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

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Interpretation and Implementation of the Convention

REPORT ON NATIONAL REPORTS UNDER ARTICLE VIII, PARAGRAPH 7, OF THE CONVENTION

Attached is a document prepared on behalf of the Secretariat by the Wildlife Trade Monitoring Unit (WTMU) on the implementation of CITES in 1984 and 1985 as demonstrated by the trade statistics in the annual reports submitted by the Parties. This report presents the results of a continuation of the work initiated in 1982 which was presented in document Doc. 4.18 at the fourth meeting of the Conference of the Parties (Gaborone, 1983) and document Doc. 5.17 at the fifth meeting of the Conference of the Parties (Buenos Aires, 1985). Some of the implications of this report, together with additional issues, are discussed also in document Doc. 6.18.

THE IMPLEMENTATION OF CITES AS DEMONSTRATED BY THE TRADE STATISTICS IN THE ANNUAL REPORTS OF 1984 AND 1985 SUBMITTED BY THE PARTIES

A report prepared for the CITES Secretariat

by

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INTRODUCTION

This report was prepared by the Wildlife Trade Monitoring Unit under the CITES Secretariat consultancy contracts with the IUCN Conservation Monitoring Centre for 1986 and 1987. The aim of the report is to examine the effectiveness of the implementation of the Convention on International Trade in Endangered Species of Wild Fauna and Flora, as shown by the annual reports submitted by the Parties for the years 1984 and 1985.

The format and methods of analysis used in the previous report (15 March 1985) have been adopted for this report. This allows direct comparisons to be carried out so that any improvement in the quality of reporting and implementation by the Parties will be clearly visible.

METHOD

This report is based on the annual reports by CITES Parties for the years 1984 and 1985 which had been received before 1 May 1987. The numbers of Parties and of reports submitted are shown in Table 1.

Sample Examined

The taxa in which trade was examined were the same as in our 1985 report [CITES document Doc.5.17(Rev.)] and all records of transactions in the specimens indicated below were selected.

Fauna:

- *Arctocephalus* spp. : whole skins and furskin plates only
- All Crocodylia : whole skins and sides only
- All Falconiformes : live only
- Appendix I Felidae : whole skins and furskin plates only
- Appendix II Felidae : whole skins and furskin plates only
- Appendix I Primates : live only
- *Varanus* spp. : whole skins only
- *Tupinambis* spp. : whole skins only

Flora:

- *Aloe* spp. : all transactions
- Cycadaceae : all transactions
- *Encephalartos* spp. : all transactions
- *Pachypodium* spp. : all transactions

Some of the reported trade was with non-Party states or with Parties which did not submit an annual report, while further trade involved unknown or unspecified countries. The remaining reported exports should, theoretically, correlate with reported imports and the minimum number of these 'potentially correlating transactions' was calculated for each taxon. Some transactions correlated perfectly in all the details reported by both the importing Party and exporting Party, while others showed a partial degree of correlation.

Categories of Partial Correlation

Those transactions showing partial correlation were divided into five main categories depending upon the type of discrepancy exhibited, as follows:

i) country of origin omitted or incorrectly reported by one Party;

ii) incorrect units used to describe the transaction by one Party;

iii) incorrect or insufficient taxonomic nomenclature used by one Party;

iv) incorrect or different terms used to describe the commodity by one Party.

These four types of error occurred in various combinations.

In all cases of complete or partial correlation, two 'records', one by the importer and one by the exporter, were deemed to represent one 'transaction'. Where no correlation could be inferred each 'record' was taken to represent one transaction.

A further type of systematic error occurred when one Party did not report individual shipments but only the total quantities of each type of specimen traded to each country. [This discrepancy frequently occurs in association with another of those in categories i) to iv) above.] In these cases it is usual to find that the sum of the individual shipments reported by one Party does not equal the bulk total reported by the other Party. All such discrepancies were collectively called 'summing errors' and the minimum number of transactions was taken, conservatively, to be the number of records reported by the Party which reported the most. Thus a fifth category of partial correlation can be identified:

v) transactions summed by one Party.

RESULTS

The numbers of records located for each taxon and the inferred minimum number of transactions that these represent are given in Table 2. The percentage of these transactions which involve non-Parties or Parties which had failed to submit an annual report by the time that the present analysis was carried out are also given. 28% of all the transactions reported in 1984 and 21% of those in 1985 involved non-Party states and 5% in 1984 and 18% in 1985 involved non-reporting Parties. The notably higher percentage of non-reporting Parties for 1985 reflects the fact that Parties have had a relatively shorter period of time to submit reports since the end of that year.

The number of transactions which could potentially correlate (i.e.: those between CITES Parties which had also submitted annual reports) are shown in Table 3. Of these, for all the taxa studied, only 14% in 1984 and 16% in 1985 showed perfect correlation. Within the animal taxa, the percentage of perfect matches ranged from as low as 9% for Arctocephalus spp. in 1984 to a maximum of 26% for Appendix II Felidae in 1985, while within the plant taxa, the percentage of perfect matches ranged from 0% for Cycadaceae in both 1984 and 1985 to 15% for Aloe spp. in 1984.

78% of all transactions recorded in 1984 and 74% in 1985 showed no correlation at all. As in previous years, the great majority of such discrepancies were caused by one Party failing to record the transaction at all. The proportion of transactions which showed no correlation was greater for the plants examined than for the animal taxa, being some 11% higher in 1984 and 17% higher in 1985.

SYSTEMATIC ERRORS

In many of the cases where transactions did not show perfect correlation, the discrepancies were caused by systematic errors. These appear to arise directly from shortcomings in the policies of the Management Authorities when compiling

their annual reports. They can be divided into the general groups described in our previous report in CITES document Doc.5.17 (Rev). The following are worth drawing attention to.

a) Incomplete Annual Reports

Some countries did not report all trade, omitting all their imports or exports, or omitting trade in various groups or taxa.

b) Reporting on Permits Issued

Some errors were due to one Party specifying quantities on the basis of permits issued while its trading partner reported the quantities actually traded. If the numbers in each record were different, the present analysis would not have selected them as partial correlations.

c) Summing Errors

In spite of repeated requests to the Parties from the CITES Secretariat, to report on a shipment-by-shipment basis, the summing errors constituted the largest class of transactions which showed partial correlation. They represented some 7% of potentially correlating transactions in animal taxa in 1984 and 8% of potentially correlating transactions in animal taxa in 1985.

Within the taxa studied, the highest percentage of discrepancies in this category was for Arctocephalus spp. in 1984, where 37% of all potentially correlating transactions appeared to have been summed by one Party. Although there appeared to be no summing errors for this genus in 1985, the sample for that year is very small and any apparent improvement is offset by a large increase in non-correlation.

d) Country of Origin

Some countries consistently failed to report countries of origin and others erroneously report intermediate countries of consignment as the origin.

e) Nomenclature

This was the second most important error after summing. Discrepancies in this category accounted for about 1% of potential correlations for all taxa.

ACCIDENTAL ERRORS

Although the vast majority of transactions which showed no correlation were attributable to the lack of any record from a Party, other instances of failure of transactions to correlate in some way may be attributable to accidental errors, such as typographical errors. In practice these are generally extremely difficult to detect and are impossible to quantify.

COMPARISON WITH THE REPORT FOR 1981, 1982 and 1983

The present analysis for 1984 and 1985 has been carried out in a manner that allows direct comparison with that for the years 1981, 1982 and 1983.

Trade with Non-Parties

The number of Parties has increased each year, bringing the total in 1985 20% higher than that in 1981. However, there has not been a corresponding reduction in the percentage of trade reported with non-Parties, as would have been expected. Rather, the percentage has fluctuated, over the past five years (see Table 4), between 21% and 28% of all the transactions in the specimens for which records were examined, while the number of Parties has increased.

There are a number of possible explanations for this, such as changing of trade patterns to non-Party states, accession by states whose trade is small, and so on. It was not possible to review these in detail for the present report but they will be considered further in a future report on this subject.

Trade with Non-Reporting Parties

The percentage of trade reported involving non-reporting Parties increased from 4-9% in 1979/80 (see CITES Doc.4.18) to 18% in 1983. The figures for 1984 (see Table 5), however, showed a significant improvement in the situation, with more reports submitted than for any other year to date. About 5% of the transactions reported in that year were with non-reporting Parties.

The annual reports of Parties are not submitted all together but as and when they are ready. It is therefore self-evident that, up to a point, the longer one waits after the end of a year, the higher will be the number of reports submitted for that year and the lower will be the percentage of reported trade with non-reporting Parties.

Table 1 shows that more reports have been submitted with each successive year, until 1985. This suggests that, although at the time of analysis only 47 reports had been submitted for 1985, we could expect at least a further 10 (to equal the number received for 1984), and the 18% trade with non-reporting Parties will be accordingly reduced. It may thus be premature to use the 1985 figure. However, this situation prevails only because a large number of Parties are consistently late in submitting their annual reports.

Transactions Showing Perfect Correlations

It is encouraging that, overall, there is an upward trend in the percentage of perfect correlations of records. Table 6 shows the percentage of perfect matches in the potentially correlating records for the years 1981 to 1985. Taking all the taxa together, this proportion increased from 4% in 1981 to 16% in 1985. This trend is reflected in the records for animals but with respect to records of the trade in plants there appears to have been no noticeable improvement.

Looking at the individual taxa examined, the highest percentage of perfect correlations in 1979 and 1980 (see Doc. 4.18), and again in 1982 (Doc 5.17), was for Appendix I primates. The improvements in correlations relating to Varanus trade in 1983 continued in 1984 and 1985. For 1984 the only taxa for which perfect correlation of records exceeded 20% of the transactions were Crocodylia and Tupinambis spp. The highest percentage of perfect correlations for 1985 was recorded for Appendix II Felidae, Varanus spp. and Tupinambis spp., each at around 25% of the transactions (Table 3). The implication is that controls on trade in these taxa improved significantly in 1985.

Transactions Showing No Correlation

The level of potentially correlating transactions showing no correlation (Table 7) has remained high, although there was some improvement in 1983 when 61% of potentially correlating transactions showed no correlation. In spite of this fluctuation, the underlying trend is upwards; i.e. the percentage of complete non-correlation of transactions is increasing instead of decreasing.

Transactions Showing Partial Correlation

The percentage of transactions that could have correlated but only showed partial correlation dropped suddenly from 1983 to 1984 and remained low in 1985. This can be seen clearly by examining the figures for 'summing errors' which has consistently been the largest category of transaction showing partial correlation (Table 8). From 1983 to 1984, the percentage of potentially correlating transactions which showed summing errors fell from 26% to 6%.

The fall in the proportion of partial correlations can only be viewed as an improvement if it is caused by an increase in perfect correlations. The expected form of gradual progress in the production of annual reports by Parties would be an increase in the number of perfect correlations, an increase in the number of partial correlations and a decrease in the number of non-correlations. However, although the percentage of perfect correlations is indeed increasing, the percentage of non-correlations is also increasing. The implications for CITES implementation are that it may in fact be deteriorating.

SUMMARY AND CONCLUSIONS

1) Of all trade in selected taxa reported to CITES, 28% in 1984 and 21% in 1985 involved non-Parties (or unidentified countries) and 5% in 1984 and 18% in 1985 involved Parties which had not submitted annual reports.

2) The remaining trade could be expected to show correlation between reported imports and reported exports, but 78% in 1984 and 74% in 1985 showed no detectable correlation.

3) Perfect correlation occurred in 14% of cases in 1984 and 16% in 1985, a continued improvement on the previous years' figures.

4) Approximately 10% of the transactions which could have correlated in each year showed some degree of partial correlation.

5) The absolute number and the percentage of Parties submitting annual reports is increasing each year, although many, including the major trading nations, fail to meet the deadlines set. Consequently analyses of the data are hampered and the results are biased against the accuracy of the most recent years' data.

6) The only areas of improvement are in the increasing numbers of annual reports submitted and in the increasing percentage of perfect correlations. However, the latter is offset by a generally increasing trend in the number of total non-correlations.

7) As in all previous years, the chief cause of lack of correlations was the failure of a Party to record the transactions.

8) Substantial improvements could still be made to the effectiveness of monitoring CITES trade if all Parties were to adhere to all the guidelines for compilation and submission of annual reports. In particular:

i) all Parties should submit annual reports;

ii) the annual reports should contain information on all trade; and

iii) the reports should be compiled on a shipment by shipment basis.

Table 1. Number of Parties to CITES and of annual reports submitted up to the time of writing of this report for the years 1980 to 1985.

	1980	1981	1982	1983	1984	1985
No. of Parties	61	75	78	82	88	90
No. of reports	36	41	44	50	57	47
Percentage submitting reports	59%	55%	56%	61%	65%	52%

Table 2 : Total numbers of records of trade in the selected taxa, and the minimum number of transactions that these are estimated to represent. The number of records relating to trade with non-Parties (including unknown countries) and with Parties which did not submit an annual report are expressed as a percentage of the number of transactions.

	Crocodylia	Felidae A I	Felidae A II	Varanus	Tupinambis	Primates A I	Arctocephalus	Falconiformes	TOTAL ANIMALS	Aloe	Pachypodium	Cycadaceae	Encephalartos	TOTAL PLANTS	TOTAL
1984															
Total records	1783	488	1266	1170	721	220	134	313	6095	546	140	153	197	1036	7131
Total transactions	1473	456	1174	1084	613	187	129	280	3923	478	135	149	178	940	4863
Non-Party (%)	12	38	12	46	17	20	11	21	31	13	9	42	9	16	28
Non-reporting (%)	4	5	5	1	6	3	0	6	5	2	2	4	6	3	5
1985															
Total records	1625	446	1301	1241	757	251	37	348	6006	444	127	202	152	925	6931
Total transactions	1431	417	1156	1099	621	220	35	321	5300	421	120	196	131	868	6168
Non-Party (%)	11	31	11	36	20	26	14	35	21	16	13	35	5	18	21
Non-reporting (%)	12	12	45	8	7	22	49	23	19	19	14	11	8	15	18

Table 3 : The number of transactions in selected taxa which potentially correlate, and the percentage of these showing different categories of correlation between reported exports and reported imports (- denotes <0.5%).

	Crocodylia	Felidae A I	Felidae A II	Varanus	Tupinambis	Primates A I	Arctocephalus	Falconiformes	TOTAL ANIMALS	Aloe	Pachypodium	Cycadaceae	Encephalartos	TOTAL PLANTS	TOTAL
1984															
Pot. correlations	1239	263	977	578	473	145	115	202	3992	406	120	80	151	757	4749
Perfect Matches %	23	10	6	12	20	10	1	8	14	15	1	0	11	10	14
Co. of Origin wrong %	-	0	1	3	1	1	1	-	1	0	0	0	0	0	1
Units wrong %	-	0	-	0	-	1	1	0	-	0	0	0	0	0	-
Nomenclature wrong %	1	0	1	-	1	6	2	1	1	-	0	5	1	1	1
Terms Wrong %	0	0	0	0	0	8	0	5	1	1	2	1	0	1	1
Summing errors %	-	11	17	2	2	0	37	9	7	1	2	0	0	1	6
No correlation %	75	79	75	83	75	76	60	77	76	83	95	95	87	87	78
1985															
Pot. correlations	1101	239	518	615	454	116	13	133	3189	274	88	105	115	582	3771
Perfect Matches %	12	11	26	22	25	15	15	13	18	6	7	0	15	7	16
Co. of origin wrong %	-	-	-	-	0	0	0	2	-	0	0	0	0	0	-
Units wrong %	3	0	1	0	-	0	0	0	1	-	0	0	0	-	1
Nomenclature wrong %	1	0	1	-	4	8	0	0	1	-	0	6	3	2	1
Terms wrong %	0	0	0	0	0	3	0	3	-	1	1	4	0	1	-
Summing errors %	5	1	-	23	6	3	0	14	8	3	2	0	3	2	7
No correlation %	79	87	72	55	65	72	85	70	71	89	90	94	80	88	74

Table 4 : Percentage of all transactions with non-Parties 1981-85

	Animals	Plants	TOTAL
1981	26	30	26
1982	28	30	28
1983	20	25	21
1984	31	16	28
1985	21	18	21

Table 5 : Percentage of all transactions with non-reporting Parties 1981-85

	Animals	Plants	TOTAL
1981	10	3	9
1982	14	3	11
1983	16	31	18
1984	5	3	5
1985	19	15	18

Table 6 : Percentage of potentially correlating records showing perfect matches 1981-85

	Animals	Plants	TOTAL
1981	4	2	4
1982	3	14	5
1983	8	1	8
1984	14	10	14
1985	18	7	16

Table 7: Percentage of potentially correlating records showing no correlation 1981-85

	Animals	Plants	TOTAL
1981	60	84	65
1982	69	81	71
1983	60	73	61
1984	76	87	78
1985	71	88	74

Table 8 : Percentage of potentially correlating records showing summing errors 1981-85

	Animals	Plants	TOTAL
1981	30	1	24
1982	21	3	18
1983	26	25	26
1984	0.5	1	6
1985	8	2	7