistanche deserticola* in Appendix II, which is now subject to annotation #1.

Please note also that as a consequence of the adoption by the Conference of the Parties of a Resolution on standard nomenclature containing taxonomic and nomenclature references for species included in the Appendices, the names of several taxa included in the Appendices have been updated, and that following the adoption of some new standard references to the names of species listed in the Appendices, some purely editorial changes have been introduced in the revised version of Appendices I and II. This updated version, valid from 12 January 2005, will be distributed shortly, combined with an updated version of Appendix III.



CITES Secretariat
International Environment House
Chemin des Anémones
CH-1219 Châtelaine
Geneva, Switzerland

Telephone: +41 (22) 917 81 39/40 Fax number: +41 (22) 797 34 17

Email: cites@unep.ch Website: www.cites.org

If you would like to submit an article, or make suggestions or comments, please contact the Capacity-Building Unit.

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