

CONVENCIÓN SOBRE EL COMERCIO INTERNACIONAL DE ESPECIES
AMENAZADAS DE FAUNA Y FLORA SILVESTRES



Septuagésima reunión del Comité Permanente
Rosa Khutor, Sochi (Federación de Rusia), 1-5 de octubre de 2018

Cuestiones de interpretación y aplicación

Cumplimiento y observancia general

Informes nacionales

INFORMES ANUALES CITES SOBRE EL COMERCIO ILEGAL:
INFORME DE LA SECRETARÍA

1. Este documento ha sido preparado por la Secretaría.
2. En la Resolución Conf. 11.17 (Rev. CoP17), sobre *Informes nacionales*, la Conferencia de las Partes:
 3. *INSTA a todas las Partes a que, a partir de 2017, presenten un informe anual sobre el comercio ilegal antes del 31 de octubre de cada año, que abarque las medidas del año anterior y de conformidad con el formato de informe distribuido por la Secretaría, distribuido por la Secretaría, que puede ser enmendado periódicamente por la Secretaría de acuerdo con el Comité Permanente;*
 4. *ENCARGA a la Secretaría que, a menos que la Parte que presenta el informe indique lo contrario, comparta los datos recopilados en el informe anual sobre el comercio ilegal con los miembros del Consorcio Internacional para Combatir los Delitos contra la Vida Silvestre (ICCWC), a fin de que los datos puedan ser utilizados en los estudios y análisis mundiales del ICCWC sobre los delitos contra la vida silvestre y los bosques;*
3. En la Resolución Conf. 11.3 (Rev. CoP17), sobre *Observancia y aplicación*, la Conferencia de las Partes:
 14. *ENCARGA a la Secretaría que, sujeto a la disponibilidad de recursos:*
 - a) *analice, en colaboración con los socios del ICCWC, los informes anuales sobre comercio ilegal de fauna y flora silvestre;*
 - b) *comparta información relativa al análisis con las Partes para apoyar otras actividades de observancia; y*
 - c) *presente un informe al Comité Permanente y a la Conferencia de las Partes, basándose en el análisis y otra información pertinente facilitada por los socios del ICCWC;*
4. En su 17ª reunión (CoP17, Johannesburgo, 2016), la Conferencia de las Partes adoptó, entre otras, las Decisiones 17.121 y 17.122, sobre *Requisitos para la presentación de informes*.

Dirigida a la Secretaría

- 17.121 *La Secretaría deberá cooperar con los órganos apropiados, tales como, aunque no exclusivamente, el Centro de Monitoreo de la Conservación Mundial del Programa de las Naciones Unidas para el Medio Ambiente (PNUMA-CMCM) o la Oficina de las Naciones Unidas contra la Droga y el Delito (UNODC), en relación con el establecimiento de un marco mundial sostenible para almacenar y gestionar los datos sobre comercio ilegal recopilados por medio de los informes anuales sobre el comercio ilegal de las Partes, incluida la determinación de las repercusiones de costos relacionadas y la manera en que podrían sufragarse dichos costos, e informar al Comité Permanente sus conclusiones y recomendaciones.*

Dirigida al Comité Permanente

- 17.122 *El Comité Permanente deberá examinar las conclusiones y recomendaciones de la Secretaría comunicadas de conformidad con la Decisión 17.121 y preparar sus propias conclusiones y recomendaciones para que sean consideradas por la 18ª reunión de la Conferencia de las Partes.*

5. En su 69ª reunión, (SC69, Ginebra, noviembre de 2017), tal y como se indica en el documento SC69 Sum. 2 (Rev. 1)¹, el Comité Permanente:

...

- b) *toma nota* de la información y de la propuesta preliminar de la Oficina de las Naciones Unidas contra la Droga y el Delito (ONUDD) para el desarrollo de una base de datos para almacenar y gestionar los datos sobre el comercio ilegal compilados a través de los informes anuales sobre comercio ilegal, contenidas en el Anexo 2 al documento SC69 Doc. 28.3.
- c) *ratifica* los requisitos que deben cumplirse en relación con el almacenamiento y la gestión de los datos sobre el comercio ilegal compilados a través de los informes anuales sobre comercio ilegal, preparados por la Secretaría y presentados en el Anexo 3 al documento SC69 Doc. 28.3, y tomando en consideración el asesoramiento proporcionado por el Comité Permanente en su 69ª reunión incorporar las aportaciones de las Partes con miras a seguir elaborando esos requisitos, garantizar que los datos se ponen a disposición para apoyar las necesidades de aplicación de la ley, y asegurar que los datos están finalmente disponibles como registros individuales no agregados.
- d) *solicita* a la Secretaría que trabaje con la ONUDD con miras a preparar una propuesta detallada para desarrollar una base de datos a fin de almacenar y gestionar los datos sobre el comercio ilegal compilados a través de los informes anuales CITES sobre comercio ilegal, colaborando con los asociados del Consorcio Internacional para Combatir los Delitos contra la Vida Silvestre (ICCWC), según proceda, incorporando los requisitos a que se hace alusión en la recomendación c) supra e incluyendo el desglose del presupuesto, para su consideración por el Comité Permanente en su 70ª reunión, y la subsiguiente presentación a la 18ª reunión de la Conferencia de las Partes para su consideración.

Almacenamiento y gestión de los datos sobre el comercio ilegal

6. A fin de aplicar la Decisión 17.121 y de acuerdo con las recomendaciones indicadas en el párrafo 5 anterior, la Secretaría trabajó en colaboración estrecha con la ONUDD en la preparación de una propuesta detallada para desarrollar una base de datos con el fin de almacenar y gestionar los datos sobre el comercio ilegal compilados a través de los informes anuales CITES sobre comercio ilegal. La propuesta correspondiente se encuentra en el Anexo del presente documento.
7. En la propuesta se describe cómo la ONUDD, aprovechando su dilatada experiencia en la recopilación, tratamiento y análisis de datos sobre las actividades ilegales y el comercio ilegal, puede proporcionar un marco sostenible, a largo plazo, para la recopilación, tratamiento, almacenamiento y diseminación de los datos incluidos en los informes anuales CITES sobre comercio ilegal. La Secretaría considera que la ONUDD es el organismo más indicado para ofrecer una solución sostenible para una gestión de alta calidad

¹ <https://cites.org/sites/default/files/eng/com/sc/69/sum/E-SC69-Sum-02-R1.pdf>

de los datos sobre el comercio ilegal de especies incluidas en los Apéndices de la CITES, de manera que pueda servir como herramienta valiosa para la toma de decisiones fundamentadas y apoyar el desarrollo de respuestas apropiadas en la aplicación de las leyes contra los delitos contra la vida silvestre.

8. En base a la propuesta detallada que figura en el Anexo del presente, la Secretaría recomienda que se contrate a la ONUDD para que desarrolle un marco mundial sostenible para el almacenamiento y gestión de los datos sobre el comercio ilegal recopilados de los informes anuales sobre el comercio ilegal. La Secretaría ha preparado el proyecto de Decisión 18.AA, presentado en el párrafo 21 b), para la consideración del Comité Permanente en la aplicación de la Decisión f17.122. La Secretaría recomienda que el Comité presente este proyecto de Decisión a la 18ª reunión de la Conferencia de las Partes (CoP18, Sri Lanka, 2019), para su consideración.
9. La propuesta detallada incluye un presupuesto desglosado en la Tabla 1. El coste estimado del desarrollo de la plataforma de datos y el almacenamiento y mantenimiento de los datos recopilados de los informes anuales sobre el comercio ilegal es de 202.212 dólares de EE.UU. durante el primer año y 176.789 dólares de EE.UU. en los años posteriores.
10. Aún no se ha presupuestado la financiación requerida para el desarrollo de la plataforma de datos y el almacenamiento y la gestión de los datos sobre el comercio ilegal CITES y, en consecuencia, habrá que localizar los fondos. Esto requeriría una decisión de la Conferencia de las Partes para financiar esta labor con cargo al Fondo Fiduciario de la CITES (CTL) o, alternativamente, mediante recursos extrapresupuestarios al Fondo Fiduciario externo de la CITES (QTL). El informe anual sobre el comercio ilegal es obligatorio y la importancia que se asigna a esta presentación de informes debería reflejarse en el presupuesto. A fin de garantizar la sostenibilidad del marco, sujeto a la disposición de financiación, la Secretaría considera que sería preferible que los costos se integrasen en el presupuesto básico de la Secretaría, lo que equivale a lo que se hace para el informe anual sobre el comercio legal. (A título informativo, el coste anual del almacenamiento y gestión de los datos de los informes anuales CITES es de 146.749 dólares de EE.UU.). Si se acuerda, sería necesario añadirlo al programa de trabajo desglosado por partidas de gastos y acordado por la Conferencia de las Partes. Semejante propuesta puede reflejarse en el proyecto de presupuesto para el Fondo Fiduciario de la CITES (CTL) para 2020-2022, a fin de someterlo a la consideración de la Conferencia de las Partes en su 18ª reunión.
11. En caso de que el Comité acuerde proponer a la 18ª reunión de la Conferencia de las Partes que la Secretaría contrate a la ONUDD para desarrollar, alojar y mantener una base de datos para el almacenamiento y gestión de los datos recopilados de los informes anuales sobre el comercio ilegal, quedaría por resolver la cuestión del nivel de acceso que tendrían los diversos usuarios de la base de datos. Los distintos niveles de acceso que se pueden proporcionar a los usuarios están descritos en la propuesta detallada en el Anexo del presente. La Secretaría señala que en el párrafo 4 de la Resolución Conf. 11.17 (Rev. CoP17) sobre *Informes nacionales*, la Conferencia de las Partes ya estableció un mandato para que, a menos que la Parte que presenta el informe indique lo contrario, los datos recopilados en los informes anuales sobre comercio ilegal, sean compartidos con los miembros del Consorcio Internacional para Combatir los Delitos contra la Vida Silvestre (ICCWC), a fin de que los datos puedan ser utilizados en los estudios y análisis mundiales del ICCWC sobre los delitos contra la vida silvestre y los bosques. Esta cuestión se trata en más detalle en las *Directrices para la preparación y presentación del informe anual CITES sobre el comercio ilegal*,² párrafo 1 e), según el cual, cada Parte que presenta un informe deberá indicar en el mismo si la información suministrada puede ser utilizada en los estudios y análisis mundiales que apoya el ICCWC sobre los delitos contra la vida silvestre y los bosques. Esto se deberá realizar marcando la casilla apropiada en el formato para la presentación de informes.
12. Teniendo en cuenta que los datos almacenados en la base de datos sobre el comercio ilegal siguen siendo propiedad de la Parte que los hubiese proporcionado, se tendría que aclarar la cuestión del nivel de acceso a la base de datos que se permite a los usuarios. La Secretaría propone que esta cuestión sea resuelta de manera similar al caso del ICCWC. La Secretaría puede incluir casillas en el formato de informe y, al marcarse la casilla apropiada, la Parte que presenta el informe podrá indicar si la información que proporciona puede ser accesible para todas las Partes que consultan la base de datos para los estudios y análisis sobre delitos contra la vida silvestre y los bosques realizados por los organismos gubernamentales designados de su país, teniendo en cuenta que afectan a la Parte que consulta la base de datos. De esta manera, resultaría fácil para la Secretaría y para la ONUDD determinar los datos incluidos en la base de datos que deberán ser accesibles únicamente para la Parte que los hubiese proporcionado y los que pueden ser accesibles para todas las demás Partes. Si el Comité considera procedente esta propuesta, tal vez

² <https://cites.org/sites/default/files/reports/E-Guidelines-IllegalTR.pdf>

quiera recomendar a la 18ª reunión de la Conferencia de las Partes que sea enmendado el párrafo 4 de la Resolución Conf. 11.17 (Rev. CoP17) sobre *Informes nacionales*. La Secretaría también propone que se considere la supresión de la frase “a partir de 2017” del párrafo 3 de la Resolución, teniendo en cuenta que esta frase ya es redundante. Las enmiendas propuestas por la Secretaría se presentan en el párrafo 21 d).

13. En caso de que algún organismo regional como EUROPOL, por ejemplo, o alguna Red de observancia y aplicación de la normativa sobre vida silvestre necesitase información para el estudio y el análisis de los delitos contra la vida silvestre que afecten la región, se propone que tal organismo informe a sus Estados miembros sobre el estudio que propone realizar y que, en base a la información facilitada, cada Estado miembro decida individualmente la parte de los datos proporcionados e incluidos en la base de datos sobre comercio ilegal que pueda ser compartida y extraiga esos datos para facilitarlos directamente a sus organismos regionales, según estime conveniente.

Directrices para la preparación y presentación de informes anuales CITES sobre el comercio ilegal

14. En su 69ª reunión, (SC69, Ginebra, noviembre de 2017), el Comité Permanente aprobó las *Directrices para la preparación y presentación del informe anual CITES sobre el comercio ilegal*. Estas Directrices incluyen un modelo de informe y fueron enviadas a las Partes en el Anexo de la Notificación a las Partes No. 2018/009 del 19 de enero de 2018.

Presentación e intercambio de informes anuales sobre el comercio ilegal

15. De conformidad con el párrafo 3 de la Resolución 11.17 (Rev. CoP17), el primer informe anual sobre el comercio ilegal de las Partes debían presentarse antes del 31 de octubre de 2017, abarcando datos de 2016. El informe anual sobre el comercio ilegal es obligatorio, pero no está sujeto a procedimientos de cumplimiento.
16. En la fecha de redacción del presente documento (julio de 2018), la Secretaría había recibido los informes anuales sobre comercio ilegal de 2016 de 58 de las Partes, 39 de las cuales habían presentado sus informes dentro del plazo establecido. La Secretaría desea dar las gracias a esas Partes por los informes remitidos. La Secretaría se complace en informar a las Partes de que se ha creado una página web sobre el *Informe anual sobre el comercio ilegal*³ que está disponible en el sitio web de la CITES. Asimismo, en la fecha de redacción del presente documento, la Secretaría estaba trabajando para publicar en la página web la situación de los informes anuales sobre el comercio ilegal por las Partes.
17. Se recuerda a las Partes que los informes anuales sobre comercio ilegal de 2017, correspondientes al período del 1 de enero al 31 de diciembre de 2017, deben enviarse a la Secretaría antes del 31 de octubre de 2018, preferiblemente a la dirección de correo electrónico que figura en las *Directrices (reporting@cites.org)*. Se pide a las Partes que utilicen el formato normalizado para informes acordado por el Comité Permanente y sigan las *Directrices para la preparación y presentación del informe anual CITES sobre el comercio ilegal* que están disponibles en la página web de la CITES referente al informe anual sobre el comercio ilegal.

Valor de los datos recopilados de los informes anuales sobre comercio ilegal

18. Salvo que la Parte que presentó el informe hubiera indicado lo contrario, la Secretaría, de acuerdo con la Resolución Conf. 11.17 (Rev. CoP17), párrafo 4, compartió los informes anuales sobre comercio ilegal recibidos de las Partes con la ONUDD para su procesamiento a fin de que fuesen utilizados para los estudios y análisis mundiales del ICCWC sobre los delitos contra la vida silvestre y los bosques.
19. En la fecha de redacción del presente documento, todavía no se había conseguido los fondos para la aplicación de la Resolución Conf. 11.3 (Rev. CoP17), párrafo 14 (análisis de los datos proporcionados) aunque la Secretaría estaba tratando con una Parte que posiblemente done estos fondos. Los informes anuales sobre el comercio ilegal presentados por las Partes hasta la fecha ya han servido para aportar datos para la preparación de varios informes que se presentan durante esta reunión, tales como los relativos a los grandes felinos asiáticos, guepardos, angulas, grandes simios, leones y tortugas marinas. Esto demuestra el valor de la información que contienen los informes anuales sobre el comercio ilegal presentados por las Partes.

³ https://cites.org/eng/resources/reports/Annual_Illegal_trade_report

20. Tal y como se informa en el documento sobre el *Consortio Internacional para Combatir los Delitos contra la Vida Silvestre* que ha sido preparado para esta reunión, la ONUDD está trabajando en la segunda edición del Informe mundial sobre los delitos contra la vida silvestre. Los datos anuales relativos al comercio ilegal proporcionados por las Partes supondrán una contribución integrante de este informe que, de manera similar al primer Informe mundial sobre los delitos contra la vida silvestre, estará basado en los mejores datos y casos de estudio disponibles y respaldado por un análisis de fondo.

Recomendaciones

21. Al aplicar la Decisión 17.122, se invita al Comité Permanente a:

- a) aprobar la propuesta detallada de la ONUDD para desarrollar una base de datos para almacenar y gestionar los datos sobre el comercio ilegal recopilados a través de los informes anuales sobre el comercio ilegal, en el Anexo al presente documento;
- b) presentar el siguiente proyecto de Decisión a la 18ª reunión de la Conferencia de las Partes para su consideración:

18.AA La Secretaría contratará a la ONUDD para que establezca, aloje y mantenga una base de datos para el almacenamiento y gestión de los datos sobre comercio ilegal recopilados de los informes anuales sobre comercio ilegal, cumpliéndose los requisitos establecidos en la propuesta detallada preparada por la ONUDD que se presenta en el Anexo del documento SC70 Doc. 26.3 sobre *Informes anuales sobre comercio ilegal*.

- c) solicitar a la Secretaría que incluya el coste relativo al almacenamiento y gestión de los datos sobre el comercio ilegal, tal y como se indica en el párrafo 9 del presente documento, en el proyecto de presupuesto del Fondo Fiduciario CITES (CTL) para los años 2020–2022 que se someterá a la consideración de la Conferencia de las Partes en su 18ª reunión, junto con el proyecto de Decisión 18.AA indicado en la recomendación b) anterior.
- d) recomendar a la 18ª reunión de la Conferencia de las Partes que enmiende los párrafos 3 y 4 de la Resolución Conf. 11.17 (Rev. CoP17) sobre *Informes nacionales* como sigue:

3. *INSTA a todas las Partes a que a partir de 2017, presenten un informe anual sobre el comercio ilegal antes del 31 de octubre de cada año, que abarque las medidas del año anterior y de conformidad con el formato de informe distribuido por la Secretaría, distribuido por la Secretaría, que puede ser enmendado periódicamente por la Secretaría de acuerdo con el Comité Permanente;*

4. *~~ENCARGA a la Secretaría~~ ACUERDA que, a menos que la Parte que presenta el informe indique lo contrario, ~~comparta~~ los datos recopilados en el informe anual sobre el comercio ilegal e incluidos en la base de datos deben estar disponibles para las Partes para estudios y análisis de los delitos contra la vida silvestre y los bosques que les afecten, y ~~en~~ para los miembros del Consorcio Internacional para Combatir los Delitos contra la Vida Silvestre (ICCWC) para los estudios y análisis mundiales del ICCWC sobre los delitos contra la vida silvestre y los bosques.*

PROPOSAL

A sustainable framework for the storage, management and dissemination of data collected through CITES Annual Illegal Trade Reports

(26 July 2018)

Executive Summary

This proposal was prepared in close collaboration with the Secretariat of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), to implement Decision 17.121 on Reporting requirements.⁴ It incorporates the matters outlined in the provisions of Recommendations c) and d) on *Annual illegal trade reports*, as presented in document SC69 Sum. 2 (Rev. 1),⁵ agreed by the CITES Standing Committee at its 69th meeting (SC69, Geneva, 2017).

As described in this proposal, UNODC can provide a long-term and sustainable framework to collect, process, store and disseminate data collected through CITES annual illegal trade reports. The proposal builds upon the long-standing experience of UNODC in collecting, processing and analysing data on illegal activities and trafficking, and it has three specific objectives:

- To ensure the regular collection, processing and validation of annual illegal trade reports, secure storage of data collected, and processing this data to make it suitable for the production of analytical reports;
- To develop a data dissemination platform that will allow password-protected direct access to selected users, including the CITES Secretariat, CITES Parties and the International Consortium on Combating Wildlife Crime (ICWC) partner agencies; and
- To gradually improve the quality of CITES annual illegal trade report data and to increase the response rate by CITES Parties.

The proposal also describes outputs, deliverables and activities to be undertaken by UNODC to assure the regular maintenance of the database and how these would fit the requirements set by CITES Conference of the Parties.

It is believed that UNODC's expertise, role and mandate will offer a sustainable solution for high quality management and user-friendly dissemination of CITES annual illegal trade data, so that this data can become an accessible and valuable tool to inform decision making, and support of the development of appropriate law enforcement responses to wildlife crime.

⁴ Decision 17.121 adopted by the 17th meeting of the CITES Conference of the Parties

⁵ <https://cites.org/sites/default/files/eng/com/sc/69/sum/E-SC69-Sum-02-R1.pdf>

1. Background

UNODC has long-standing experience in establishing and maintaining a wide range of data on illicit drugs, criminal activities and criminal justice response at global level, including data on trafficking in illicit goods. The UNODC Research and Trend Analysis Branch (RAB) manages the following datasets:

- Country-level aggregated data:
 - Comprehensive datasets on all aspects of the drug problem (demand, supply, production/ cultivation, mortality, drug-related offences) from UNODC's Annual Reports Questionnaire (ARQ);
 - The Crime Trends Survey database (UN-CTS), which covers data from a comprehensive questionnaire on criminal offences and criminal justice statistics (collected since 1970);
 - The homicide database, which integrates homicide data collected through the UN-CTS with data from external national and international sources from criminal justice and public health.
 - A Global Report on Trafficking in Persons database (GLOTIP) on detected victims and perpetrators of human trafficking, collected through an annual data collection from Member States;
 - Data on trafficking in firearms, their parts and components and ammunition, collected through the United Nations Illicit Arms Flows Questionnaire (UN-IAFQ)
 - The UNODC early Warning Advisory on New Psychoactive Substances (NPS) database and platform, collecting and sharing information on the emergence of NPS and toxicological data related to these substances, with information on legislative responses and technical information to assist forensic laboratories in the identification of NPS.
- Datasets of individual seizure events, as provided by Member States:
 - The Individual Drug Seizures (IDS) database, which includes significant illicit drug seizures reported by Member States biannually;
 - A database on significant arms seizures, with information collected annually through the UN-IAFQ;
 - A global multi-source wildlife seizure database (World WISE) on seizures of species from wild fauna and flora, covering the years 1999-2014;
 - The CITES annual illegal trade report database, which includes 2016 data on seizures of CITES listed specimens, submitted to the CITES Secretariat by Parties to the Convention.

UNODC has the statistical expertise, capacity, organisational framework and global mandate to host, manage and disseminate statistical data on criminal events/practices and on seizures of illicit goods. In particular, UNODC has significant experience in maintaining data collected across the years, ensuring the production of consistent time series and consolidated national data into regional and global aggregates with appropriate statistical procedures. Considerable experience also exists in managing official and technical communication with Member States throughout the phases of collection, processing and validation of data so to ensure the highest possible quality of data and a transparent link with national data producers.

Thanks to a long record of global reports on several topics, UNODC has developed a solid expertise on the analysis of data on criminal activities and illicit trafficking, which always need to be interpreted in conjunction with existing legal frameworks, law enforcement/criminal justice practices, national recording systems rules and possible capacity constraints at country level.

2. *Current partnership on wildlife crime data*

The CITES Secretariat and UNODC are partners in ICCWC, and both agencies share a commitment to an evidence-based approach to the global wildlife crime problem. UNODC has been an active member of the CITES Working Group on Special Reporting Requirements during the development of the CITES annual illegal trade report, and supported the design of the format for reporting.

In preparation of the 2016 World Wildlife Crime Report, UNODC created a global database of wildlife seizures, dubbed "World WISE". It contains data on 164,000 seizures from 120 countries over a 15-year period, and it was compiled from a variety of sources, including data from CITES, the World Customs Organisation, the European Union's Wildlife Enforcement Group, the LEMIS system of the United States, ASEAN's Wildlife Enforcement Network, and many others. This database, while comprehensive in its contents, is currently being upgraded to bring it in line with IT standards in terms of security, storage capacity, sustainability and ease of use.

In this partnership framework, CITES has recently shared annual illegal trade reports (AITR) for 2016 and UNODC is currently processing, harmonizing and validating available AITRs, and it has developed a secure database for storage and analysis of such data. Thanks to such activities and to regular consultation with UN Environment-WCMC and CITES Secretariat, UNODC has developed and tested a protocol to systematically and efficiently collect, process and validate these data, and to store them in a secure manner.

3. *Proposed new partnership to manage the CITES Illegal Trade Data*

3.1 *Objectives*

As indicated by Decision 17.121 adopted by the CITES Conference of the Parties, and the *Requirements* outlined in Annex 3 to document SC 69 Doc. 28.3, the main objectives of this new partnership would be:

- To maintain the current CITES-AITR *production* database, ensure the regular collection, processing and validation of AITR data, secure storage of data collected, and processing this data to make it suitable for the production of analytical reports;
- To develop a data dissemination platform that will allow password-protected direct access to the CITES Secretariat, CITES Parties, ICCWC partner agencies, and any other authorised potential user. This dissemination platform, that will integrate the *dissemination* database, will provide a user-friendly interface to selected contents of AITR data and built in a way that different levels of data access can be provided to different data users, as per indications by CITES Parties and CITES Secretariat;
- To contribute to improve the quality of CITES annual illegal trade report data, as well as to increase the response rate through communication with CITES Parties and CITES Management Authorities, in consultation with CITES Secretariat.

Assuring a sustainable and solid infrastructure for the maintenance of illegal trade data, as well as robust and consolidated time-series, is also key to assure the long-term production of the SDG Indicator 15.7.1 ‘*Proportion of traded wildlife that was poached or illicitly trafficked*’, for which UNODC and CITES are custodian agencies⁶.

3.2 Outputs

- An integrated, validated and comprehensive set of data on wildlife seizures for analytical purposes, with data sourced from CITES annual illegal trade report.
- A password-protected data dissemination platform, directly accessible by ICCWC partner agencies and CITES Parties, containing CITES annual illegal trade reports data for which the CITES Parties agreed the sharing with ICCWC partner agencies.

3.3 Annual deliverables

- A yearly official data release of validated and reviewed CITES annual illegal trade reports (individual data) made available through the dissemination platform.
- A set of standard statistical tables based on CITES annual illegal trade reports aimed to monitor global and regional trends/patterns of trafficking in wildlife.
- A yearly data quality assessment report, with indications of data quality and coverage issues at global/regional level. Whenever relevant, amendments to the *Guidelines for the preparation and submission of the CITES annual illegal trade reports* will be proposed to facilitate data preparation and submission by CITES Parties and improve data quality standards.

3.4 Activities

First year:

1. Based on on-going experience, review and update the current CITES annual illegal trade report database
2. Collect and store *all* data received by CITES Secretariat
3. Translate CITES annual illegal trade report when reporting language is different than English
4. Process and validate data systematically
5. Review nomenclature and data standards based on consultation with UNEP-WCMC
6. Integrate data in the CITES annual illegal trade report database
7. Share annual illegal trade report data of the previous reporting year with CITES Parties for their technical review
8. Integrate CITES Parties’ reviews and further inputs
9. Maintain documentation on data, metadata, national sources and validation process
10. Maintain and update data processing application
11. Maintain regular communication with CITES Parties and the CITES Secretariat

⁶ The Indicator has been re-classified as Tier II because of the lack of sufficient data coverage (IAEG-SDG 3rd meeting).

12. Respond to specific data requests, in agreement with the CITES Secretariat
13. Build consolidated data series for analytical purposes, inclusive of metadata
14. Release a data quality assessment report
15. Perform regular database backups and recovery tests on both production and dissemination databases
16. Design, test and launch a password-protected data platform for data dissemination, directly accessible by the CITES Secretariat, CITES Parties and ICCWC partner agencies.

Second and subsequent years:

1. Conduct activities 1. to 15. (see above) for data collection, processing, validation and dissemination
2. Based on first year experience, review and update the dissemination platform.

3.5 Requirements

Main costs are summarised below (more detailed in the budget table).

1. A statistical assistant (G5) to implement activities 1. to 14. (see above)
2. Statistical expert (P3) to maintain supervision of the entire process
3. Contractual services for development of new data platform (Consultant, 4 months – first year only)
4. Standard costs for the storage and maintenance of the production database, and for set up and maintain the data dissemination platform (including technical support for database backup and recovery).

3.6 Budget

The associated cost implications for the overall data management, the supervision of the entire process, development of the data platform and costs for storage and maintenance of data are planned to amount to USD 202,212 for the first year and to USD 176,789 for the second and subsequent years:

N.B. The indicated costs are intended as fixed charges for all activities to process all CITES annual illegal trade reports, regardless of the number of reports received.

The costs include:

Table 1 – Detailed costs of the activities (in United States Dollars)

Description	Year 1 (2020)	Year 2 (2021) and subsequent years
<u>One-time costs</u>		
Contractual services for development of new data platform (consultant) (4 months).	24,000	-
<i>Sub-total</i>	<i>24,000</i>	-
<u>Recurrent costs</u>		

Statistical Assistant for overall data management (see detailed list of tasks in Annex 1 to this proposal).	111,200 ⁷	113,800 ⁴
Statistical expert to maintain supervision of the entire process (2 months).	27,783 ⁴	28,383 ⁴
Standard costs for data storage, maintenance and dissemination, including support costs for database backup and recovery.	12,500	9,540
Support cost to UN Environment-WCMC to help ensure that nomenclature reference and data standards are applied as for the annual trade report and to be compatible with the CITES legal trade database.	9,500	9,500
Annual meeting with CITES Secretariat, covering two-day mission of three staff members from Vienna to Geneva (or viceversa).	4,000	4,000
<i>Sub-total</i>	<i>164,983</i>	<i>165,223</i>
<i>Project Net Total</i>	<i>188,983</i>	<i>165,223</i>
<i>PSC (7.0%)</i>	<i>13,229</i>	<i>11,566</i>
TOTAL	202,212	176,789

Total for the first two years: **USD 379,001**

⁷ Standard UNODC Revised Standard Salary costs (2018-2021) for Staff Members positions based in Vienna funded by extra-budgetary sources.

4. Requirements concerning the storage and the management of illegal trade data collected through the CITES annual illegal trade report

Document SC69 Doc. 28.3, Annex 3, states that: “In Resolution Conf. 11.17 (Rev. CoP17), paragraph 3, the Conference of the Parties **URGES** all Parties, commencing in 2017, to submit an annual illegal trade report by 31 October each year covering actions in the preceding year and in accordance with the report format distributed by the Secretariat, as may be amended by the Secretariat from time to time with the concurrence of the Standing Committee. Data obtained from these reports stored and managed on behalf of the CITES Secretariat, should be dealt with in accordance with the following requirements (...)”.

At SC69, the Standing Committee agreed Recommendations c) and d) on *Annual illegal trade reports*, presented in document SC69 Sum. 2 (Rev. 1), as follows:

- c) *The Standing Committee endorsed the requirements to be met concerning the storage and management of illegal trade data collected through the annual illegal trade reports, as prepared by the Secretariat and presented in Annex 3 of document SC69 Doc. 28.3, and taking into account the advice provided by the Standing Committee at its 69th meeting to incorporate input from Parties in further developing these requirements, to ensure that the data are made available to support law enforcement needs, and to ensure that data are ultimately available as non-aggregated individual records.*
- d) *The Standing Committee requested the Secretariat to work with UNODC to prepare a detailed proposal for the development of a database to store and manage illegal trade data collected through CITES annual illegal trade reports, engaging with partners of the International Consortium on Combating Wildlife Crime (ICWC) as appropriate, incorporating the requirements referred to in recommendation c) above and including the budget breakdown, for consideration by the Committee at its 70th meeting, and subsequent submission to the 18th meeting of the Conference of the Parties for consideration.*

The table below lists the requirements outlined in Annex 3 to document SC69 Doc. 28.3, and how UNODC proposes to meet those requirements.

Table 2 - UNODC proposed solutions to the requirements to be met concerning the storage and the management of illegal trade data through the CITES annual illegal trade report

Requirement	Proposed solution
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1) The ownership of the data stored in the illegal trade database and managed on behalf of the CITES Secretariat remains with the Party that reported the data to the CITES Secretariat.	1) UNODC will host and manage the data on behalf of the CITES Secretariat. The data will not be disseminated without prior approval by the CITES Secretariat. Standard validation procedures will be conducted by UNODC before dissemination to improve data consistency and accuracy. Both production and dissemination databases, related processing tools and the dissemination platform will be designed by making use of standard IT tools and software; if needed, this would facilitate data migration to different IT infrastructures in the future.
2) The data must be stored on a secure platform and managed in a secure manner.	2) CITES annual illegal trade report data will be hosted in a secure and protected database- similarly to all other data collections managed by UNODC. The production database will be accessible only to UNODC and will be physically located at UNODC Headquarters. To guarantee the highest data dissemination security standards, the dissemination database will fulfil the security standards of the Office of Information and Communications Technology (OICT) of the UN Secretariat. All ICT infrastructures and applications used for data validation, storage, maintenance and dissemination will allow to keep track of all processes associated with the production database and to monitor the access to the dissemination platform. Logs of all these activities will be stored and maintained over the years.
3) The host of the database must ensure that data, which can be shared with members of ICCWC to be used in ICCWC global research and analysis of wildlife and forest crime, can be easily separated from data that cannot be shared with ICCWC in accordance with the provisions of Resolution Conf. 11.17 (Rev. CoP17), paragraph 4. The database must allow separate download of these datasets, to be used by ICCWC in accordance with the necessary data sharing protocol, to conduct analyses and research to identify patterns and flows of illicit trafficking (e.g. identification of high risk geographic areas / routes / transport methods / species / allocation of enforcement resources).	3) UNODC keeps track of the authorisation to share CITES annual illegal trade report data with other ICCWC partners, as indicated by the reporting parties in the checkbox of the reports received. The dissemination platform will exclude all data from reports with explicit indication that “<i>information provided (...) may not be used in the ICCWC-supported global research and analysis of wildlife and forest crime</i>”.

4) The database must be directly and fully accessible to the CITES Secretariat.	4) The CITES Secretariat will have full access to the data dissemination platform (for security reasons, the production database will be accessible only to UNODC staff). The dissemination database will be a replication of the production database and it will be fully available to the CITES Secretariat. Data will be made available on the dissemination database according to a predetermined schedule agreed upon between UNODC and CITES Secretariat.
5) Direct access to the database containing data for which Parties agreed that this data can be shared with members of ICCWC for research and analysis will be granted by UNODC to any ICCWC partner agency, subject to approval by the CITES Secretariat. This will facilitate the coherent use of data and enable the Secretariat to, as appropriate, keep track of and manage such use. Such access will be granted for the period needed by the requesting ICCWC partner agency to conduct the agreed research and analyses, and will be restricted to identified users as agreed with the ICCWC partner agency requesting access.	5) The data platform will be protected with a password to guarantee access restricted only to CITES Secretariat, CITES Parties and ICCWC partner agencies. Different levels/permissions of access can be assigned to different users of the dissemination platform, according to the indication of the CITES Secretariat before the sharing, dissemination and publication of any data. The data dissemination platform infrastructure will allow for flexibility in the permission levels, from the access to limited fields of selected reports to full access to all fields of all reports received and validated by UNODC. Access to data can also be offered for a limited time interval.
6) The system must provide a user interface that presents, sorts and aggregates data in a meaningful manner.	6) The data dissemination platform will be designed to allow filtering, sorting and aggregating options of CITES annual illegal trade report data. Features of data dissemination interface will be described in a technical note that will be agreed with CITES Secretariat.

7) To facilitate analyses of annual illegal trade data, the illegal trade database must enable searches to be made using different parameters, e.g. Party, Appendices, species, specimen, etc.	7) The annual illegal trade report data tables available in the data dissemination platform will include the name of reporting Party, the CITES Appendices, and all relevant fields included in the reporting format template of the CITES annual illegal trade report. The specific contents of annual illegal trade reports made available on the dissemination platform will be detailed in a technical note to be agreed with CITES Secretariat.
8) The data shall be stored and be made available using data fields and data elements that correspond to the codes and formats set out in the <i>Guidelines for the preparation and submission of the CITES annual illegal trade report</i> agreed by the Standing Committee, and the <i>Guide to using the CITES Trade Database</i>. Updates must be made as necessary to the database, to incorporate changes to the Guidelines or the Guide.	8) The data from CITES annual illegal trade reports will be stored using as reference the <i>Guidelines for the preparation and submission of the CITES annual illegal trade report</i> and the data processing protocols prescribed in the <i>Guide to using the CITES Trade Database</i>. Specific contents of the data dissemination platform will be described in a technical note. In case of changes to the Guidelines and/or the guide, necessary updates to the data storage and dissemination will be discussed by UNODC and CITES Secretariat, and implemented taking into account possible resource implications.
9) The latest nomenclature references adopted by the CITES Conference of the Parties must be used.	9) At the moment of database establishment, the latest nomenclature adopted by the CITES Conference of Parties will be used (UNODC is already collaborating with UN Environment-WCMC to guarantee alignment). Updates to the nomenclature that need to be reflected in the data storage and dissemination will be discussed by UNODC and CITES Secretariat, and implemented taking into account possible resource implications.

10) The data will be processed and validated according to procedures to be agreed to ensure the highest possible quality of data.	10) UNODC has long-standing experience in processing and validating seizures data for statistical purposes. The prescription of the <i>Guidelines for the preparation and submission of the CITES annual illegal trade report</i> and the data processing protocols prescribed in the <i>Guide to using the CITES Trade Database</i> will be used as reference for data processing. Data processing and validation will be conducted according to a transparent procedure, which will be discussed and reviewed with CITES Secretariat. UNODC will regularly produce a report on data quality with the aim of giving indications to Member States on improving data quality at the source.
11) The database must be able to clearly differentiate between data originating from the CITES annual illegal trade reports and data from other sources, and allow a separate download of the dataset from the CITES annual illegal trade reports.	11) Each data element will be stored with clear specification of its data source; accordingly, it will be possible to implement each operation (aggregation, visualisation, and download) according to the data source. The selection - for download or visualisation - of data sourced from CITES annual illegal trade reports will be a simple operation.
12) The host of the database must engage with UNEP-WCMC to help ensure that the database will apply the same nomenclature references and data standards as for the annual trade report, and be compatible with the CITES Trade database.	12) UNODC is already cooperating with UN Environment-WCMC to ensure alignment of processing protocols prescribed in the <i>Guide to using the CITES Trade Database</i>. UNODC follows strictly the <i>Guidelines for the preparation and submission of the CITES annual illegal trade report</i> as validation rule. The collaboration with UN Environment-WCMC will continue and it will be formalised.

13) Roles and responsibilities for staff of the host of the database on the management and use of the data will be developed through consultation between the host of the database and the CITES Secretariat, and agreed prior to the start of the project.

13) The agreement between CITES Secretariat and UNODC will identify activities, outputs and the timeline for their implementation. The agreement will also identify the organisational unit responsible for its implementation, the resource requirements and the Focal Points responsible for communication between CITES Secretariat and UNODC. Regular consultation will be held between staff of CITES Secretariat and UNODC to ensure coordination and smooth operations of the project. Further details on the responsibilities of the full time statistical assistant working on the CITES illegal trade report data are available in the Annex I of this proposal.

5. Complementarity of CITES AITR and other wildlife trade data and use of CITES AITR to feed the new World Wildlife Seizure (WISE) Database

UNODC is fully engaged to provide the international community with the best available global information on wildlife crime. For such purpose, UNODC intends to maintain the World Wildlife Seizure (WISE) Database, incorporating CITES annual illegal trade reports to other compatible seizure data sources (including data from previous CITES reports), for analytical purposes. The World Wildlife Seizure Database will also contain seizures of non-CITES listed species of wild fauna and flora, to cover additional seizures orders under national and international legislations (e.g. the Council Regulation (EC) No 338/97).

Maintaining a global dataset that integrates data on illegal trade of CITES protected wild fauna and flora species with other illegal trade data sources collected by UNODC, can have a positive impact on CITES annual illegal trade reports for the following reasons:

- It provides a benchmark to validate and harmonise CITES annual trade report data, available for cross-country comparability and for aggregation for regional and global analysis.
- Allows for compatibility of CITES annual trade report data with other data sources (including CITES illegal trade information from past years) to build consistent time series and allow for robust time trends analysis.
- Allows to combine information of CITES annual illegal trade reports with information from other sources, to create a centralised information database on global wildlife seizures of CITES and non-CITES listed species (the updated WISE database).

Subject to willingness to information sharing by agencies providing the data, the centralised global wildlife seizures database could be shared with CITES Secretariat, ICCWC partners and law enforcement agencies for global research and trend analysis on illegal wildlife trade.

N.B. Costs to manage the World Wildlife Seizure (WISE Database) are borne by UNODC and therefore not included in the present proposal.

Annex I

Statistical assistant's list of tasks

The Statistical Assistant will contribute to the management and maintenance of the database on CITES annual illegal trade reports data on worldwide wildlife seizures.

In particular, she/he will be responsible for the following duties:

- Continue the compilation and processing of the CITES annual illegal trade reports database on worldwide wildlife seizures information provided by CITES Parties and received through CITES Secretariat;
- Review, store, file and maintain the information provided by CITES Parties and CITES Secretariat;
- Translate reports when reporting language is different than English;
- Standardize and validate collected data to ensure consistency and comprehensiveness; interpret and adjust anomalous data using standard statistical procedures and techniques, under the guidance of supervisors;
- Design, maintain and update internal tools, applications and protocols for the processing of data and for making data available to analysts;
- Devise and implement quality guidelines and standard procedures to provide a solid foundation for the accuracy of the data and ensuing analysis;
- Maintain documentation on data and on data processing standards;
- Monitor quality and consistency of final datasets;
- Draft an annual data quality assessment report;
- Prepare and arrange the data for the publication ensuring high quality of disseminated data and metadata;
- Contribute to the design, establishment and launch of the data platform for the dissemination of CITES illegal trade data;
- Apply statistical techniques and IT skills to assist in the preparation of national, regional and global estimates of relevant indicators;
- Contribute to the production of SDG Indicator 15.7.1.
- Contribute to methodological discussions on data standards and conversion factors, in coordination with CITES Secretariat and UN Environment-WCMC;
- Prepare data sets upon request, respond to queries/requests and maintain/update web pages;
- Provide data support for the production of relevant reports;
- Update statistical series in established formats;
- Maintain regular communication with CITES Secretariat;
- Ensure coordination with UN Environment-WCMC, to update nomenclatures adopted by the CITES Conference of the Parties and ensure alignment with trade term standards and codes;
- Support CITES in the improvement of the quality and the coverage of the data, through communication with CITES Parties and/or Reporting Authorities;
- Contribute to regular database backups and recovery tests on both production and dissemination databases, to prevent data losses or to restore lost data.