

Reports of the Secretariat

ANNUAL REPORT OF THE SECRETARIAT

1. This document provides the 21st annual report of the Secretariat, the report for 1996.

**Introduction**

2. Among the functions of the Secretariat enumerated in Article XII of the Convention, is the obligation "to prepare annual reports to the Parties on its work and on the implementation of the present Convention..." [see Article XII, paragraph 2(g)].
3. During the more than 20 years that have passed since the Convention was signed, the Contracting Parties have mandated the Secretariat to carry out a great number of activities in addition to its main functions, as defined in Article XII, paragraph 2(a) to (i).
4. In the final analysis, all of these primary or secondary, permanent or ad hoc functions and tasks come to one fundamental duty to help the member States to implement as fully as possible their Treaty. They are the only entities responsible for this implementation, albeit not each one alone but in co-operation with all the others on a regional and global basis. Being a crossroads for legislative, scientific, trade and technical information, the Secretariat facilitates this interaction among the Parties.
5. On top of this, the Secretariat assists all the other actors in the field, the numerous non-governmental conservation organizations, the business community engaged in trade in wildlife and the general public as the user of CITES specimens. In this activity, the Secretariat interacts with numerous other intergovernmental bodies and agencies.
6. It should be added that much of the time of the Secretariat, sometimes probably more than it should be, is taken up with solving the daily administrative and budgetary problems that are inevitable in its smooth running.
7. The world conservation community and the great majority of the States see CITES as a multilateral environmental treaty different from others because of the substantial efforts of the Parties aimed at curbing the illegal international trade in wildlife and at efficiently controlling the legal trade in order to eliminate any threat to the survival of the wild fauna and flora stemming from such a trade. To achieve this sublime objective of the Convention however the Parties undoubtedly need the contribution of an efficient Secretariat.

**Assistance to the Parties**

**Circulating information**

Notifications to the Parties

8. Between 1 January and 31 December 1996, the Secretariat sent 53 Notifications to the Parties. No Notifications were sent to the Contracting or Signatory States.
9. The Notifications to the Parties dealt with the following subjects:
  - annual reports
  - CITES Directory
  - co-operation with the Convention on Biological Diversity
  - co-operation with ICPO-Interpol
  - disposal of live animals
  - export quotas

- giant pandas – loans
- implementation of Resolution Conf. 8.9 (significant trade)
- implementation of Resolution Conf. 9.13
- implementation of Resolution Conf. 9.22
- operations artificially propagating specimens of Appendix-I species
- operations breeding Appendix-I species in captivity
- meetings of CITES Committees
- membership of CITES Committees
- national legislation
- permits and certificates
- project proposals
- scientific institutions
- security stamps
- specific reservations
- specimens bred in captivity
- trade in bear specimens
- transmission of documents
- vacancy at the Secretariat
- whales and illegal trade in whale meat

The Directory

10. The Secretariat continues to maintain a loose-leaf directory of the Management Authorities and Scientific Authorities of the Parties. The directory also contains, in accordance with Resolution Conf. 9.5, the information that has been provided to the Secretariat by the non-Parties on their competent authorities and scientific institutions.
11. The Secretariat regularly sends updated directory sheets to the Parties. In 1996, more than 100 updates were sent.

The Identification Manual

12. In 1996, the Secretariat prepared the following new sheets for the English edition of the Identification Manual (texts received as contributions from France, Switzerland and the United Kingdom):
  - Caprinae (13 sheets)
  - *Anas formosa*
  - Accipitriformes (57 sheets)
  - *Eudocimus ruber* spp.
  - Bucerotidae (5 sheets)
  - *Serinus* (2 sheets)
  - *Pitta* (2 sheets)
  - Reptiles (53 sheets)
13. Work on the **French** edition continued to progress and about 400 additional sheets were translated and printed in 1996. The Government of France provided additional funding for the preparation of this edition and also for its distribution to French-speaking countries.
14. Thanks to a grant from Germany, the translation of the Identification Manual into **Russian** has been made possible. In co-operation with the Management Authority of the Russian Federation, the translation was done and printing was completed. Distribution was finalized in 1996.
15. On other matters concerning identification, thanks to a donation from the Aage V. Jensen Charity Foundation (Denmark), the Secretariat was able to provide all Management Authorities with free copies of the book 'The Birds of CITES' and it continued to be distributed in 1996. The Management Authority of Canada has published the second volume of its identification man-

ual for enforcement officers, which includes the crocodilians.

#### Other Publications

16. The reference book 'The Evolution of CITES', written by W. Wijnstekers, continues to be distributed. With the financial assistance of the French and Spanish Governments and the European Commission, in 1996 a large part of the translation into French and Spanish was carried out.
17. The Secretariat published the 'Checklist of CITES Species' in the three working languages of CITES. This was prepared by the World Conservation Monitoring Centre. Copies were sent to every Party.

#### **Training of Personnel Responsible for the Implementation of CITES**

18. Since 1989, the Secretariat has developed its training activities in two areas: organization of training seminars and preparation of training material.

#### Training Seminars

19. In order to improve the implementation and enforcement of the Convention, it is essential that the officers in charge of these activities receive training. This is normally the responsibility of each individual Management Authority but the authorities of many countries do not have adequate means or instructors with full knowledge of the provisions of CITES and its Resolutions. For this reason, the Secretariat organizes training seminars. Priority is given to regional seminars but, at the request of some Management Authorities, training seminars have also been organized at a national level. Training is principally directed towards officers of the Management Authorities, Scientific Authorities, Police and Customs but training sessions have also been attended by staff from justice departments as well as by traders and representatives of conservation NGOs.
20. The seminars enable officials to improve their ability to implement CITES by understanding the requirements and procedures, and to deal with the most difficult enforcement problems and develop international co-operation. They familiarize officials with the daily actions to be undertaken, and with the ways to enforce controls on trade in wildlife specimens.
21. Seminars also provide an opportunity for group discussion and for exchange of information between Parties regarding CITES enforcement, resulting in strengthened co-operation and co-ordination.
22. In 1996, 20 training seminars were organized by the Secretariat (see details in document Doc. 10.32). This represents 1,084 people trained and 5,125 participants x days of training. Most of these seminars were financed by external funding.
23. Among these seminars one was organized in co-operation with the US Fish and Wildlife Service (in the Philippines), one with IATA and one with the World Customs Organization.
24. In addition, while on missions, staff members often used the opportunity to conduct training related activities.

#### Training Material

25. The Secretariat has produced about 200 overhead sheets that are used for training purposes. All of them exist in the three working languages of the Convention and they are continuously being updated and improved. In 1996, the Secretariat initiated the development of a new series of overheads in colour and prepared computerized presentations.

26. The Secretariat also benefited from the assistance of Dr Alain Bonneau (from the Management Authority of France), who prepared drawings for the overheads.

#### **Assisting the Parties in the Field**

##### Africa

27. The Secretariat undertook technical-advice missions to Burkina Faso, Côte d'Ivoire, Egypt, Eritrea, Ethiopia, Mali, Sierra Leone and Uganda, during which the Secretariat held meetings with officials of the Management and Scientific Authorities and, whenever possible, with officials of other co-operating law enforcement agencies, including Police, Customs and airport authorities. Except for Burkina Faso, Egypt and Ethiopia, the countries visited were new CITES Parties.
28. In Uganda the Secretariat assisted the Management Authority to revise the proposal to maintain its population of *Crocodylus niloticus* in Appendix II pursuant to Resolution Conf. 3.15. In Ethiopia and Mali it assisted in the revision of draft national legislation to provide for the adequate implementation of CITES.
29. In Egypt, the Secretariat was able to help to solve a number of routine CITES enforcement problems and, in the company of the Director General of the Egyptian Wildlife Service, held meetings with heads of other agencies that co-operate in the implementation of CITES, including the Veterinary Quarantine Service.
30. While in Egypt, the Secretariat discussed the proposed CITES training seminar, which could not be conducted in 1994/95 because of a lack of funds. It is expected that it will be held during the second half of 1997.
31. The Secretariat also visited Botswana, together with the Panel of Experts on the African elephant, to provide advice to them as they started their evaluation of three proposals to CoP10 to transfer populations of the African elephant to Appendix II of CITES.
32. In addition, the Secretariat sent a consultant to Madagascar to assist the Management Authority on the issue of the maintenance its population of *Crocodylus niloticus* in Appendix II of CITES pursuant to Resolution Conf. 3.15 on ranching. In addition, the consultant assisted with the review of the objectives, expected outputs, work plan and the budget of externally-funded CITES project S-102, which concerns the development of a programme for the management and sustainable use of this population.

##### Asia

33. Two countries that are of especial importance because of their size and their role in the international trade in wildlife acceded to CITES in 1996: Mongolia in April and Saudi Arabia in June.
34. In the Secretariat, several changes took place regarding the co-ordination for the region. This started in fact in mid-December 1995 with the retirement of the former Deputy Secretary General who, however, took this function again in mid-March when he was hired as an Adviser to the Secretariat. In June, the Assistant Co-ordinator, Miss Koyama, left the Secretariat because her secondment by the Government of Japan was terminated and her position was not included in the budget for the Trust Fund. A further change took place in November 1996 with the reorganization of the Secretariat.
35. From 25 August to 8 September, the Secretariat visited Mongolia and Japan. The visit to Mongolia was of particular importance because of its recent accession to CITES and the fact that Mongolia had never had much contact with other Parties or the Secretariat, except through its participation as an observer at the ninth

meeting of the Conference of the Parties. Most of the time spent by the Secretariat in Japan was to participate in a workshop on control of potential trade in ivory after the 10th meeting of the Parties.

36. In December, the Secretariat participated in the Asian regional meeting, an annual event, which was held in Jordan. Although the number of participants in the meeting was not as great as expected, in particular from non-party States of the Middle East, it was successful and useful.
37. Three training seminars were held in Asia in 1996. The first one was in the Philippines in February; the second one in Malaysia in July; and the third one in Hong Kong in November. The last two were in fact in two parts, the second being devoted to the training of trainers. On these occasions, the representatives of the Secretariat had also the opportunity to consider other issues relevant to the implementation and enforcement of CITES in the countries concerned.
38. In September, the technical workshop that the Secretariat was directed to convene by Resolution Conf. 9.15 on the Conservation of Edible-nest Swiftlets of the Genus *Collocalia* was held in Surabaya, Indonesia. The workshop was very successful and allowed the participants to learn much about the house production of swiftlet nests in the region (see also document Doc. 10.50). This also allowed the Secretariat representative to consider implementation and enforcement issues with the Indonesian authorities.
39. In 1996, much attention remained focused on Asia, in particular its eastern part, because of the trade in animal and plant specimens, in particular of Appendix-I and -II species, used in traditional oriental medicine. However, thanks to actions taken in the countries considered to be the main consumers, none of these countries was threatened with trade sanctions as had been the case in previous years. On the contrary, the sanctions imposed by the United States of America under the Pelly Amendment on the Chinese Province of Taiwan were lifted in 1996. In addition, in particular following actions taken in other parts of the world, it became better understood that the problems of conservation posed for certain species by their use in medicine are far from being limited to traditional Chinese or oriental medicines and have to be tackled on a global basis. The need to co-operate with traditional medicine communities and industries, as recommended in Resolutions Conf. 9.13 and Conf. 9.14 on the tiger and rhinoceroses, was better understood also and is now recognized as the best way to reduce the illegal trade and to protect the interests of the producers and consumers of these specimens and, finally, to promote the conservation of the species concerned. It is obvious however that there remains much to do in Asia and elsewhere.

#### Central and South America and the Caribbean

40. The Secretariat continued to develop its co-operation with the countries of the region.
41. In February 1996, the Secretariat participated in a workshop on sustainable use, organized by the Amazonian Co-operation Treaty, held in Paramaribo, Suriname. This workshop was attended by all States members of the Treaty (Bolivia, Brazil, Colombia, Ecuador, Guyana, Peru, Suriname and Venezuela). This meeting offered the Secretariat the opportunity to discuss with the delegations of the above-mentioned countries all subjects related to CITES. The Secretariat made a presentation on the aims of CITES and its links to sustainable use. Detailed explanation was given regarding the CITES species projects in the South

American region. The Secretariat participated actively in the production of the conclusions of the workshop, where all countries concerned recognize in CITES a very valuable tool for sustainable use in that particular ecosystem. The Secretariat has the intention to maintain a close relationship with the Amazon Co-operation Treaty as a way to establish co-operation and a regular exchange of information.

42. After the workshop, the Secretariat also visited Guyana in order to discuss with the Guyanese CITES Management and Scientific Authorities all matters related with CITES, specially these regarding the CITES legislation. Other important matter discussed were those related with the CITES Significant Trade Process (Resolution Conf. 8.9), particularly from the moment that Guyana lifted the export ban on wildlife by the end of 1995. The Secretariat also visited the UNDP Office in order to obtain their co-operation to fund a trilateral meeting with the Management Authorities of Guyana, Suriname and Venezuela in order to establish as much as possible common policies regarding the exports of live animals from Guyana and Suriname and to incorporate in that discussion Venezuela that has expressed several times its concern regarding the quotas established by the countries above-mentioned.
43. In May 1996, the Secretariat was invited to a regional meeting on the status of *Eretmochelys imbricata* in Cuba, where numerous countries from the Caribbean region participated. The aim of the meeting was to exchange information on the status of the species at regional level and to try to obtain a regional consensus on how to approach the possible sustainable use of this species. After the meeting, the Secretariat took the opportunity to give a one-day seminar on CITES for the Scientific and Management CITES Authorities of Cuba and to discuss with them several matters regarding CITES species as black coral, caimans and flamingos.
44. In July 1996, the Secretariat was invited to a regional meeting in Puerto Rico organized by the Caribbean Fishery Management Council. It was a very successful meeting, where the basis for a regional plan for the species could be established. The Animals Committee should take into consideration these discussions when preparing its recommendations made in accordance with Resolution Conf. 8.9. Approximately 18 countries of the Caribbean region attended the meeting.
45. At its seventh meeting (San José, Costa Rica, 11-15 November 1996) the Plants Committee discussed a report (a review of national reporting procedures for trade in plants listed in the CITES Appendices) prepared by the World Conservation Monitoring Centre (WCMC) under contract with the Secretariat. Because of the many inadequacies noted in annual reporting on trade in plants, the Plants Committee decided that it was not possible to prepare a draft resolution on wild-collected plant specimens along the lines of the one for fauna (Resolution Conf. 8.9). It therefore developed a series of procedures for the implementation of Significant Trade Studies for plants. It also instructed the Secretariat and its Co-ordinator for Significant Trade Studies for Plants to prepare a document for consideration at the 10th meeting of the Parties. The Plants Committee expects that, with the information derived from these studies, it will be possible to prepare a draft resolution for consideration at the 11th meeting of the Conference of the Parties. The Secretariat is charged to prepare a Notification to the Parties on the conclusions and recommendations resulting from the report prepared by WCMC.

#### Europe

46. For reasons of efficiency, the CITES Secretariat has divided its activities for the European region into two sections: northern Europe (Austria, Denmark, Estonia, Finland, Germany, Ireland, Iceland, Latvia, Lithuania, Netherlands, Norway, Sweden, United Kingdom); and southern and eastern Europe (other European countries, including the Russian Federation and all the CIS Republics). By doing this, the Secretariat expects to be able to strengthen its already strong relations with the region's CITES Management Authorities.
47. The political changes and the more easy access to the international markets has resulted in a strong increase in trade in Eastern European countries and, unfortunately, also the development of illegal trade. The Secretariat has worked very closely with the Management Authorities of Bulgaria, the Czech Republic, Hungary, Poland, the Russian Federation and Slovakia in order to ensure that this increase is adequately handled and received strong support from these Management Authorities. However the economic upheavals and a serious lack of financial means to ensure adequate implementation and enforcement have seriously limited their ability to take the necessary measures. Nevertheless, it should be noted that all these Management Authorities have made a tremendous effort to implement the Convention and should be congratulated for this.
48. The Secretariat continued to increase its contact with the CIS republics. Thanks to the financial support of the Swiss Government a training seminar for all the republics was organized and this was a good opportunity for discussion with the authorities. Furthermore, Georgia acceded to CITES and several other republics have made significant progress toward accession. The Secretariat also benefited from the help of a student who assisted in the translation of some of the most important Resolutions into Russian.
49. Illegal trade to and from the former Yugoslavia was still of great concern. In fact, owing to the financial crisis, illegal trade is believed to have increased. Good contacts were established only with the Croatian and Slovenian authorities.
50. The Secretariat maintains a good relationship with the European Commission and participated in the first meeting of the European Union (EU) Enforcement Working Group. The Secretary General was invited in June to participate in the meeting of the EU CITES Committee. The Commission supports many of the Secretariat's projects and there was a considerable exchange of information between the two organizations. In addition to the relationships that have long existed with the Directorate General for Environment, Nuclear Safety and Civil Protection (DG XI) and the Directorate General for Development (DG VIII), the Secretariat strengthened its ties with the Directorate General of the Customs Union and Indirect Taxation (DG XXI), which accelerated the diffusion of information to EU Customs authorities, especially in cases of fraud.
51. The Secretariat continued discussions with the Commission and the Member States on the new EU Regulation to implement CITES. This regulation was approved at the Council of Ministers in December 1996.
52. The Secretariat also had meetings with representatives of several EU Management Authorities and visited several countries.
53. With the financial support of the European Commission, Austria, Finland, France, the Netherlands, Sweden and the United Kingdom, the Secretariat organized three training seminars for EU countries (to which some Eastern European countries were invited), one training seminar on plants and one specifically for French Customs.
54. The Secretariat kept in close contact with TRAFFIC Europe and its national offices.
55. The Secretariat had regular contacts with many non-party States in the European region (Croatia, Iceland, Ireland, Latvia, Lithuania and Slovenia) to elicit their accession to CITES.
56. Turkey acceded to CITES.
57. In June the Secretariat participated in a meeting in Estonia organized by the three Baltic States. During two days, various aspects of CITES implementation were discussed, and information and training was provided. The Secretariat also discussed the possible future accession of Latvia and Lithuania. In fact, the Latvian parliament approved the Latvian instrument of accession in December 1996.
58. The co-operation between the various countries in the Finno-Scandinavian region was further improved by having participants from all the countries concerned attending the seminars organized in Finland and Sweden.
- North America
59. This region consists of only three Parties: Canada, Mexico and the United States of America. Canada and the United States of America do not normally request assistance from the Secretariat in matters concerned with routine implementation of the Convention within their countries but both Parties are particularly proactive in both implementation and enforcement matters.
60. All three Parties in the region take an interest in furthering the Convention both within the region and throughout the world and the North American region is a good example of continuing co-operation between Parties in implementation and enforcement of the Convention. For example, the United States Fish and Wildlife Service continues to provide a significant amount of training assistance to Mexico.
61. Particular activities by Parties during 1996 included the development by Mexico of new domestic legislation for the implementation of CITES, which was due to be introduced early in 1997. Canada also implemented new wildlife protection legislation. Canada also published an identification manual for enforcement officers on crocodilian species which was fully endorsed by the Secretariat.
62. During 1996 the Secretariat co-operated with the Parties on a number of investigations, both initiated in and directed towards the region and has maintained good relations with the forensic laboratory of the United States Fish and Wildlife Service.
63. Regarding training activities during 1996, the Secretariat co-operated with the United States Fish and Wildlife Service in a training seminar in the Philippines, while Canada provided trainers for the training seminars in Gabon.
- Oceania
64. Although contacts have been developed with some countries of the region, the Marshall Islands, the Solomon Islands and Tonga in particular, and specifically concerning marine species, such as giant clams, none of these States acceded to CITES in 1996.
65. The Secretary General visited Australia and New Zealand during two missions and had in particular dis-

cussions about the accession of Small Island Developing States (SIDS) to CITES. Regarding this issue, contacts were maintained with the South Pacific Regional Environment Programme (SPREP), with a view to the Secretariat participating in a SPREP meeting to consider issues relevant to CITES. Unfortunately, it was not possible to achieve this goal in 1996 but the discussions continued with the help of the Management Authorities of Australia and New Zealand and the workshop is planned for the spring of 1997.

66. The accession of SIDS of the Oceanian region would be significant because it is known that a substantial trade, legal and probably illegal also, in marine species exists between these States and Asian countries, in particular with Taiwan Province of China. Much of this trade is not conducted in accordance with the provisions of the Convention and might represent an important part of the global trade in CITES species that is conducted outside CITES controls.

### **Maintaining the Database on Trade**

#### Presentation of the Database

67. All of the statistics in annual reports of the Parties submitted in accordance with Article VIII, paragraph 7(a), are entered into the CITES trade database. This work is done by the Wildlife Trade Monitoring Unit of the World Conservation Monitoring Centre (WCMC) in Cambridge, United Kingdom under a consultancy contract with the Secretariat. In 1996, 315,428 trade records were entered into the database.
68. WCMC continued to develop the software that allows automated checking of the records in database, to ensure that the recorded origin of each wild-taken specimen is in the range of distribution of the species and to check the validity of combinations of data relating to taxon, term unit, purpose, source, etc. All data entered in the database now go through automatic checks and WCMC writes to Parties on behalf of the Secretariat when it discovers discrepancies

#### Annual Reports of the Parties

69. In the course of 1996, 139 partial or complete annual reports were received, including two from non-party States. Of these, 26 were submitted on or were accompanied by diskettes or computer tapes (compared with 16 in 1993); and reports were received by electronic mail from Australia, Brazil, Slovakia and the United States of America. However, only nine of those submitted in electronic media were in a format that allowed automated entry of the data in the CITES database.

#### Utilization of the Database

70. During 1996, there was only one request for a comparative tabulation of all the records of trade relating to a particular Party. This was from Namibia.
71. However, a number of other outputs were obtained from the database in 1996 and WCMC responded to over 200 requests for print-outs of trade statistics, not only from the permanent CITES Committees, Management and Scientific Authorities and the Secretariat, but also from conservation organizations, animal welfare organizations, traders, zoos, museums, universities, film companies and journalists. The Secretariat is delighted by the continued increase in the use that is being made of the database.

### **Projects**

#### General Comments

72. At the request of the Conference of the Parties, the Secretariat has spent substantial time and effort in

securing additional funding to undertake special projects.

#### General Regulations

73. In accordance with the decisions taken by the Conference of the Parties at its seventh meeting, the Standing Committee decided to classify externally funded projects into two main categories:
74. – A-type projects, which include routine technical-assistance projects, which the Secretariat is authorized to undertake as soon as funds become available, such as:
75. – travel for the Secretariat staff or experts to attend meetings;
76. – CITES implementation training seminars, consultations on problems concerning CITES implementation; and
77. – other assistance to developing countries in improving their implementation of the Convention; and
78. – S-type projects, which include scientific studies on certain species and must have the approval of the Standing Committee before the process of seeking funds is started.
79. Priorities established by the Standing Committee for the selection of projects are as follows:
80. – development of protection, conservation or management programmes for a species currently threatened by trade or suffering over-exploitation, so that it can be restored to a level consistent with its role in the ecosystem in which it occurs;
81. – provision of technical advice, scientific information and any form of assistance to the Parties for the better implementation of the Convention;
82. – development and delivery of training packages for the effective implementation and enforcement of the Convention; and
83. – assistance to developing countries to allow their full participation in the Convention.
84. During 1996, 20 in A-type projects and 17 S-type projects were initiated or completed in different regions of the world by the CITES Secretariat. Details of these are to be found in document Doc. 10.14.

#### A-type Projects

##### **Africa**

85. Gabon (A-113) – CITES enforcement seminars (status: completed)
86. United Republic of Tanzania (A-118) – CITES enforcement seminars (status: completed)
87. United Republic of Tanzania (A-102) – Elephant conservation (status: on-going)
88. Regional (A-120) – Meeting on the African elephant (status: completed)

##### **Asia**

89. Regional (A-116) – Swiftlet workshop (status: completed)

##### **Central and South America and the Caribbean**

90. Guyana (A-097) – Development of national legislation to implement CITES: Technical Assistance to Guyana (status: on-going)
91. Colombia (A-092) – Management of captive breeding of wildlife in Colombia (status: completed)

## Europe

92. Regional (A-069) – CITES implementation seminars for officials in the European Union (status: completed)
93. Regional (A-083) – CITES training seminars in the CIS republics (status: completed)

## Global

94. A-011 – Enforcement project (status: on-going)
95. A-031 – Printing of CITES permits (status: on-going)
96. A-032 – Animals Committee meeting (status: completed)
97. A-033 – Seventh meeting of the Plants Committee, 11 to 15 November 1996, San José, Costa Rica (status: completed)
98. A-034 – 37th meeting of the Standing Committee (status: completed)
99. A-044 – CITES Identification Manuals in English (status: on-going)
100. A-045 – CITES Identification Manuals in French (status: on-going)
101. A-046 – CITES Identification Manuals in Spanish (status: on-going)
102. A-073 – Guide for the identification of artificially-propagated and wild-collected specimens of Orchidaceae (status: completed)
103. A-086 – CITES Identification Manuals in Russian (status: on-going)
104. A-101 – Review of 'how to improve the effectiveness of CITES' (status: first phase completed)

## S-type Projects

### Africa

105. Madagascar (S-102) – Survey of crocodiles in Madagascar (status: on-going)
106. Madagascar (S-052) – Population studies on Malagasy succulents (on-going)
107. Nigeria (S-075) – Survey and monitoring of the African monitor lizard populations in Nigeria (status: on-going)
108. Regional (S-060) – Status survey, distribution and utilization of the African grey parrot (*Psittacus erithacus*) in central and west Africa (status: on-going)

### Asia

109. China (S-064) – Ecology and management for sustainable utilization of the leopard cat in China (status: on-going)
110. Philippines (S-070) – Survey of the status of corals in the Philippines with a view to sustainable use (status: on-going)
111. Thailand (S-057) – Survey of the orchid trade in Thailand (status: on-going)

### Central and South America and the Caribbean

112. Argentina (S-032) – Survey of the status of *Rhea americana* in Argentina (status: completed)
113. Argentina (S-058) – Trade in blue-fronted Amazon in Argentina and breeding and habitat requirements (status: on-going)
114. Bolivia (S-089) – Sustainable utilization and management of caimans in Bolivia (Phase II) (status: on-going)

115. Colombia (S-038) – Collection of data on the status, distribution, systematics and conservation of Colombian crocodylians (status: completed)
116. Peru (S-077) – Management of peccary in the Peruvian Amazon (status: on-going)
117. Peru (S-078) – Survey of *Brotogeris pyrrhopterus* and *Aratinga erythrogenys* in Peru (status: on-going)
118. Venezuela (S-066) – Caiman population survey in the Orinoco Delta, Venezuela (status: completed)

### North America

119. Mexico (S-053) – Population studies on Mexican cacti and evaluation of the possible and actual impact of legal and illegal trade on these populations (status: on-going)

## Global

120. S-056 – Review of international trade in the orchid genus *Dendrobium* (status: on-going)
121. S-109 – Trade in medicinal plants (status: on-going)

## Contributing to the Improvement of the Implementation of CITES

### *Prevention of Infractions*

#### Policy of Prevention

122. The policy of trying to prevent infractions is aimed at training the people in charge of all aspects of control of international trade, from the issuing of permits to the carrying out of Customs formalities. The Secretariat's policy also is to circulate information likely to assist these people.
123. Most of the circulation of information is carried out by means of Notifications to the Parties. The Secretariat distributes information on national legislation, permit forms currently being used by the Parties, lost or stolen permits or security stamps, etc.

#### Confirmation of Permits

124. In 1996 the Secretariat was involved increasingly in determining the validity of permits and certificates issued by Parties. This was done to ensure that irregular, falsified or false documents were not accepted by Parties and has led to the discovery of some serious infractions. In 1996, the Secretariat received more than 4,000 requests from the Parties to confirm the validity of permits.
125. In 1996 the Secretariat maintained data about permits on several databases in different offices. At the end of the year, the creation of a single database was initiated, to be operational early in 1997.
126. Although confirming the validity of documents is a time-consuming and expensive process, it is believed to be worthwhile as it often results in the detection of fraudulent documents that might otherwise have been accepted. Through the process of confirmation of validity of documents, the Secretariat has been able to detect problems that, clearly, could not have been detected by one Management Authority alone because it would not have had available information from other countries. In order to speed up the confirmation process, the Secretariat would hope for more assistance from the issuing countries and would wish to obtain quick responses to its requests for copies of permits issued.
127. The Secretariat has noted that regrettably a significant number of irregular documents were issued by Management Authorities in 1996. The main areas of concern were the issuance of certificates of captive-breeding where it had not been verified that the speci-

mens concerned were bred in captivity in accordance with Resolution Conf. 2.12 (Rev.), and the issuance of re-export certificates where the validity of the export permit of the country of origin had not been verified.

### **Action in Cases of Infraction**

#### Exchange of Information on Infractions

128. Throughout the year, the Secretariat was actively involved in assisting with measures to improve enforcement of the Convention, by receiving from, and providing to, relevant Parties information on alleged infractions. The Secretariat continues to maintain a database that is designed for easy referral to documents that concern alleged infractions, in order to provide this information to Management Authorities and to CITES enforcement officials. The documents in the Secretariat's files are used as the primary reference for the Secretariat's report on alleged infractions.

#### Matters Brought Before the Standing Committee

129. When infractions of the Convention are detected by the Secretariat, it may recommend that the Parties concerned take certain remedial measures to implement the Convention properly. These recommendations are often heeded by the Parties concerned and the matter is concluded successfully. However, in other cases, the recommendations of the Secretariat are not implemented, and if matters of non-compliance by Parties are considered to be of a serious and on-going nature, the Secretariat may present them to the Standing Committee for further consideration, as provided by Resolution Conf. 7.5. The Secretariat is convinced that such reporting procedures are an effective way to help ensure that, where major problems of CITES implementation exist, solutions are found by the Parties concerned in a timely manner.

130. In 1996, the Secretariat reported to the Standing Committee on particular problems of CITES implementation in the European Union (particularly Greece) and in Eastern European countries (particularly regarding inadequate legislation).

### **Relations with the World Customs Organization and Interpol**

#### World Customs Organization

131. The Secretariat continued to work closely with the World Customs Organization, improving the communication between the WCO Secretariat and the CITES Secretariat. The CITES Secretariat is linked to its communication system. The Secretariat also participated in the meetings of the WCO Enforcement Committee.

132. The Secretariat also works closely with the Central Information System (CIS) of WCO. Co-operation has been effective in several cases of infractions, and several "Alerts" have been sent by the CIS on the basis of information provided by the Secretariat. The number of members of WCO who send information on CITES cases to the Secretariat has increased considerably and several issues of the "Commercial Fraud Bulletin" have presented cases of infractions of CITES.

133. On 4 July, the Secretary General of CITES and the Secretary General of WCO signed a memorandum of understanding between the two secretariats.

134. In November 1996, the first meeting of the WCO working group on CITES was organized by the Secretariats of WCO and CITES in Brussels.

135. A brochure on 'Customs and Wildlife' was prepared and will be published in 1997.

136. The CITES Secretariat is currently in discussion with the Nomenclature Directorate and the Harmonized

System Committee of the WCO regarding the inclusion in the WCO Harmonized Commodity Description and Coding System (HS) of information relating to CITES, which will both facilitate trade and improve CITES and Customs controls at import and export. The CITES Secretariat has participated in several meetings of the HS Committee and its working groups and these discussions are now reaching an advanced stage.

137. The members of the WCO have expressed great interest in progressing the matter quickly, in general supporting the initiative taken by the CITES Secretariat.

#### ICPO-Interpol

138. The Secretariat continued to provide to ICPO-Interpol headquarters and to National Central Bureaux (NCBs) information on illegal trade in specimens of CITES species, and to actively participate as an observer in meetings of the Interpol Subgroup on Wildlife Crime. The Secretariat participated also in the first World Conference on Environmental Crime, organized by ICPO-Interpol.

139. The most important news is that the General Secretariat of ICPO-Interpol and the CITES Secretariat have exchanged letters to define the relationship between the two secretariats. The final approval of the Secretary General of ICPO-Interpol was received by the CITES Secretariat on 2 January 1996.

140. The Secretariat has contributed to a revision of the Guidelines for Co-operation between CITES Management Authorities and NCBs (which was published by the Secretariat in 1988) and to a special issue on Environmental Crime of the International Police Criminal Review. It has also contributed substantially to the revision of the "Eco-message".

141. The Secretariat also contributed to ICPO-Interpol's project "NOAH" on the analysis of illegal trade in live reptiles, the results of which were presented in September 1996.

### **The Lusaka Agreement**

142. The Secretariat continued to liaise with the UNEP Environmental Law and Institutions Programme Activity Centre (UNEP/ELI/PAC) on the Lusaka Agreement on Co-operative Law Enforcement Operations Directed at Illegal Trade in Wild Fauna and Flora, which entered into force in December 1996. Parties to the Agreement include Kenya, Lesotho, the United Republic of Tanzania, Uganda and Zambia.

### **Transport of Live Animals**

143. The Secretariat continued its action to improve the conditions of transport of live animals.

144. In January 1996, the Secretariat participated in a training seminar in Frankfurt, Germany, organized by IATA for airline staff, in order to address the problems related with the transport of live animals and the main provisions of the Convention and of the Resolutions of the Conference of the Parties.

145. In March 1996, within the frame of a regular CITES seminar, the Secretariat organized, in the United Republic of Tanzania, a two-day workshop for traders and airline staff responsible for freight, aimed at explaining the Convention and the requirements for transport of live animals.

146. The Secretariat also participated in the regular meeting of the Live Animals Board of IATA.

### **Co-operation with Other Conventions and International and Non-governmental Organizations**

### ***Intergovernmental Organizations and Other Conventions***

147. The Secretariat continued its close contacts with several United Nations agencies in addition to UNEP and the UN Office in Geneva, which provide the administration of the CITES Secretariat.
148. Special attention was paid to WTO and OECD. The latter was preparing a paper on CITES and the Secretariat participated in the discussion of its drafts as well as in meetings at which the report of the Committee on Trade and Environment of WTO to the Singapore Conference was discussed.
149. For information on relationships with the other conservation-related conventions, see document Doc. 10.22.
150. Naturally the contacts with the European Commission, the Council of Europe, the International Whaling Commission, ITTO, ICCAT and the International Office of Epizootics were maintained on a regular basis.

### ***Non-governmental Conservation Organizations***

151. The Secretariat maintained a constant dialogue with a very large number of non-governmental organizations at regional, national and international levels and fully appreciates the invaluable role played by these organizations in achieving the objectives of CITES. It is impossible to enumerate all the organizations that have contributed to the effectiveness of the Convention and to the smooth running of the Secretariat by providing financial support, supplying information, carrying out studies and publishing documents. These are conservation NGOs (national or international), scientific institutions, zoos, botanical gardens, etc. Three organizations however must be mentioned for their overall contribution to the CITES community: IUCN – The World Conservation Union, TRAFFIC and the World Conservation Monitoring Centre (WCMC).
152. IUCN helps the Secretariat substantially, especially in the scientific and legal fields. Through the Species Survival Commission, the CITES Secretariat has rapid access to the most up-to-date information. To improve the co-ordination of activities with this organization, the IUCN Environmental Law Centre was contracted by the Secretariat to complete analyses of legislation for many Parties. In 1996 (in accordance with Decision No. 14 of the Conference of the Parties directed to the Secretariat, adopted at the ninth meeting) the Secretariat contracted IUCN to prepare and manage projects to study species subject to significant trade, and to help raise the funds required.
153. The efforts made by the TRAFFIC network have resulted in significant assistance to the Secretariat. The TRAFFIC network has been one of the most reliable sources of information regarding implementation of the Convention in various countries throughout the world. Its regional representatives have also provided on-site assistance to staff members of the Secretariat during their missions to various countries. One of the TRAFFIC offices (United States of America) is also assisting the Secretariat on the legislation project.
154. WCMC continued to maintain the database of CITES annual report statistics. Together with IUCN and TRAFFIC, it has conducted studies of particular species in the context of the review of significant trade. WCMC also provides important CITES reference tools, most notably, in 1996, the Checklist of CITES Species. The Secretariat also frequently calls on the help of WCMC for information on the status of species.

### ***The Users of Fauna and Flora***

155. The Secretariat continued its contacts and dialogue with several wildlife trade organizations whose interests include species listed in the CITES appendices, in order to make the users of wildlife better acquainted with the goals of the Convention. No rational and sustainable use of wildlife can be achieved without co-operation with them. With the approval of the Standing Committee, the Secretariat has been able to obtain from them external funds for CITES projects all over the world. Furthermore, encouraged by the Secretariat, several of them have attended CITES training seminars.
156. The Secretariat participated in meetings of the Live Animals Board and has strengthened its relationship with IATA.

### ***Undertaking the Tasks Established at Meetings of the Conference of the Parties***

#### ***Consolidating the Resolutions***

157. The Secretariat continued its work on the review and consolidation of Resolutions on behalf of the Standing Committee, and prepared draft consolidated resolutions on cetaceans and on ranching and trade in ranched specimens. These were presented to the Standing Committee, which, at its 37th meeting (Rome, December 1996) agreed that they should be forwarded for consideration at the 10th meeting of the Conference of the Parties. The draft resolutions are contained in document Doc. 10.24.

#### ***Analysing National Legislation***

158. In accordance with Resolution Conf. 8.4, analyses of national legislation for CITES implementation were completed for 81 Parties to the Convention in 1994, and the results of the analyses were reported to the ninth meeting of the Conference of the Parties. The analyses showed that the majority of the Parties reviewed were lacking in at least some areas of implementing legislation.
159. In 1996, the Secretariat continued to pursue the analysis of the legislation of 45 countries that is being carried out by the IUCN Environmental Law Centre and TRAFFIC USA. Most of them were completed for the end of the year.
160. In accordance with Decision No. 6 directed to the Parties adopted at the ninth meeting of the Conference of the Parties, the Secretariat continued to monitor the revision of the national legislation of Parties that were included in the first analysis and, with the assistance of IUCN ELC and TRAFFIC USA, made revisions to the analysis of several Parties.
161. Also in 1996, the Secretariat finalized draft legislation for Guyana, which was sent to Guyana for comments. The Secretariat also initiated the preparation of model legislation for Latin American Countries.

#### ***Significant Trade***

162. During 1996 the Secretariat issued two Notifications to the Parties on the implementation of Resolution Conf. 8.9, Notifications No. 898 of 28 February and No. 917 of 20 June.
163. Through Notification to the Parties No. 898 the Secretariat informed the Parties that the export quotas for three species of tortoise established by one of the countries concerned were considered cautious and that the Secretariat was satisfied that the recommendation of the Standing Committee was implemented. Therefore, the recommendation to suspend imports of these three species was withdrawn.

164. Through the same Notification, the Standing Committee recommended to all Parties to suspend imports of specimens of various species until these States has implemented the relevant primary or secondary recommendations of the Animals Committee or established cautious export quotas. The countries involved were Argentina, Azerbaijan, China, Indonesia, Latvia, Lithuania, Madagascar, Peru, Republic of Moldova, Solomon Islands, Ukraine, United Republic of Tanzania. Resolution Conf. 8.9 gives to the CITES Secretariat the responsibility to determine whether the recommendations of the Animals Committee have been implemented. In these cases the Parties are informed accordingly.
165. In 1994 the Animals Committee had identified 24 species that might be subject to significant levels of trade and with respect to which additional information was needed. IUCN, TRAFFIC and WCMC conducted studies of these species for the Animals Committee. The study concerned 128 range States, which were consulted. In 1996, IUCN, TRAFFIC and WCMC revised their previous report (1995 Review of Selected Taxa) within the context of Resolution Conf. 8.9, taking into account the comments of range States as well as comments made during the 1995 meeting of the Animals Committee. In June 1996, a copy of this report was sent to all members of the Animals Committee and to the Parties.
166. At the 13th meeting of the Animals Committee (Pruhonic, September 1996), the Secretariat presented two documents. One was on the 1995 review of selected taxa, containing the recommendations and other actions and the status of their implementation in the countries concerned. The other was on the 1996 review of selected taxa. It contained a proposal from IUCN (at the request of the Committee) regarding species to be reviewed for the first time in view of the levels of trade in them, and a proposal from the Chairman relating to species that had been reviewed previously and that should be reconsidered. It was agreed, however, that a new cycle of species reviews before the 10th meeting of the Conference of the Parties was not in keeping with the procedure adopted by the Conference of the Parties at its ninth meeting on the process for implementing Resolution Conf. 8.9 (Decision No. 1 directed to the Animals Committee). Therefore the Committee agreed to restrict its work in this connection to species that had already been subject to review. In this context IUCN is planning to initiate field projects in several countries covering, at least 17 species and one genus.

## **Actions on Certain Species**

### ***The Elephant***

167. As a follow-up to the programme of activities agreed by the Representatives of the African Region to the Standing Committee, when they met at the UNEP Headquarters in April 1995, the Secretariat, in collaboration with IUCN – The World Conservation Union, prepared and organized meetings of African elephant range States (subregional and all range States meetings) in Dakar, Senegal, 11-16 November 1996. The Government of Senegal hosted the meetings.
168. The meetings brought together delegates from 31 African elephant range States (Botswana, Burkina Faso, Cameroon, Central African Republic, Chad, Congo, Côte d'Ivoire, Eritrea, Ethiopia, Equatorial Guinea, Ghana, Guinea, Guinea-Bissau, Kenya, Malawi, Mali, Mozambique, Namibia, Niger, Nigeria, Senegal, Sierra Leone, South Africa, Sudan, Swaziland, Togo, Uganda, United Republic of Tanzania, Zaire, Zambia, Zimbabwe), who included high-ranking government

officials and their technical advisers. Particular emphasis was placed on complex issues such as: monitoring the status of elephant populations; government and privately-held ivory stocks (which are growing in most cases); the threat of continuing illegal ivory trade, and necessary controls for any future legal trade in elephant products.

169. The objective of the meetings was to increase understanding between range States of the issues relating to elephant conservation, prior to the 10th meeting of the Conference of Parties (June, 1997). The meetings were financed by Canada, Japan, the United Kingdom, the United States of America, and the World Wide Fund for Nature (WWF).

### ***The Rhinoceroses***

170. In Resolution Conf. 9.14 on rhinoceros conservation, the Conference of the Parties directs the Standing Committee to develop standardized indicators for assessing the effectiveness of conservation measures that the Committee may propose. The Secretariat collaborated with the IUCN/SSC African Rhino Specialist Group in developing such indicators. Progress was reported at the 37th meeting of the Standing Committee (Rome, December 1996).

### ***Timber Working Group***

171. The second meeting of the Timber Working took place in Panama (7-11 October 1996). The meeting was chaired by Dr J. Armstrong. All members of the Timber Working Group had sent delegates, some accompanied by advisers.
172. The TWG was able to complete its agenda, thereby addressing all items in its terms of reference, including a number of issues resulting from the discussions in the first meetings. The conclusions and recommendations of the Timber Working Group related to proposed amendments to Resolutions on permits and on Appendix-III listings, to definitions of terms used in the annotations for several timber species in Appendix II, to the units of measurements to be used in annual reports, to the implementation of the current definition of "artificially propagated", and to the need for further study. The Timber Working Group also recommended that it should be maintained with its current composition. The conclusions of the Timber Working Group were presented at the 37th meeting of the Standing Committee. The Committee recommended that the Secretariat incorporate these into a document for discussion at the 10th meeting of the Conference of the Parties.

### ***Tropical Timber***

173. The Secretariat continued its dialogue with the International Tropical Timber Organization (ITTO) and participated in the biannual meetings of this organization in the Philippines (Manilla) and Japan (Yokohama). The Secretariat has established good contacts with the Secretariat of ITTO.
174. The problems with CITES implementation, noted in 1993 and 1995 have not recurred, and it is to be expected that, following the adoption of some of the recommendations of the Timber Working Group, CITES implementation for trade in timber will be further simplified.

### ***Promoting the Convention***

175. An isolated Secretariat would be ineffective; communication is therefore essential, and as in any communication process, there is a sender and a receiver. The Secretariat plays both roles, but it has numerous correspondents; in particular, the official bodies of CITES

(its Standing Committee, other committees and working groups, Scientific and Management Authorities), governments, international organizations (governmental and non-governmental), the media and the general public.

### **Relations with the Media**

176. The Secretariat receives numerous requests for information from journalists from the printed press and other media. The Secretariat gives press interviews and is also asked to supply a lot of information on the Convention in general, on illicit trafficking and on the status of certain species. The rhinoceroses and elephants, the tiger, bears, parrots, crocodiles and plants are still of particular interest to the media. The Secretariat received over one hundred requests for information from journalists in 1996.

177. Several members of the Secretariat participated in radio and television programmes, particularly on the French-speaking Swiss stations, Radio-France International, Radio Suisse International, Radio Canada International and the BBC World Service.

### **Stamps of the United Nations**

178. The Secretariat continued to work closely with the United Nations Postal Administration. The fourth series of 12 CITES stamps was issued in March 1996 and includes 12 plants. They were issued in New York, Geneva and Vienna with, in each of these places, a special postmark for the first day of issue. Information material related to this series was also published and T-shirts with a picture from one of the stamps were produced.

### **Games and Educational Material**

#### Jigsaw puzzle on parrots

179. Further to the agreement signed by the Secretariat in 1993 with the company James Hamilton, two jigsaw puzzles were produced, one of 1,000 pieces on parrots and another one of 1,500 pieces with wild species of cats. They include a short presentation of the Convention in six languages. In addition to the income to the Secretariat from the direct sale of the jigsaw puzzles, the company offered a percentage on the sale price for the puzzles sold to the public, if they amounted to more than 10,000.

#### "Black Rhino" card game

180. In 1994, the Secretariat signed a contract with the company AG Müller. In accordance with the terms of the contract, the "black rhino" card game sold by the company included the CITES logo and a presentation of the Convention. The company gave the Secretariat a percentage on the amount sold.

181. The product was a game of cards with pictures of animals, mainly for children who wanted to exercise their memory and quick-wittedness. In total there were 12 species listed in the CITES appendices printed on the cards. A leaflet in four languages briefly described the species.

#### Endangered-wildlife games

182. In 1996, the Secretariat continued to distribute copies of the game that was launched on the occasion of the 1990 World Environment Day. Copies were sent to Management Authorities, UNEP Headquarters and Regional Offices, UNICEF Headquarters and Regional Offices, non-governmental organizations concerned with children, and certain journalists.

### **"Conservation and Management" Magazine**

183. Under the agreement that the Secretariat has with the Conservation & Management Foundation (C&M),

which has its headquarters in Buenos Aires, Argentina, during 1996 numbers 4 and 5 of the CITES/C&M magazine were published. The goal of the magazine is to convey the CITES message to the general public around the world. The C&M Foundation is trying also to develop a fund-raising campaign for the species projects that the Standing Committee has approved for the region of South and Central America and the Caribbean. These project proposals were compiled in a brochure that the C&M Foundation is presenting to potential donors.

### **Other Promotional Activities**

#### The General Public

184. The Secretariat received numerous requests for information from teachers, researchers, students and private individuals who wished to know more about the animal and plant trade or about CITES.

185. Furthermore, the Secretariat organized or participated in events intended to inform both specialists and non-specialists about the risks to various species due to excessive or illegal commerce in wild fauna and flora.

#### Special CITES Wine

186. In 1993, the Secretariat signed an agreement with a producer of French wine in order to create a special CITES wine, to be precise, a "Côtes du Rhône" wine from 1989 which received the gold medal at the national competition of "Côtes du Rhône" in 1993. The Executive Director of the United Nations Environment Programme accepted to be the "Godmother of the wine". The distribution of this wine continued in 1996. It was a great success.

### **A Living Convention**

#### **The Proceedings**

187. In 1996, the Secretariat completed work on the proceedings of the ninth meeting of the Conference of the Parties, to be distributed in 1997.

188. In addition, the Secretariat wrote and sent to the Parties the minutes of the 36th meeting of the Standing Committee.

#### **New Parties in 1996**

189. In 1996, the following States became Parties to the Convention.

State	Date of deposit of the instrument of accession	Date of entry into force
Mongolia	05.01.1996	04.04.1996
Saudi Arabia	12.03.1996	10.06.1996
Georgia	13.09.1996	12.12.1996
Turkey	23.09.1996	22.12.1996

190. By 31 December 1996, 134 States were Parties to the Convention.

191. Annex 1 contains a list of the Parties.

### **Amendments and Reservations**

#### Amendment to Article XI, Paragraph 3(a) (financial amendment, adopted in Bonn on 22 June 1979)

192. This amendment entered into force on 13 April 1987. In 1996, no additional Parties accepted it. By 31 December 1996, 52 Parties (including 10 that were not party on 22 June 1979 when the amendment was adopted) had accepted the amendment and it was in

force in 43 other Parties, which joined CITES after 13 April 1987 and are therefore bound by the amended text of the Convention.

193. Annex 2 gives a list of the States for which the amendment has entered into force.

#### Amendment to Article XXI

(adopted in Gaborone on 30 April 1983)

194. In 1996, this amendment was not accepted by any Party. By 31 December 1996, 45 Parties (including 12 that were not party on 30 April 1983 when the amendment was adopted) had accepted the amendment. For this amendment to enter into force, the number required is 54 of the 80 that were Parties on 30 April 1983.
195. Annex 3 gives a list of the States that have accepted the amendment.

#### Amendments to the Appendices

196. No amendment to Appendices I, II and III entered into force in 1996.
197. On the other hand, some of the proposals for amendment of Appendices I and II, in particular those submitted pursuant to Resolution Conf. 3.15 on ranching and those concerning the transfer of populations of the African elephant from Appendix I to Appendix II were submitted during the year. A few others arrived at the Secretariat in late December, the deadline for their submission being 10 January 1997. For further details, see the relevant documents (Doc. 10.85 to Doc. 10.89.)

#### Reservations

198. The only reservations entered in 1996 were those made by Saudi Arabia when depositing its instrument of accession. They concerned all species of the order Falconiformes included in Appendix I.
199. The reservations concerning *Ursidae* spp. and *Moschus* spp. included in Appendix II, which were entered in 1993 for a period of three years by the Republic of Korea, were withdrawn accordingly on 6 October 1996.

#### **Registration of Captive-breeding Operations, Nurseries and Scientific Institutions**

##### Captive-breeding Operations

200. According to Resolution Conf. 8.15, the Secretariat is responsible for the registration of operations breeding Appendix-I species in captivity for commercial purposes. Through Notification to the Parties No. 940, dated 4 September 1996, the Secretariat provided information on captive-breeding operations registered during 1996 from Germany, Madagascar and Mexico. This Notification was accompanied by the register of all operations registered by the Secretariat.

##### Plant Nurseries

201. Resolution Conf. 9.19, directs the Secretariat to compile and update a register of commercial nurseries that artificially propagate specimens of Appendix-I species of plants for export.
202. Through Notification to the Parties No. 904, dated 28 February 1996, the Secretariat announced that it had registered a nursery operating in Spain that propagates specimens of the families Agavaceae, Apocynaceae, Cactaceae, Euphorbiaceae, Fouquieriaceae, Liliaceae and Zamiaceae.

##### Scientific Institutions

203. Through Notification to the Parties No. 924, dated 20 June 1996, the Secretariat sent to the Parties a recapitulatory list of scientific institutions entitled to the exemption provided by Article VII, paragraph 6, of the Convention. In September 1996, through Notification to the Parties No. 939, the Secretariat updated the information, adding scientific institutions from Switzerland and the United States of America.

#### **Administration and Finance**

##### The Staff

204. Two main changes took place in 1996 as far as the Professional staff are concerned. Dr James Armstrong took the post of Deputy Secretary General in September 1996 and Mr Robert Anderson became the Enforcement Officer in November. The former Deputy Secretary General, Mr Jaques Berney was appointed as a Special Adviser until the end of February 1997.
205. Nationalities from Africa, the Americas, Asia, Australia and Europe were represented within the Secretariat.
206. Two governments provided financing for contracting staff in the field of enforcement – the United Kingdom and Italy. The Secretariat thanks both of them for their generosity and their important contribution to the effectiveness of the Secretariat.
207. As far as the distribution of work within the Secretariat is concerned, a new organigramme was developed in October 1996 at the time of the introduction of the new Performance Appraisal System as approved by the UN Headquarters (see document Doc. 10.10).

##### The Budget

208. For information on the budget, please see document Doc. 10.11, which contains data on the expenditures in 1996. All of the revisions necessary to secure funds for the implementation of decisions of the Conference of the Parties or the Standing Committee that were not planned for in the budget approved by the ninth meeting of the Conference, were reported in a timely way to, and approved by, the Standing Committee.

## List of Parties

	State	Date of Entry into Force
1	United States of America	01.07.1975
2	Nigeria	01.07.1975
3	Switzerland	01.07.1975
4	Tunisia	01.07.1975
5	Sweden	01.07.1975
6	Cyprus	01.07.1975
7	Ecuador	01.07.1975
8	Chile	01.07.1975
9	Uruguay	01.07.1975
10	Canada	09.07.1975
11	Mauritius	27.07.1975
12	Nepal	16.09.1975
13	Peru	25.09.1975
14	Costa Rica	28.09.1975
15	South Africa	13.10.1975
16	Brazil	04.11.1975
17	Madagascar	18.11.1975
18	Niger	07.12.1975
19	Morocco	14.01.1976
20	Ghana	12.02.1976
21	Papua New Guinea	11.03.1976
22	Germany	20.06.1976
23	Pakistan	19.07.1976
24	Finland	08.08.1976
25	India	18.10.1976
26	Democratic Republic of the Congo	18.10.1976
27	Norway	25.10.1976
28	Australia	27.10.1976
29	United Kingdom of Great Britain and Northern Ireland	31.10.1976
30	Iran (Islamic Republic of)	01.11.1976
31	Paraguay	13.02.1977
32	Seychelles	09.05.1977
33	Guyana	25.08.1977
34	Denmark	24.10.1977
35	Senegal	03.11.1977
36	Nicaragua	04.11.1977
37	Gambia	24.11.1977
38	Malaysia	18.01.1978
39	Venezuela	22.01.1978

	State	Date of Entry into Force
40	Botswana	12.02.1978
41	Egypt	04.04.1978
42	Monaco	18.07.1978
43	France	09.08.1978
44	Panama	15.11.1978
45	Togo	21.01.1979
46	Kenya	13.03.1979
47	Jordan	14.03.1979
48	Indonesia	28.03.1979
49	Sri Lanka	02.08.1979
50	Bahamas	18.09.1979
51	Bolivia	04.10.1979
52	Italy	31.12.1979
53	Guatemala	05.02.1980
54	United Republic of Tanzania	27.02.1980
55	Liechtenstein	28.02.1980
56	Israel	17.03.1980
57	Japan	04.11.1980
58	Central African Republic	25.11.1980
59	Rwanda	18.01.1981
60	Suriname	15.02.1981
61	Zambia	22.02.1981
62	Portugal	11.03.1981
63	China	08.04.1981
64	Argentina	08.04.1981
65	Liberia	09.06.1981
66	Mozambique	23.06.1981
67	Zimbabwe	17.08.1981
68	Cameroon	03.09.1981
69	Belize	21.09.1981
70	Philippines	16.11.1981
71	Colombia	29.11.1981
72	Guinea	20.12.1981
73	Bangladesh	18.02.1982
74	Austria	27.04.1982
75	Malawi	06.05.1982
76	Sudan	24.01.1983
77	Saint Lucia	15.03.1983
78	Thailand	21.04.1983
79	Congo	01.05.1983

	State	Date of Entry into Force
80	Belgium	01.01.1984
81	Algeria	21.02.1984
82	Luxembourg	12.03.1984
83	Trinidad and Tobago	18.04.1984
84	Benin	28.05.1984
85	Netherlands	18.07.1984
86	Honduras	13.06.1985
87	Hungary	27.08.1985
88	Afghanistan	28.01.1986
89	Somalia	02.03.1986
90	Spain	28.08.1986
91	Singapore	28.02.1987
92	Dominican Republic	17.03.1987
93	El Salvador	29.07.1987
94	Burundi	06.11.1988
95	Saint Vincent and the Grenadines	28.02.1989
96	Chad	03.05.1989
97	Gabon	14.05.1989
98	Ethiopia	04.07.1989
99	Malta	16.07.1989
100	New Zealand	08.08.1989
101	Vanuatu	15.10.1989
102	Burkina Faso	11.01.1990
103	Poland	12.03.1990
104	United Arab Emirates	09.05.1990
105	Cuba	19.07.1990
106	Brunei Darussalam	02.08.1990

	State	Date of Entry into Force
107	Guinea-Bissau	14.08.1990
108	Namibia	18.03.1991
109	Bulgaria	16.04.1991
110	Mexico	30.09.1991
111	Uganda	16.10.1991
112	Russian Federation	01.01.1992
113	Djibouti	07.05.1992
114	Equatorial Guinea	08.06.1992
115	Estonia	20.10.1992
116	Slovakia	01.01.1993
117	Czech Republic	01.01.1993
118	Greece	06.01.1993
119	Barbados	09.03.1993
120	Republic of Korea	07.10.1993
121	Viet Nam	20.04.1994
122	Saint Kitts and Nevis	15.05.1994
123	Mali	16.10.1994
124	Romania	16.11.1994
125	Eritrea	22.01.1995
126	Sierra Leone	26.01.1995
127	Côte d'Ivoire	19.02.1995
128	Comoros	21.02.1995
129	Dominica	02.11.1995
130	Belarus	08.11.1995
131	Mongolia	04.04.1996
132	Saudi Arabia	10.06.1996
133	Georgia	12.12.1996
134	Turkey	22.12.1996

**Doc. 10.8 (Rev.) Annex 2**

AMENDMENT TO ARTICLE XI, PARAGRAPH 3(a), OF THE CONVENTION

**List of Parties Having Accepted the Amendment or for Which the Amendment Entered into Force When They Ratified CITES or Acceded to it**

	State	Date of Entry into Force
1	Norway	18.12.1979
2	Canada	30.01.1980
3	India	05.02.1980
4	Sweden	25.02.1980
5	Germany	07.05.1980
6	Japan	06.08.1980
7	Mauritius	23.09.1980
8	United States of America	23.10.1980

	State	Date of Entry into Force
9	Botswana	19.11.1980
10	United Kingdom	28.11.1980
11	Togo	05.01.1981
12	Switzerland	23.02.1981
13	Denmark	25.02.1981
14	Liechtenstein	21.04.1981
15	Pakistan	02.07.1981
16	Zimbabwe	14.07.1981

State		Date of Entry into Force
17	Suriname	17.08.1981
18	Jordan	15.09.1981
19	South Africa	01.10.1982
20	Peru	06.10.1982
21	Nepal	21.10.1982
22	Chile	18.11.1982
23	Seychelles	18.11.1982
24	Italy	18.11.1982
25	Tunisia	23.11.1982
26	Kenya	25.11.1982
27	Madagascar	11.03.1983
28	Egypt	28.03.1983
29	Finland	05.04.1983
30	Niger	08.04.1983
31	Belgium	03.10.1983
32	Panama	28.10.1983
33	Austria	16.03.1984
34	Netherlands	19.04.1984
35	Trinidad and Tobago	17.05.1984
36	Uruguay	21.12.1984
37	Nigeria	11.03.1985
38	Brazil	21.11.1985
39	Australia	01.07.1986
40	Belize	19.08.1986
41	Cyprus	20.08.1986
42	Senegal	29.01.1987
43	Morocco	03.02.1987
44	Indonesia	12.02.1987
45	Monaco	23.03.1987
46	Guyana	22.04.1987
47	Rwanda	25.06.1987
48	El Salvador	29.07.1987
49	Papua New Guinea	27.08.1987
50	Ecuador	13.05.1988
51	Paraguay	01.07.1988
52	Iran (Islamic Rep. of)	13.09.1988
53	Burundi	06.11.1988
54	Saint Vincent and the Grenadines	28.02.1989
55	Chad	03.05.1989
56	Gabon	14.05.1989

State		Date of Entry into Force
57	Ethiopia	04.07.1989
58	Malta	16.07.1989
59	New Zealand	08.08.1989
60	France	18.08.1989
61	Vanuatu	15.10.1989
62	Luxembourg	28.10.1989
63	Burkina Faso	11.01.1990
64	Poland	12.03.1990
65	United Arab Emirates	09.05.1990
66	Cuba	19.07.1990
67	Brunei Darussalam	02.08.1990
68	Guinea-Bissau	14.08.1990
69	Namibia	18.03.1991
70	Bulgaria	16.04.1991
71	Mexico	30.09.1991
72	Uganda	16.10.1991
73	Russian Federation	01.01.1992
74	Djibouti	07.05.1992
75	Equatorial Guinea	08.06.1992
76	Estonia	20.10.1992
77	Czech Republic	01.01.1993
78	Slovakia	01.01.1993
79	Greece	06.01.1993
80	Barbados	09.03.1993
81	Republic of Korea	07.10.1993
82	Viet Nam	20.04.1994
83	Saint Kitts and Nevis	15.05.1994
84	Mali	16.10.1994
85	Romania	16.11.1994
86	Eritrea	22.01.1995
87	Sierra Leone	26.01.1995
88	Côte d'Ivoire	19.02.1995
89	Comoros	21.02.1995
90	Dominica	02.11.1995
91	Belarus	08.11.1995
92	Mongolia	04.04.1996
93	Saudi Arabia	10.06.1996
94	Georgia	12.12.1996
95	Turkey	22.12.1996

## AMENDMENT TO ARTICLE XXI OF THE CONVENTION ADOPTED AT GABORONE (BOTSWANA), ON 30 APRIL 1983

## List of Parties Having Accepted the Amendment

States Parties on 30.04.1983		Date of Entry into Force	States Parties on 30.04.1983		Date of Entry into Force
1	Monaco	24.08.1983	1	Trinidad and Tobago	17.05.1984
2	Seychelles	15.09.1983	2	Netherlands	12.02.1985
3	Norway	15.02.1984	3	Belgium	30.07.1985
4	Togo	24.02.1984	4	Luxembourg	29.08.1989
5	Uruguay	21.12.1984	5	Spain	29.01.1991
6	Austria	21.01.1985	6	Uganda	13.03.1992
7	Germany	20.03.1985	7	Burkina Faso	09.04.1992
8	Chile	06.09.1985	8	Brunei Darussalam	18.06.1992
9	United Kingdom	13.12.1985	9	Slovakia	02.03.1993
10	Italy	23.01.1986	10	Barbados	07.06.1993
11	Brazil	05.02.1986	11	Saint Kitts and Nevis	30.05.1994
12	France	16.09.1986	12	Eritrea	22.01.1995
13	Zimbabwe	08.02.1988			
14	Belize	14.03.1988			
15	Senegal	28.03.1988			
16	Philippines	17.05.1988			
17	China	07.07.1988			
18	Mauritius	21.07.1988			
19	Sri Lanka	07.11.1988			
20	Denmark	10.01.1989			
21	India	11.01.1989			
22	Finland	27.06.1989			
23	Rwanda	30.08.1989			
24	Botswana	04.09.1989			
25	Morocco	07.08.1990			
26	Malawi	17.08.1990			
27	Argentina	19.12.1990			
28	Australia	13.11.1991			
29	Portugal	05.03.1992			
30	Sweden	11.03.1993			
31	Bolivia	26.04.1993			
32	Cyprus	29.11.1993			
33	Switzerland	22.11.1994			