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Specially Protected Areas and Wildlife (SPA
W) in the Wider Caribbean Region

Caracas, Venezuela, 4–8 October 2005

**MONITORING AND REPORTING ON SPECIES LISTED IN RELEVANT
MULTILATERAL ENVIRONMENTAL AGREEMENTS (MEAs)**

Note:

The following pages refer to guidelines and format for species reporting under CITES (only the most relevant pages for the purposes of the SPAW Protocol have been included).

Guidelines for the preparation and submission of CITES annual reports

Contents

	<u>Page</u>
1. Introduction	1
2. General principles	1
3. Specific instructions	2
4. Recommended format	6
5. Terminology	7
a) Description of specimens and units of quantity	7
b) Names of countries and territories	12
c) Purpose of trade	16
d) Source of specimens	16
6. Submission of annual reports	17
Annex – Specimen Report sheets (hypothetical examples)	19

1. Introduction

Article VIII, paragraph 7, of the Convention requires each Party to submit to the Secretariat an annual report summarizing the following information:

- the number and type of permits and certificates granted;
- the States with which trade in specimens of species included in Appendices I, II and III occurred;
- the numbers or quantities and types of specimens and the names of species as included in Appendices I, II and III; and
- the size and sex of the specimens in question.

The present guidelines for the submission of annual reports were prepared by the Secretariat in accordance with Resolution Conf. 11.17 and were approved by the Standing Committee at its 45th meeting (Paris, France, June 2001).

One of the functions of these guidelines is to encourage Parties to present information in a standard form, so that it can be easily computerized, with two main objectives:

- to enable monitoring of the extent of world trade in each species included in the CITES Appendices and the identification of potentially harmful trade; and
- to enable monitoring of the implementation of the Convention and the detection of potentially illicit trade.

The standard format proposed herein is designed for data on specimens imported, exported, re-exported or introduced from the sea, or on permits or certificates issued. It does not deal with any other information to be included in a report (such as information on administration and details of prosecutions), which may be presented in the format considered by the reporting Management Authority to be the most appropriate.

2. General principles

- a) Annual reports must contain information on imports, exports, re-exports and introductions from the sea of specimens of all species included in Appendices I, II and III.

However, as information on trade in manufactured products is of limited use, it is considered acceptable for records of trade in manufactured specimens of species in Appendices II and III to be summarized in the report [see paragraph g) below]. Where the products include contents not derived from CITES species, the figure recorded should, as far as possible, be the amount that is actually from specimens of CITES species.

- b) Each annual report should cover the period 1 January to 31 December.
- c) Annual reports should be prepared in one of the three working languages of the Convention: English, French and Spanish.

d) The data should be divided into two main categories:

- IMPORTS; and
- EXPORTS AND RE-EXPORTS.

A separate section may be made to summarize the imports, exports and re-exports of manufactured products derived from species included in Appendices II and III.

Any introductions from the sea should be included in the section on imports.

e) As far as possible, the data in the report should record the actual trade that took place, i.e. the quantity of specimens that entered or left the country. If it is not possible to report the actual exports and re-exports, the data on such trade should come from each permit and certificate issued.

The report should state clearly whether the data used for the records of imports and exports/re-exports are based on permits/certificates issued or on actual trade.

f) The animal and plant species traded should be listed in the taxonomic order given in the appendices of the Convention, under the following headings: Mammalia; Aves; Reptilia; Amphibia; Pisces; Insecta; Arachnida; Hirudinoidea; Bivalvia; Gastropoda; Anthozoa; Hydrozoa; Alcyonaria; Flora. The species of flora should be listed following the alphabetical order of the families. Within each family, genera and species should be arranged alphabetically.

g) The report should include a record of each shipment of each species. However, for shipments of manufactured products derived from species in Appendices II and III [see paragraph a) above] the trade may be summarized.

Summaries of trade in manufactured products of species in Appendix II and III need indicate only the following: the number and type of permits and certificates granted; the States with which such trade occurred; and the names of the species and the total numbers or quantities and types of specimens.

h) The data should include entries, in the appropriate taxonomic position, in respect of specimens seized and/or confiscated [see recommendation 3. g) below].

i) Any record relating to a specimen that was traded in accordance with an exemption, under Article VII of the Convention, should be annotated to show this. The annotation may be included in the column for "Source" or "Remarks".

3. Specific instructions

The headings in this section refer to the column headings in the recommended format for reports, in section 4. below.

a) Appendix

Enter the number of the Appendix in which the taxon was listed at the time the trade was authorized.

NB: If a specimen of a species in Appendix I is considered or treated as being in Appendix II because it was bred in captivity or artificially propagated, or because the

trading Party has entered a reservation, the specimen is nonetheless of a species in Appendix I.

b) Species

Enter the scientific name of the species or subspecies, using the binomial (genus and species) or trinomial (genus, species and subspecies).

The scientific names used must be those recorded in the Appendices or, for species included in the Appendices as part of a higher-taxon listing, those included in the standard lists of names approved by the Conference of the Parties. (Approved names are also found in the Checklist of CITES Species, the CITES Bulb Checklist, the CITES Cactaceae Checklist and the CITES Orchid Checklist.)

The names of higher taxa should not be used to indicate the species traded unless the specimens can not be identified, in which case the name of the genus must be indicated (see separate relevant Notifications, e.g. regarding trade in stony corals). The following exceptions are recognized.

Stony Corals

- For shipments where 'base rock' and 'substrate' made of coral, but not including pieces of coral collected alive and exported dead, can not be identified to the level of genus, the trade may be recorded at the level of order (see Resolution Conf. 11.10);
- Shipments of coral sand and coral gravel that do not contain large pieces of gravel may be recorded at the level of order (Scleractinia) (see Resolution Conf. 11.10).

Orchids

Artificially propagated hybrids of Appendix-II orchids may be reported as such [in accordance with Resolution Conf. 11.17].

The common name of the species may be recorded in addition to the scientific name, but it is not required.

c) Description

Enter the description of the specimens in accordance with the terminology of specimens listed in section 5. a) below. If codes are used to indicate the type of specimen (for example, if the annual report is computerized) the codes in section 5. a) should be used. If it is not clear which is the correct term to use, or if the specimens are not apparently covered by any of the terms in section 5. a), use whatever terms are appropriate to ensure that the specimens are accurately described.

NB: The terms in section 5. a) are not necessarily for use on permits. The descriptions of specimens on permits should be as precise as possible.

d) Quantity

Enter the quantity of specimens that is appropriate to the type of specimen, in accordance with the list in section 5. a) below.

The quantity recorded should be only the quantity of the specimen of the species named. For example, if 10 kg of cloth contains only 100 g of hair of *Lama guanicoe*, the quantity recorded should be only 100 g.

The preferred unit of quantity indicated in section 5. a) should be recorded if possible. Otherwise the alternative unit that is indicated should be used. Both units may be recorded if the data are available.

If the data can not be obtained to allow entry of either the preferred or the alternative units, the quantity of specimens should be recorded so as to allow:

- verification of the quantity actually traded; and
- where relevant, estimation of the impact of the trade on the wild population of the species.

As far as possible, quantities should be recorded in metric measures.

Quantities should always be recorded in standard units of measure and never in non-standard units such as "boxes", "cartons" or "bales".

e) Country of export/origin/destination

In the section of the annual report on exports and re-exports, record:

- country of destination; and
- country of origin of re-exports.

In the section of the annual report on imports, record:

- country from which the specimens were consigned (i.e. country of export or re-export); and
- country of origin, if it is a different country.

The name of the country in each case should either be indicated in full or by the use of two-letter codes for the representation of names of countries, in accordance with the list in section 5. b) below.

f) Purpose

Enter the purpose of the transaction in accordance with the terminology in section 5. c) below. If the purpose is not one of those specified, it should be explained in the section for remarks.

g) Source

Enter the source of the specimens in accordance with the terminology in section 5. d) below. This column should also be used to indicate specimens seized, confiscated or illegally traded.

h) Permit or certificate number

In the case of exports and re-exports, enter the number of the permit or certificate issued to cover the shipment.

In the case of imports, enter the number of the export permit, re-export certificate or other certificate issued by the Management Authority or competent authority of the exporting or re-exporting country. (Do not enter the number of the import permit.)

In the case of introductions from the sea, enter the number of the certificate of introduction.

i) Remarks

This column should be used to:

- justify omission in other columns, such as the name of the country of origin;
- indicate introductions from the sea;
- indicate whether a specimen was traded in accordance with one of the exemptions under Article VII of the Convention if this is not indicated in another column (e.g. if the specimens were pre-Convention or traded between registered scientific institutions);
- indicate the registration numbers in the case of transactions between registered scientists or scientific institutions;
- include any additional information on confiscated or seized specimens;
- specify identification markings (tag number, ring number, etc.).

4. Recommended format

Annual reports may be submitted in the form of printed or hand-written reports or in electronic format. In either case, the information submitted should correspond to that indicated in the following tables.

IMPORTS

Appendix	Species	Description	Quantity	Country of export or re-export	Number of export permit or re-export certificate	Country of origin of re-exports	Purpose	Source	Remarks

EXPORTS/RE-EXPORTS

Appendix	Species	Description	Quantity	Country of destination	Number of export permit or re-export certificate	Country of origin of re-exports	Purpose	Source	Remarks

5. Terminology

a) Description of specimens and units of quantity

Description	Code	Preferred unit	Alternative unit	Explanation
bark	BAR	kg		tree bark (raw, dried or powdered; unprocessed)
body	BOD	no.	kg	substantially whole dead animals, including fresh or processed fish, stuffed turtles, preserved butterflies, reptiles in alcohol, whole stuffed hunting trophies, etc.
bone	BON	kg	no.	bones, including jaws
calipee	CAL	kg		calipee or calipash (turtle cartilage for soup)
carapace	CAP	no.	kg	raw or unworked whole shells of Testudinata species
carving	CAR	kg	m ³	carvings (including wood, and including finished wood products such as furniture, musical instruments and handicrafts). NB: there are some species from which more than one type of product may be carved (e.g. horn and bone); where necessary, the description should therefore indicate the type of product (e.g. horn carving)
caviar	CAV	kg		unfertilized dead processed eggs from all species of Acipenseriformes; also known as roe
chips	CHP	kg		chips of timber, especially <i>Aquilaria malaccensis</i> and <i>Pterocarpus santalinus</i>
claw	CLA	no.	kg	claws – e.g. of Felidae, Ursidae or Crocodylia (NB: 'turtle claws' are usually scales and not real claws)
cloth	CLO	m ²	kg	cloth – if the cloth is not made entirely from the hair of a CITES species, the weight of hair of the species concerned should instead, if possible, be recorded under "HAI"
coral (raw)	COR	kg	no.	coral, raw or unworked. NB: the trade should be recorded by number of pieces only if the coral specimens are transported in water
culture	CUL	no. of flasks, etc.		cultures of artificially propagated plants

Description	Code	Preferred unit	Alternative unit	Explanation
derivatives	DER	kg/l		derivatives (other than those included elsewhere in this table)
dried plant	DPL	no.		dried plants – e.g. herbarium specimens
ear	EAR	no.		ears – usually elephant
egg	EGG	no.	kg	whole dead or blown eggs (see also 'caviar')
egg (live)	EGL	no.	kg	live fertilized eggs – usually birds and reptiles but includes fish and invertebrates
eggshell	SHE	g/kg		raw or unworked eggshell except whole eggs
extract	EXT	kg	l	extract – usually plant extracts
feather	FEA	kg/ no. of wings	no.	feathers – in the case of objects (e.g. pictures) made of feathers, record the number of objects
fibre	FIB	kg	m	fibres – e.g. plant fibre but includes strings of tennis rackets
fin	FIN	kg		fresh, frozen or dried fins and parts of fins
fingerlings	FIG	kg	no.	juvenile fish of one or two years of age for the aquarium trade, hatcheries or for release operations
flower	FLO	kg		flowers
flower pot	FPT	no.		flower pots made from parts of a plant – e.g. treefern fibres (NB: live plants traded in so-called 'community pots' should be recorded as 'live plants', not as flower pots)
frog legs	LEG	kg		frog legs
fruit	FRU	kg		fruit
foot	FOO	no.		feet – e.g. of elephant, rhinoceros, hippopotamus, lion, crocodile, etc.
gall	GAL	kg		gall
gall bladder	GAB	no.	kg	gall bladder
garment	GAR	no.		garments – including gloves and hats but not shoes. Includes trimming or decoration on garments
genitalia	GEN	kg	no.	castrates and dried penes
graft rootstock	GRS	no.		graft rootstocks (without the grafts)

Description	Code	Preferred unit	Alternative unit	Explanation
hair	HAI	kg	g	hair – includes all animal hair, e.g. of elephant, yak, vicuña, guanaco
horn	HOR	no.	kg	horns – includes antlers
leather product (small)	LPS	no.		small manufactured products of leather – e.g. belts, braces, bicycle saddles, cheque book or credit card holders, earrings, handbags, key fobs, notebooks, purses, shoes, tobacco pouches, wallets, watch-straps
leather product (large)	LPL	no.		large manufactured products of leather – e.g. briefcases, furniture, suitcases, travel trunks
live	LIV	no.	kg	live animals and plants
leaf	LVS	kg	no.	leaves
logs	LOG	m ³		all wood in the rough, whether or not stripped of bark or sapwood, or roughly squared, for processing notably into sawn wood, pulpwood or veneer sheets. NB: trade in logs of special purpose timbers traded by weight (e.g. <i>lignum vitae</i> , <i>Guaiacum</i> spp.) should be recorded in kg
meat	MEA	kg		meat, including flesh of fish if not whole (see "body"), fresh or unprocessed meat as well as processed meat (e.g. smoked, raw, dried, frozen or tinned)
medicine	MED	kg/l		medicine
musk	MUS	g		musk
oil	OIL	kg	l	oil – e.g. from turtles, seals, whales, fish, various plants
piece – bone	BOP	kg		pieces of bone, not manufactured
piece – horn	HOP	kg		pieces of horn, not manufactured – includes scrap
piece – ivory	IVP	kg		ivory pieces, not manufactured – includes scrap
plate	PLA	m ²		plates of fur skins – includes rugs if made of several skins
powder	POW	kg		powder
root	ROO	no.	kg	roots, bulbs, corms or tubers

Description	Code	Preferred unit	Alternative unit	Explanation
sawn wood	SAW	m ³		wood simply sawn lengthwise or produced by a profile-chipping process; normally exceeds 6mm in thickness. NB: trade in sawn wood of special purpose timbers traded by weight (e.g. <i>lignum vitae</i> , <i>Guaiacum</i> spp.) should be recorded in kg
scale	SCA	kg		scales – e.g. of turtle, other reptiles, fish, pangolin
seed	SEE	kg		seeds
shell	SHE	no.	kg	raw or unworked shell of molluscs
side	SID	no.		sides or flanks of skins; does not include crocodilian Tinga frames (see under 'skin')
skeleton	SKE	no.		substantially whole skeletons
skin	SKI	no.		substantially whole skins, raw or tanned, including crocodilian Tinga frames, external body lining, with or without scales
skin piece	SKP	kg		skin pieces – including scraps, raw or tanned
skull	SKU	no.		skulls
soup	SOU	kg	l	soup – e.g. of turtle
specimen (scientific)	SPE	kg/l/ml/ no.		scientific specimens – includes blood, tissue (e.g. kidney, spleen, etc.), histological preparations, preserved museum specimens, etc.
stem	STE	no.	kg	plant stems
swim bladder	SWI	kg		hydrostatic organ, including isinglass / sturgeon glue
tail	TAI	no.	kg	tails – e.g. of caiman (for leather) or fox (for garment trimming, collars, boas, etc.)
tooth	TEE	no.	kg	teeth – e.g. of whale, lion, hippopotamus, crocodile, etc.
timber	TIM	m ³	kg	raw timber except saw-logs and sawn wood

Description	Code	Preferred unit	Alternative unit	Explanation
trophy	TRO	no.		trophy – all the trophy parts of one animal if they are exported together: e.g. horns (2), skull, cape, backskin, tail and feet (i.e. ten specimens) constitute one trophy. But if, for example, the skull and horns are the <u>only</u> specimens of an animal that are exported, then these items together should be recorded as one trophy. Otherwise the items should be recorded separately. A whole stuffed body is recorded under "BOD". A skin alone is recorded under "SKI"
tusk	TUS	no.	kg	substantially whole tusks, whether or not worked. Includes tusks of elephant, hippopotamus, walrus, narwhal, but not other teeth
veneer sheets – rotary veneer – sliced veneer	VEN VEN	m ³ m ²	kg kg	thin layers or sheets of wood of uniform thickness, usually 6mm or less in thickness, usually peeled (rotary veneer) or sliced (sliced veneer), for use in making plywood, for veneering furniture, veneer containers, etc.
wax	WAX	kg		wax, including ambergris
whole	WHO	kg	no.	entire animal or plant (dead or alive)
<p><u>Key to units</u> (equivalent non metric measurements may be used)</p> <p>g = grams kg = kilograms l = litres cm³ = cubic centimetres ml = millilitres m = metres m² = square metres m³ = cubic metres no. = number of specimens</p>				

b) Names of countries and territories

The countries and entities listed below are designated in accordance with the International Standard "Codes for the representation of names of countries" published by the International Organization for Standardization (ISO). Out-of-date names of countries and territories are retained for purposes of recording re-exports of specimens originating in those places. The ISO list is based on the list included in the "United Nations Standard Country or Area Code for Statistical Use" established by the Statistical Office of the United Nations. The names of countries, territories or other areas correspond to those given in the United Nations "Terminology Bulletin", issued by the Department of Conference Services. Some additional entities are included in the ISO International Standard with a view to providing more complete global coverage. However, the designations do not imply the expression of any opinion whatsoever on the part of the CITES Secretariat or the Secretariat of the United Nations concerning the legal status of any country, territory, city or area, or of its authorities, or concerning the delimitation of its frontiers or boundaries.

Code	Name
AF	Afghanistan
AL	Albania
DZ	Algeria
AS	American Samoa
AD	Andorra
AO	Angola
AI	Anguilla
AQ	Antarctica
AG	Antigua and Barbuda
AR	Argentina
AM	Armenia
AW	Aruba
AU	Australia
AT	Austria
AZ	Azerbaijan
BS	Bahamas
BH	Bahrain
BD	Bangladesh
BB	Barbados
BY	Belarus
BE	Belgium
BZ	Belize
BJ	Benin

Code	Name
BM	Bermuda
BT	Bhutan
BO	Bolivia
BA	Bosnia and Herzegovina
BW	Botswana
BV	Bouvet Island
BR	Brazil
IO	British Indian Ocean Territory
VG	British Virgin Islands
BN	Brunei Darussalam
BG	Bulgaria
BF	Burkina Faso
BI	Burundi
KH	Cambodia
CM	Cameroon
CA	Canada
CV	Cape Verde
KY	Cayman Islands
CF	Central African Republic
TD	Chad
CL	Chile
CN	China
CX	Christmas Island

Code	Name
CC	Cocos (Keeling) Islands
CO	Colombia
KM	Comoros
CG	Congo
CK	Cook Islands
CR	Costa Rica
CI	Côte d'Ivoire
HR	Croatia
CU	Cuba
CY	Cyprus
CZ	Czech Republic
KP	Democratic People's Republic of Korea
CD	Democratic Republic of the Congo
DK	Denmark
DJ	Djibouti
DM	Dominica
DO	Dominican Republic
TP	East Timor
EC	Ecuador
EG	Egypt
SV	El Salvador
GQ	Equatorial Guinea
ER	Eritrea
EE	Estonia
ET	Ethiopia
FK	Falkland Islands (Malvinas)
FO	Faroe Islands
FJ	Fiji
FI	Finland
FR	France
GF	French Guiana
PF	French Polynesia
TF	French Southern Territories
GA	Gabon

Code	Name
GM	Gambia
GE	Georgia
DE	Germany
GH	Ghana
GI	Gibraltar
GR	Greece
GL	Greenland
GD	Grenada
GP	Guadeloupe
GU	Guam
GT	Guatemala
GN	Guinea
GW	Guinea-Bissau
GY	Guyana
HT	Haiti
HM	Heard Island and McDonald Islands
VA	Holy See
HN	Honduras
HK	Hong Kong
HU	Hungary
IS	Iceland
IN	India
ID	Indonesia
IR	Iran (Islamic Republic of)
IQ	Iraq
IE	Ireland
IL	Israel
IT	Italy
JM	Jamaica
JP	Japan
JO	Jordan
KZ	Kazakhstan
KE	Kenya
KI	Kiribati
KW	Kuwait

Code	Name
KG	Kyrgyzstan
LA	Lao People's Democratic Republic
LV	Latvia
LB	Lebanon
LS	Lesotho
LR	Liberia
LY	Libyan Arab Jamahiriya
LI	Liechtenstein
LT	Lithuania
LU	Luxembourg
MO	Macau
MG	Madagascar
MW	Malawi
MY	Malaysia
MV	Maldives
ML	Mali
MT	Malta
MH	Marshall Islands
MQ	Martinique
MR	Mauritania
MU	Mauritius
YT	Mayotte
MX	Mexico
FM	Micronesia (Federated States of)
MD	Moldova, Republic of
MC	Monaco
MN	Mongolia
MS	Montserrat
MA	Morocco
MZ	Mozambique
MM	Myanmar
NA	Namibia
NR	Nauru
NP	Nepal
NL	Netherlands

Code	Name
AN	Netherlands Antilles
NT	Neutral Zone
NC	New Caledonia
NZ	New Zealand
NI	Nicaragua
NE	Niger
NG	Nigeria
NU	Niue
NF	Norfolk Island
MP	Northern Mariana Islands
NO	Norway
OM	Oman
PK	Pakistan
PW	Palau
PA	Panama
PG	Papua New Guinea
PY	Paraguay
PE	Peru
PH	Philippines
PN	Pitcairn Islands
PL	Poland
PT	Portugal
PR	Puerto Rico
QA	Qatar
KR	Republic of Korea
RE	Reunion
RO	Romania
RU	Russian Federation
RW	Rwanda
SH	Saint Helena and Dependencies
KN	Saint Kitts and Nevis
LC	Saint Lucia
PM	Saint Pierre and Miquelon
VC	Saint Vincent & the Grenadines
WS	Samoa

Code	Name
SM	San Marino
ST	Sao Tome and Principe
SA	Saudi Arabia
SN	Senegal
SC	Seychelles
SL	Sierra Leone
SG	Singapore
SK	Slovakia
SI	Slovenia
SB	Solomon Islands
SO	Somalia
ZA	South Africa
GS	South Georgia and the South Sandwich Islands
ES	Spain
LK	Sri Lanka
SD	Sudan
SR	Suriname
SJ	Svalbard and Jan Mayen Islands
SZ	Swaziland
SE	Sweden
CH	Switzerland
SY	Syrian Arab Republic
TW	Taiwan, Province of China
TJ	Tajikistan
TH	Thailand
MK	The former Yugoslav Republic of Macedonia
TG	Togo

Code	Name
TK	Tokelau
TO	Tonga
TT	Trinidad and Tobago
TN	Tunisia
TR	Turkey
TM	Turkmenistan
TC	Turks and Caicos Islands
TV	Tuvalu
UM	United States Minor Outlying Islands
UG	Uganda
UA	Ukraine
AE	United Arab Emirates
GB	United Kingdom
TZ	United Republic of Tanzania
US	United States of America
UY	Uruguay
UZ	Uzbekistan
VU	Vanuatu
VE	Venezuela
VN	Viet Nam
VI	Virgin Islands of the United States
WF	Wallis and Futuna Islands
EH	Western Sahara
YE	Yemen
YU	Yugoslavia
ZM	Zambia
ZW	Zimbabwe

c) Purpose of trade

Code	Description
M	Bio-medical research
G	Botanical gardens
B	Breeding in captivity or artificial propagation
Q	Circuses and travelling exhibitions
T	Commercial / Trade
E	Educational
L	Enforcement (e.g. evidence for use in court, specimens for training)
H	Hunting trophies
P	Personal
N	Reintroduction or introduction into the wild
S	Scientific
Z	Zoos

If the purpose of the transaction is not one of the above, it should be explained in the section for remarks.

d) Source of specimens

Code	Description
W	Specimens taken from the wild
R	Specimens originating in a ranching operation
D	Appendix-I animals bred in captivity for commercial purposes and Appendix-I plants artificially propagated for commercial purposes, as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 4, of the Convention
A	Plants that are artificially propagated in accordance with Resolution Conf. 11.11, paragraph a), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5, of the Convention (specimens of species included in Appendix I that have been propagated artificially for non-commercial purposes and specimens of species included in Appendices II and III)
C	Animals bred in captivity in accordance with Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5, of the Convention (specimens of species included in Appendix I that have been bred in captivity for non-commercial purposes and specimens of species included in Appendices II and III)
F	Animals born in captivity (F1 or subsequent generations) that do not fulfil the definition of 'bred in captivity' in Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof
O	Pre-Convention specimens (may be used with another code)
U	Source unknown (must be justified)
I	Confiscated or seized specimens (may be used with another code)

6. Submission of annual reports

- a) Annual reports should be submitted to the Secretariat before 31 October of the year following the year to which they relate.

In accordance with Resolution Conf. 11.17, the Secretariat may approve a valid request from a Party for a reasonable extension of this deadline provided that, before the deadline, the Party concerned submits to the Secretariat a written request containing adequate justification for the delay.

- b) Annual reports should be sent either to the offices of the Secretariat in Switzerland or to the UNEP World Conservation Monitoring Centre (WCMC), which maintains the computer database of annual report statistics on behalf of the Secretariat.

However, if the annual report is sent directly to WCMC, a note of transmission of the report must be sent to the Secretariat. Otherwise, the report will not be considered as having been transmitted to the Secretariat in accordance with Article VIII, paragraph 7, of the Convention.

SPECIMEN REPORT

IMPORTS

App.	Species	Description	Quantity	Country of export or re-export	Number of export permit or re-export certificate	Country of origin of re-exports	Purpose	Source	Remarks
	<u>MAMMALIA</u>								
II	<i>Macaca fascicularis</i>	Live	200	ID	456/VI/PA5/SIE/90	-	Research	C	-
II	<i>Macaca mulatta</i>	Live	72	US	765123	PK	Scientific	W	-
I	<i>Hylobates lar</i>	Live 1/1 Adult	2	DE	W-3749/90	-	Zoo	C	-
II	<i>Manis temminckii</i>	Skin	1	GB	037760A071	ZA	Scientific	W/O	-
I	<i>Physeter macrocephalus</i>	Ivory carvings	4	CA	CA-BC-VA-948-90	Unknown	Personal	W	Personal effects
I	<i>Panthera tigris</i>	Live 0/1 Young	1	ES	AB0057/91E-A	-	Zoo	C	-
II	<i>Prionailurus bengalensis</i>	Plates	74 m ²	GB	056523A/5	CN	Trade	W	-
	<u>AVES</u>								
II	<i>Buteo buteo</i>	Feathers	400 wings	HK	APO/EL 115/90	CN	Trade	W	-
	<u>ALCYONARIA</u>								
II	<i>Tubipora musica</i>	Raw coral	2 kg	AU	892086 004	SB	Personal	W	-
	<u>FLORA</u>								
I	<i>Astrophytum asterias</i>	Live	16	US	894719	-	Trade	A	-
II	<i>Pericopsis elata</i>	Saw-logs	27 logs (342 m ³)	CM	1926	-	Trade	W	-
II	<i>Panax quinquefolius</i>	Roots	123 kg	US	916420	-	Trade	W	-
I	<i>Paphiopedilum hirsutissimum</i>	Live	1	IN		-	Scientific	W	Scientific exchange IN 048-CH 035
II	<i>Paphiopedilum hybrids</i>	Live	440	NL	020793A	-	Trade	A	-
II	<i>Guaiacum sanctum</i>	Sawn wood	350 kg	MX	27104	-	Trade	A	-

SPECIMEN REPORT

EXPORTS / RE-EXPORTS

App.	Species	Description	Quantity	Country of destination	Number of export permit or re-export certificate	Country of origin of re-exports	Purpose	Source	Remarks
	<u>MAMMALIA</u>								
I	<i>Callithrix flaviceps</i>	Live 2/3	5	GB	EP695	-	Zoo	C	-
II	<i>Felis bengalensis</i>	Skin pieces	21 kg	GR	EP554	CN	Trade	W	-
I	<i>Elephas maximus</i>	Live 0/4 Adult	4	FR	EP201	Unknown	Circus	F	Temporary re-export
I	<i>Loxodonta africana</i>	Tusks	2 (48 kg)	AT	EP274	MW	Hunting trophy		-
	<u>AVES</u>								
I	<i>Haliaeetus leucocephalus</i>	Live Adult	1	SE	EP664	Unknown	Zoo	W/I	Re-export of confiscated specimens
II	<i>Nandayus nenday</i>	Live	12	DE	EP142	AR	Trade	W	
	<u>REPTILIA</u>								
II	<i>Crocodylus niloticus</i>	Skins	75	JP	EP171	ZW	Trade	R	-
I	<i>Crocodylus siamensis</i>	Skins	10	JP	EP175	KH	Trade	D	-
III	<i>Atretium schistosum</i>	Skins	22	CA	CM299	BD	Trade	W	-
	<u>FLORA</u>								
I	<i>Ariocarpus agavoides</i>	Live	45	IT	EP382	MX	Propagat.	W/I	-
II	<i>Panax quinquefolius</i>	Roots	7.7 kg	CN	EP483	US	Trade	W	-
II	<i>Vanda hybrids</i>	Live	500	US	EP903	-	Trade	A	-

SPECIMEN REPORT

TRADE IN MANUFACTURED PRODUCTS OF SPECIES IN APPENDIX II/III

IMPORTS

Appendix	Species	Quantity	Description	Countries of consignment
II	<i>Manis</i> spp.	17 kg	Derivatives (medicinal)	CN
II	<i>Tubipora</i> spp.	250 (98 kg)	Carvings	BE, DO, FJ, ID
III	<i>Cerberus rhynchops</i>	1,750	Small leather products	ID, VN

EXPORTS / RE-EXPORTS

Appendix	Species	Quantity	Description	Countries of destination	Permits/certificates issued
II	<i>Prionailurus bengalensis</i>	35	Garments	ES, DE, US	12 re-export certificates
II	<i>Rhea americana</i>	497	Small leather products	DE, FR, JP	27 re-export certificates
II	<i>Caiman crocodilus</i>	2,760 150	Small leather products Large leather products	GB, IT, JP, US BE, IT, ZA	16 re-export certificates 3 re-export certificates
II	<i>Guaiacum officinale</i>	44	Wood carvings	CA, DK, NL, US	28 re-export certificates

Note:

The following pages refer to the format under the Convention on Biological Diversity (CBD) for reporting on protected areas or areas where special measures need to be taken, as well as guidelines for reporting on alien species.

Annex II

FORMAT FOR DETAILED THEMATIC REPORTS ON PROTECTED AREAS OR AREAS WHERE SPECIAL MEASURES NEED TO BE TAKEN TO CONSERVE BIOLOGICAL DIVERSITY

The following format for preparing a thematic report on protected areas or areas where special measures need to be taken to conserve biological diversity is a series of questions designed to collect information from the Contracting Parties to facilitate the consideration of relevant thematic issues and programme of work at the seventh meeting of the Conference of the Parties. The responses to these questions will also assist with the assessment of the overall status of implementation of the Convention.

While designing questions, due consideration is given to the fact that the first and second national reports called for by the Conference of the Parties of the Convention have requested some information on protected areas, and some relevant organizations such as IUCN and UNESCO call for reports periodically and promote the information sharing in this field. The thematic report on protected areas will address those specific issues that will be of concern to SBSTTA and the Conference of the Parties to the Convention.

The questions are designed in a way to facilitate completion of the review. In most cases, optional answers are provided and circling the selected answer is required. Following the questions there is a box for further comments and information. Parties are invited to provide a more detailed response to the questions to which more than one answer is given. In particular, this box could be used to identify the priorities in the national strategies and action plans, successes and constraints in implementation and existing and potential areas of cooperation and capacity-building.

This information provided by Contracting Parties will not be used to rank performance between individual Contracting Parties.

In order to assist with the review and synthesis of the information in the reports, respondents are asked to ensure that the further information provided in the box is closely related the preceding questions and is as succinct as possible. This is no set limit on length, but it is anticipated that Parties will be able to provide adequate and useful information in a few pages.

Contracting Parties are also invited to communicate any issues relevant to the provisions of the Convention that have not been addressed by the questions below. The Executive Secretary would also welcome any comments on the adequacy of the questions, and difficulties in completing these questions, and any recommendations on how these reporting guidelines and questions could be improved.

It is recommended that Contracting Parties involve a wide range of stakeholders in the preparation of the report, in order to ensure a participatory and transparent development of such a report. A box is provided to identify those stakeholders who have been involved in this process.

Contracting Parties are requested to submit their thematic reports on protected areas in this format to the Executive Secretary by **30 March 2003**. Parties are requested to submit an original signed copy by post and an electronic copy on diskette or by electronic mail. An electronic version of this document will be sent to all national focal points and this will also be available from the website of the Convention at:

<http://www.biodiv.org>

Completed thematic reports and any comments should be sent to:

The Executive Secretary
Secretariat of the Convention on Biological Diversity
World Trade Center
393 St.Jacques Street, Suite 300
Montreal, Quebec, Canada, H2Y 1N9
Fax: 1-514-2886588
Email: secretariat@biodiv.org

Thematic report on protected areas or areas where special measures need to be taken to conserve biological diversity

Please provide the following details on the origin of this report.

Contracting Party:	
<i>National Focal Point</i>	
Full name of the institution:	
Name and title of contact officer:	
Mailing address:	
Telephone:	
Fax:	
E-mail:	
<i>Contact officer for national report (if different)</i>	
Full name of the institution:	
Name and title of contact officer:	
Mailing address:	
Telephone:	
Fax:	
E-mail:	
<i>Submission</i>	
Signature of officer responsible for submitting national report:	
Date of submission:	

Please provide summary information on the process by which this report has been prepared, including information on the types of stakeholders who have been actively involved in its preparation and on material which was used as a basis for the report.

Protected areas or areas where special measures need to be taken to conserve biological diversity

System of protected areas

1. What is the relative priority afforded to development and implementation of a national system of protected areas in the context of other obligations arising from the Convention and COP Decisions?					
a) High		b) Medium		c) Low	
2. Is there a systematic planning process for development and implementation of a national system of protected areas?					
a) no					
b) in early stages of development					
c) in advanced stages of development					
d) yes, please provide copies of relevant documents describing the process					
3. Is there an assessment of the extent to which the existing network of protected areas covers all areas that are identified as being important for the conservation of biological diversity?					
a) no					
b) an assessment is being planned for					
c) an assessment is being undertaken					
d) yes, please provide copies of the assessments made					

Regulatory framework

4. Is there a policy framework and/or enabling legislation in place for the establishment and management of protected areas?					
a) no					
b) in early stages of development					
c) in advanced stages of development					
d) yes, please provide copies of relevant documents					
5. Have guidelines, criteria and targets been adopted to support selection, establishment and management of protected areas?					
a) no					
b) in early stages of development					
c) in advanced stages of development					
d) yes, please provide copies of guidelines, criteria and targets					

6. Does the management of protected areas involve the use of incentive measures, for instance, of entrance fees for park visitors, or of benefit-sharing arrangements with adjacent communities and other relevant stakeholders?	
a) no	
b) yes, incentive measures implemented for some protected areas (please provide some examples)	
c) yes, incentive measures implemented for all protected areas (please provide some examples)	

Management approach

7. Have the principal threats to protected areas and the biodiversity that they contain been assessed, so that programmes can be put in place to deal with the threats, their effects and to influence the key drivers?	
a) no	
b) an assessment is being planned for	
c) an assessment is in process	
d) yes, an assessment has been completed	
e) programmes and policies to deal with threats are in place (please provide basic information on threats and actions taken)	
8. Are protected areas established and managed in the context of the wider region in which they are located, taking account of and contributing to other sectoral strategies?	
a) no	
b) yes, in some areas	
c) yes, in all areas (please provide details)	
9. Do protected areas vary in their nature, meeting a range of different management objectives and/or being operated through differing management regimes?	
a) no, most areas are established for similar objectives and are under similar management regimes	
b) many areas have similar objectives/management regimes, but there are also some exceptions	
c) yes, protected areas vary in nature (please provide details)	
10. Is there wide stakeholder involvement in the establishment and management of protected areas?	
a) no	
b) with some, but not all protected areas	
c) yes, always (please provide details of experience)	

11. Do protected areas established and managed by non-government bodies, citizen groups, private sector and individuals exist in your country, and are they recognized in any formal manner?	
a) no, they do not exist	
b) yes, they exist, however are not formally recognized	
c) yes, they exist and are formally recognized (please provide further information)	

Available resources

12. Are the human, institutional and financial resources available adequate for full implementation of the protected areas network, including for management of individual protected areas?	
a) no, they are severely limiting (please provide basic information on needs and shortfalls)	
b) no, they are limiting (please provide basic information on needs and shortfalls)	
c) Available resources are adequate (please provide basic information on needs and shortfalls)	
d) yes, good resources are available	
13. Has your country requested/received financial assistance from the Global Environment Facility or other international sources for establishment/management of protected areas?	
a) no	
b) funding has been requested, but not received	
c) funding is currently being requested	
d) yes, funding has been received (please provide copies of appropriate documents)	

Assessment

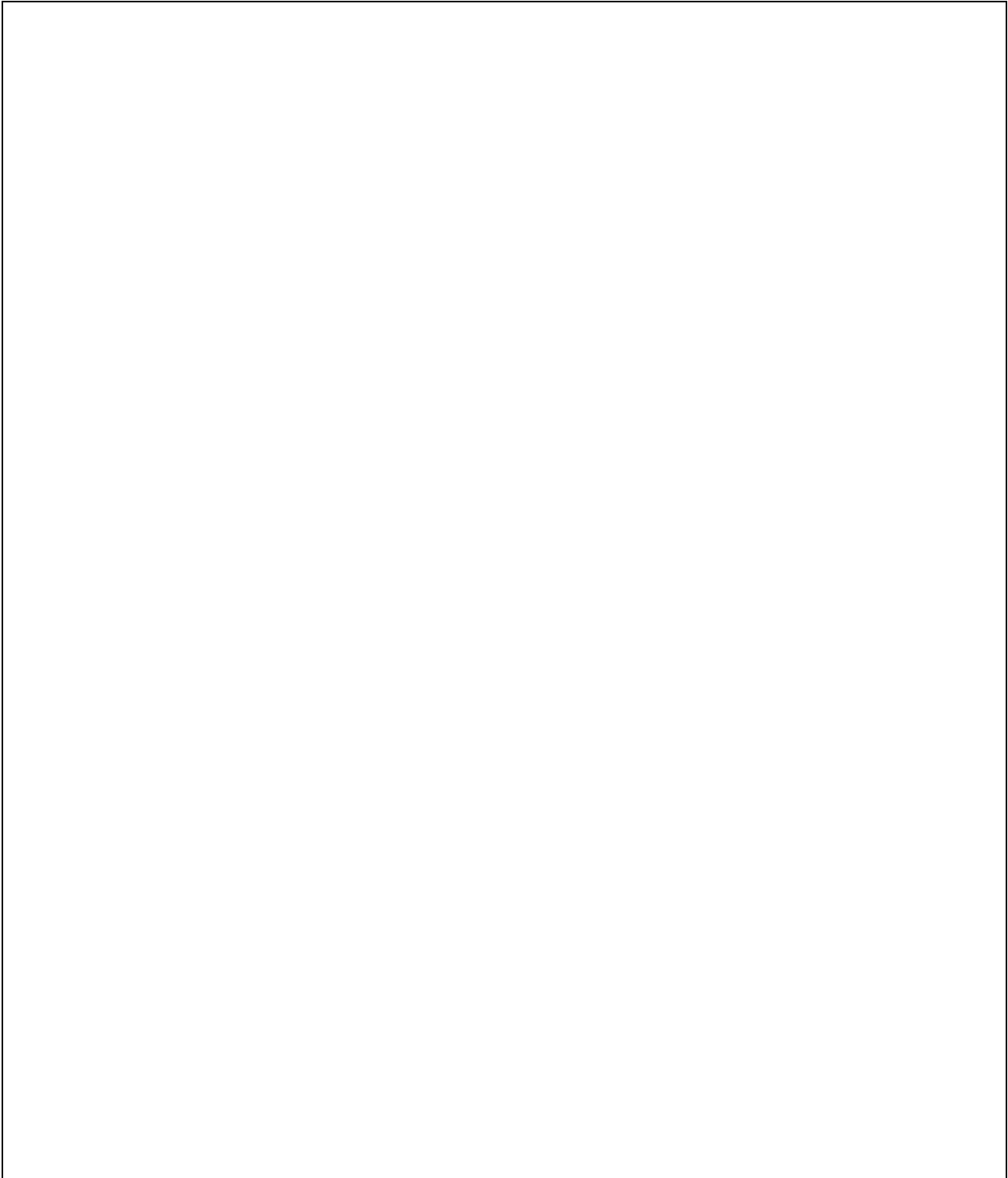
14. Have constraints to implementation and management of an adequate system of protected areas been assessed, so that actions can be initiated to deal with these constraints?	
a) no	
b) yes, constraints have been assessed (please provide further information)	
c) yes, actions to deal with constraints are in place (please provide further information)	
15. Is a programme in place or in development to regularly assess the effectiveness of protected areas management and to act on this information?	
a) no	
b) yes, a programme is under development (please provide further information)	
c) yes, a programme is in place (please provide further information)	

16. Has any assessment been made of the value of the material and non-material benefits and services that protected areas provide?	
a) no	
b) an assessment is planned	
c) an assessment is in process	
d) yes, an assessment has been made (please provide further information)	

Regional and international cooperation

17. Is your country collaborating/communicating with neighbouring countries in the establishment and/or management of transboundary protected areas?	
a) no	
b) yes (please provide details)	
18. Are key protected areas professionals in your country members of the IUCN World Commission on Protected Areas, thereby helping to foster the sharing of information and experience?	
a) no	
b) yes	
c) information is not available	
19. Has your country provided information on its protected areas to the UNEP World Conservation Monitoring Centre in order to allow for a scientific assessment of the status of the world's protected areas?	
a) no	
b) yes	
20. If your country has protected areas or other sites recognised or designated under an international convention or programme (including regional conventions and programmes), please provide copies of reports submitted to those programmes or summaries of them.	
21. Do you think that there are some activities on protected areas that your country has significant experience that will be of direct value to other Contracting Parties?	
a) no	
b) yes (please provide details)	

Further comments



GUIDELINES FOR DETAILED THEMATIC REPORTS ON ALIEN SPECIES

The following format for preparation of a thematic report on alien species is a series of relatively simple questions based on those elements of article 8(h) of the Convention, decision IV/1 of the Conference of the Parties and Recommendations IV/4 and V/4 of SBSTTA which are addressed to Contracting Parties. Responses to these questions will help Contracting Parties to review the extent to which they are successfully implementing the provisions of the Convention and will assist the Conference of the Parties to assess the overall status of implementation of the Convention. The wording of questions follows the wording of the Articles and decisions as closely as possible.

The questions are simple in nature in order to facilitate completion of the review. In most cases they require only a tick in one or more boxes.^{1/} Following the questions there is a box for further comments. Contracting Parties are invited to provide a more detailed response to the preceding questions at this point.^{2/} This is an opportunity to identify particular successes or constraints. In particular this box could be used to identify cases where the reporting of no action or of a partial fulfillment of the obligation is the result of inadequate resources or a need for assistance, rather than a decision not to take action on a particular obligation.

The information provided by Contracting Parties will not be used to rank performance or to otherwise compare implementation between individual Contracting Parties.

In order to assist with the review and synthesis of the information in the reports, respondents are asked to ensure that the further information provided in this box is closely related to the preceding questions and is as succinct as possible. There is no set limit on length, but it is anticipated that Parties will be able to provide adequate and useful information in a few pages.

Contracting Parties are also invited to communicate any issues relevant to implementation of these provisions of the Convention that have not been addressed by the questions below. The Executive Secretary would also welcome any comments on the adequacy of the questions, and difficulties in completing the questions, and any further recommendations on how these reporting guidelines could be improved.

It is recommended that Contracting Parties involve a wide range of stakeholders in the preparation of the report, in order to ensure a participatory and transparent approach to its development. A box is provided in which to identify those groups who have been involved.

Contracting Parties are requested to submit their thematic report on alien species in this format to the Executive Secretary by 30 September 2000. Parties are requested to submit an original signed copy by post and an electronic copy on diskette or by electronic mail. An electronic version of this document will be sent to all national focal points and this will also be available from the Convention's website at:

<http://www.biodiv.org>.

^{1/} If you feel that, in order to properly reflect the circumstances, it is necessary to tick more than one box, please do so. In this case, you are encouraged to provide further information in the box at the end of the set of questions.

^{2/} Please feel free to append to the report further information on any of the questions.

Completed national reports and any comments should be sent to:

The Executive Secretary
Secretariat of the Convention on Biological Diversity
World Trade Centre
393 St. Jacques Street West, suite 300
Montreal, Quebec
H2Y 1N9 Canada

Fax: (+1 514) 288 6588
e-mail: secretariat@biodiv.org

Please provide the following details on the origin of this report

Contracting Party	
<i>National Focal Point</i>	
Full name of the institution:	
Name and title of contact officer:	
Mailing address:	
Telephone:	
Fax:	
E-mail:	
<i>Contact officer for national report (if different)</i>	
Name and title of contact officer:	
Mailing address:	
Telephone:	
Fax:	
E-mail:	
<i>Submission</i>	
Signature of officer responsible for submitting national report:	
Date of submission:	

Please provide summary information on the process by which this report has been prepared, including information on the types of stakeholders who have been actively involved in its preparation and on material which was used as a basis for the report

Article 8h Alien species

1. What is the relative priority afforded to implementation of this Article and the associated decisions by your country?					
a) High		b) Medium		c) Low	
2. To what extent are the resources available adequate for meeting the obligations and recommendations made?					
a) Good		b) Adequate		c) Limiting	
				d) Severely limiting	

3. Has your country identified alien species introduced?	
a) no	
b) only major species of concern	
c) a comprehensive system tracks introductions	
4. Has your country developed national policies for addressing issues related to alien invasive species?	
a) no	
b) yes – as part of a national biodiversity strategy (please give details below)	
c) yes – as a separate strategy (please give details below)	
5. Has your country assessed the risks posed to ecosystems, habitats or species by the introduction of these alien species?	
a) no	
b) only some alien species of concern have been assessed	
c) most alien species have been assessed	
6. Has your country undertaken measures to prevent the introduction of, control or eradicate those alien species which threaten ecosystems, habitats or species?	
a) no measures	
b) some measures in place	
c) potential measures under review	
d) comprehensive measures in place	

Decision IV/1 Report and recommendations of the third meeting of SBSTTA

7. Is your country collaborating in the development of projects at national, regional, sub-regional and international levels to address the issue of alien species?	
a) little or no action	
b) discussion on potential projects under way	
c) active development of new projects	

8. Does your national strategy and action plan address the issue of alien species?	
a) no	
b) yes – limited extent	
c) yes – significant extent	

Case-studies

9. Has your country submitted case-studies on the prevention of introduction, control, and eradication of alien species that threaten ecosystems, habitats or species, in response to the call by the fourth meeting of SBSTTA?	
a) no – please indicate below whether this is due to a lack of available case-studies or for other reasons	
b) yes – please give below any views you may have on the usefulness of the preparation of case-studies for developing a better biological understanding of the problem and/or better management responses.	
10. How many case-studies are available that could be used to gain a better understanding of the issues surrounding alien species in your country?	
a) none	
b) 1-2 – limited understanding	
c) >2 – significant information available	

Transboundary issues

11. Are known alien invasive species in your country also a problem in neighbouring or biogeographically-similar countries?	
a) not known	
b) none	
c) a few – but in general alien invasive species problems are specific	
d) more than a few - in general we share common problems with other countries	
12. Is your country collaborating in the development of policies and programmes at regional, sub-regional or international levels to harmonise measures for prevention and control of alien invasive species?	
a) little or no action	
b) discussion on potential collaboration underway	
c) development of collaborative approaches for a limited number of species	
d) consistent approach and strategy used for all common problems	

Further comments

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