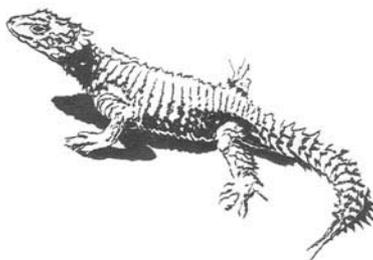


CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES  
OF WILD FAUNA AND FLORA



Twentieth meeting of the Animals Committee  
Johannesburg (South Africa), 29 March–2 April 2004

Review of Significant Trade in specimens of Appendix–II species  
(Resolution Conf. 12.8 and Decision 12.75)

REVIEW OF THE IMPLEMENTATION OF RECOMMENDATIONS

1. This document has been prepared by TRAFFIC International.

Introduction

2. At the 16th meeting of the Animals Committee (AC16, Shepherdstown, December 2000), the Secretariat informed the Committee that it had decided to review the implementation of all recommendations that had been formulated by the Committee in the context of Resolution Conf. 8.9 (Rev.) on Trade in specimens of Appendix–II species taken from the wild (now replaced by Resolution Conf. 12.8 on the Review of significant trade in specimens of Appendix–II species). The Committee supported this initiative.
3. At AC17 (Hanoi, July–August 2001), the Secretariat submitted document AC17 Doc. 7.2, *Review of the implementation of recommendations (Part I: List of species previously reviewed)*. Part II of the Review concerned the compilation by the Secretariat of all recommendations formulated by the Animals Committee (AC) and the Standing Committee (SC) concerning these Appendix–II species, assess the implementation of the recommendations, and analyse their relevance. An oral report on progress was provided at AC18 (San José, April 2002), indicating that the large number of taxa, recommendations and associated responses required the Secretariat to hire a consultant, TRAFFIC International, to assist in the compilation and analysis of the information. This work was initiated in 2003. A further update was provided at AC19 (Geneva, August 2003) in document AC19 Doc. 8.2. The present document provides a description of the database developed.
4. The project undertaken by TRAFFIC International was designed to:
  - a) inventory all recommendations formulated by the AC and the SC in the context of Resolution Conf. 8.9 (Rev.) and subsequently of Resolution Conf. 12.8, and the status of implementation of such recommendations;
  - b) produce a Microsoft Access database containing all relevant information concerning the animal species that were subject to the Review of significant trade; and

- c) identify recommendations that have not yet been implemented, and possible next steps that could be undertaken by the Parties.
5. The work outlined in the paragraphs above is in accordance with Resolution Conf. 12.8, which directs the Secretariat [third DIRECTS, paragraph b)] "to maintain a register of species that are included in the review process...and a record of progress with the implementation of recommendations". The Secretariat and the Chairmen of the AC and PC are also directed to assist with the implementation of paragraph v) of the Resolution whereby the SC should "review recommendations to suspend trade that have been in place for longer than two years, and, if appropriate, take measures to address the situation".
6. The database containing an inventory of the recommendations made and their implementation will be available for demonstration purposes at AC20.

#### Database description

7. The Microsoft Access 97 database contains records of the information for all species reviewed during Phases I–IV as specified below. It contains details of the recommendations made by the AC and SC and their implementation status. A total of 286 animal species have been selected for review during Phases I–IV. All of these species except one (*Vicugna vicugna*) have now been reviewed.
8. The database is divided into different areas or 'tables' that contain different types of information. A list of the different tables is given below, together with a description of the main types of information ('fields') they contain:
  - a) Taxonomic information (about 30 records):
    - i) Higher taxon (Amphibia, Arthropoda, Aves, Mammalia, Mollusca, Pisces, Reptilia);
    - ii) Scientific name. This field links information in all tables; and
    - iii) Synonyms. These have not been routinely entered for all species, but this field is useful to search for the species whose taxonomy has changed since the time they were included in the review process. For example, the Indian bullfrog was known as *Rana tigerina* when reviewed, but information is stored under the current name for this species; *Hoplobatrachus tigerinus*.
  - b) Phase details (about 300 records):
    - i) Phase(s) in which the species was selected for review (I–IV);
    - ii) Date and number of the AC meeting at which the species was selected for review; and
    - iii) CoP period during which the species was selected for review (e.g. CoP 8 – CoP 9);
  - c) Distribution (about 2,150 records): Natural distribution at the country level for all species reviewed.
  - d) Correspondence exchanged prior to the recommendations being made by the Animals Committee: Details of correspondence between Parties and the Secretariat. Currently this table contains few records as this information is not readily accessible in a compiled format for most species. However, in future the details of all such correspondence will be particularly important in light of the newly adopted process for and significance of consultation with range States (paragraphs d–f of Resolution Conf. 12.8).
  - e) Animals Committee's recommendations and evaluation of their implementation (about 3,200 records). This is the main table in the database containing the details of and implementation of AC recommendations by Parties. For each species / range State combination, appropriate details of the recommendations made, the Party's responses to the recommendations, and the evaluation of their response are stored. Also stored are the relevant details of 'recommendations'

made outside the formal Review of Significant Trade, such as recommendations made to all Parties, non-range States or to the Secretariat. For each species / range State combination, the following information is stored:

- i) Date and number of the meeting where the AC reviewed the species;
- ii) Categorization (e.g. urgent, possible or least concern);
- iii) Nature of the recommendation (primary or secondary);
- iv) Recommendation 'type'. Every recommendation has been allocated a type to enable different kinds of analyses. The types of recommendation are as follows:

Basis of non-detriment finding; enforcement measures; export controls; export policy; export quota; harvest quota; identification of specimens; legislation; other; population status and distribution; production systems; temporary export restriction; trade data; wild management programmes;

- v) Action outside the formal process:
  - Details of the recommendation. Note that what might have originally been communicated to a Party as one comprehensive recommendation, may now be stored in the database as two or more recommendations so that the type of all recommendations [as described in paragraph iv) above] can be accurately recorded;
  - Deadline for implementation of the recommendation, usually 3 months (90 days), 12 months or 24 months;
  - Date when the recommendations were sent to the Party (where known);
  - Whether the Party responded, and if so, the details (and dates where known) of that response. This is primarily taken from official meeting documents compiled by the Secretariat for the AC or SC;
  - Whether the deadline for the implementation of the recommendations was met (only available if the dates of a Party's response are known);
  - Evaluation of whether the response was considered satisfactory or not. Again, this is primarily taken from official meeting documents compiled by the Secretariat for the AC or SC;
  - Whether there was any caveat to concluding the response was satisfactory (e.g. satisfactory as long as ban on exports is maintained);
  - Result of the evaluation, e.g. no further action warranted (species exits process) or action by the SC warranted;
  - Whether the recommendation was invalidated (e.g. by transfer of the species to Appendix I) or revised; and
  - Additional notes regarding the response or any action taken by the Secretariat.
- vi) Correspondence between a Party and the Secretariat after recommendations have been made are stored in either this main recommendations table, if appropriate, in the SC table (see below):
  - Standing Committee recommendations (about 150 records);
  - Details (date and number) of the SC meeting where the species was first brought to the attention of the SC;

- Whether a trade restriction was recommended, and if so, the details thereof;
- Whether there was a caveat to the trade restriction (e.g. restriction does not apply to captive-bred specimens);
- The Notification number and date advising Parties of the SC recommendation (i.e. the date the restriction came into effect);
- Whether any other type of action was recommended (e.g. to establish a cautious export quota);
- Details of correspondence between the Party and the Secretariat regarding the SC recommendations;
- Details of discussion at SC meetings;
- Whether the trade restriction (or another type of measure) is still in effect;
- Details (date and number) of the SC meeting where the SC decided to withdraw its recommendations, and therefore the species exited the process; and
- The Notification number and date advising Parties that the SC recommendation was withdrawn.

vii) General analysis of information within the database:

- All the tables in the database (as described above) are linked by a field containing the species name, which means that virtually any combination of information types can be brought together to form a 'query' (a subset of data the user is interested in). The results of a query are usually presented in a spreadsheet format in Access, but can be exported to another software package such as Microsoft Excel.
- A number of basic queries have been designed and can be produced automatically, such as the list of species reviewed by the AC, list of species for which SC recommendations are still in effect, etc. However, as each user of the database will usually have unique needs in terms of the information he/she wants to retrieve out of the data, he/she can customize his/her queries.

viii) Future utilization of the database:

- In close collaboration with relevant range States, the Secretariat, with assistance from TRAFFIC, will assess recommendations that have not yet been implemented, analyse the current relevance of such recommendations and follow-up where appropriate. The feasibility of assisting the range States with current trade suspensions in order to lift eventually the suspension of trade will also be assessed. One of the outputs of these assessments will be a list of project activities to be prioritized by the AC in compliance with Resolution Conf. 11.1 (Rev. CoP12), Annex 2, paragraph f) iii) under the first RESOLVES;
- The Secretariat has yet to make a decision regarding the availability of the database outside the Secretariat.

9. At the time of writing, various analyses based on information stored within the database were still to be made. These will be made available prior to AC20.