

# NOTIFICACIÓN A LAS PARTES

No. 2023/022

Ginebra, 2 de marzo de 2023

ASUNTO:

## Inicio del examen del sistema de seguimiento y gestión del comercio significativo

1. De conformidad con la Decisión 17.108 (Rev. CoP18), la Secretaría ha puesto en marcha [el Examen del Sistema de Seguimiento y Gestión del Comercio Significativo](#) (Sistema de Gestión del ECS).

### **Introducción del sistema de gestión del ECS**

2. El proceso de Examen del Comercio Significativo (ECS) es un proceso de observancia destinado a garantizar que el comercio de especies incluidas en el Apéndice II se realiza de forma sostenible y de conformidad con el Artículo IV de la Convención, y a identificar los casos en que se requieren medidas correctivas.
3. El sistema de gestión del ECS realiza un seguimiento del progreso de las combinaciones especie/país que han sido seleccionadas para ser examinadas, a través de las 4 etapas del proceso del ECS tal y como se describe en la Resolución Conf. 12.8 (Rev. CoP18) sobre *Examen del comercio significativo de especímenes de especies del Apéndice II*. El sistema aporta mayor transparencia al proceso y permite a las Partes sujetas a examen en el marco del ECS, así como a otros usuarios interesados, hacer un seguimiento de la situación de las recomendaciones.
4. El sistema de gestión del ECS incluye las combinaciones de especies y países que actualmente son objeto de examen, incluidas las que son objeto de una recomendación de suspender el comercio en el marco del ECS. También se incluyen los casos que se han eliminado del examen, tras recibir informes satisfactorios del Estado del área de distribución, desde la 76ª reunión del Comité Permanente (SC76, Ciudad de Panamá, noviembre de 2022). Sujeto a financiación adicional, la Secretaría espera seguir desarrollando la base de datos para incluir casos históricos de ECS.
5. Actualmente, el sistema de gestión de ECS solo está disponible en inglés. La Secretaría espera recibir financiación adicional para proporcionar versiones en francés y español del Sistema de Gestión de ECS a su debido tiempo.

### **Características principales**

6. El Sistema de gestión de ECS incluye un resumen de los detalles y la situación de todos los casos de ECS en curso, las recomendaciones del Comité de Fauna o de Flora o del Comité Permanente dirigidas a la Parte interesada y la correspondencia entre esa Parte y la Secretaría.

Secretaría de la Convención sobre el Comercio Internacional de Especies Amenazadas de Fauna y Flora Silvestres (CITES)

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7. Las Partes con combinaciones de especies/países examinadas en el ECS tendrán acceso al sistema para seguir la situación de sus casos en el proceso del ECS, recibir alertas sobre medidas pendientes y comunicarse confidencialmente con la Secretaría sobre los avances en la aplicación de las recomendaciones pertinentes. Las Partes no sujetas al proceso del ECS, los observadores y otras personas interesadas pueden acceder a la página pública del sistema de gestión del ECS para ver la información pública disponible sobre las combinaciones especie/país en curso en el ECS.

#### **Acceso de las Partes**

8. Para obtener acceso al sistema de gestión del ECS, la Secretaría se pondrá en contacto individualmente con las Partes o los Estados del área de distribución que tengan combinaciones de especies y países actualmente incluidas en el ECS.

#### **Proyecto de guía del usuario y comentarios**

9. Se ha elaborado un proyecto de manual del usuario para el Sistema de gestión de ECS como ayuda para comprender la base de datos y la información que contiene, que figura en el anexo de la presente notificación. Se invita a las Partes a enviar a la Secretaría sus comentarios sobre la base de datos y el proyecto de manual del usuario antes del 30 de abril de 2023. Por favor, envíe sus comentarios a la Sra. Dejana Radisavljevic ([radisavljevicd@un.org](mailto:radisavljevicd@un.org)).



# **CITES REVIEW OF SIGNIFICANT TRADE MANAGEMENT SYSTEM - GENERAL USER MANUAL**

V1.1

Date: [XXX]

Draft

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# 1. INTRODUCTION

This User Manual is designed as an aid to understanding the CITES Review of Significant Trade Management System and the information it contains.

The CITES Review of Significant Trade (RST) process is a CITES compliance process intended to ensure that trade in Appendix-II species is conducted sustainably and in accordance with Article IV of the Convention, and to identify where remedial action is needed (Res. Conf. 12.8 (Rev. CoP18)). A summary of the RST process as outlined in Res. Conf. 12.8 (Rev CoP18) is provided in Annex 1 to this guidance.

Decision 17.108 (Rev. CoP18) requested the Secretariat to develop, test and establish a Review of Significant Trade Tracking and Management database as an essential tool for the effective implementation and transparency of the process. The Review of Significant Trade Management System was developed by the United Nations International Computing Centre (UNICC) and can be accessed from: [rst.cites.org/public](http://rst.cites.org/public). During development, the Secretariat also convened and consulted a Technical Advisory Group (comprising Parties that have been subject to the Review of Significant Trade, individuals with experience in database development and use, as well as representatives of interested non-governmental organizations) on the requirements of the tracking and management system. Initial data on case information was input into the database by UNEP-WCMC, and the case information is maintained by the CITES Secretariat.

The Review of Significant Trade Management System tracks the progress of species-country combinations for the Parties that have been selected for review, through the stages of the Significant Trade Review process. The database contains all cases that were ongoing at the time of the 74<sup>th</sup> meeting of the Standing Committee (SC74, Lyon, March 2022), including cases where a Standing Committee recommendation to suspend trade on the basis of the RST was in place, and any cases which subsequently entered the RST process. It does not comprehensively include the historical RST cases that were closed before SC74.

For each case, the database includes the following information which is publicly accessible: a summary of the case details and status, any recommendations of the relevant CITES Committee (Animals Committee, Plants Committee and Standing Committee) directed to the Party, a record of meetings, an activity log of all actions relating to the case, and a document repository, containing all AC/PC/SC documents. The system thus allows progress on a case to be tracked through the different stages of the RST process.

In addition, the system also provides a portal for Parties that are subject to the RST process to communicate with the CITES Secretariat on progress in the implementation of recommendations directed to them; these functionalities are confidential and only accessible via a login. Any Party that is subject to the RST process will need login details to access the confidential pages. A separate guidance document for Parties with cases in the RST process is available.

Note that the user view may differ from the screenshots in this guidance due to differences in screen size.

## 2. NAVIGATION

On the landing page, you have the option to Search for specific cases on a number of criteria, view the list of all ongoing cases (including cases which are subject to a Standing Committee recommendation to suspend trade), or log in to access the confidential features of the management system (Parties with cases in the RST process only, see separate guidance) (Figure 1).

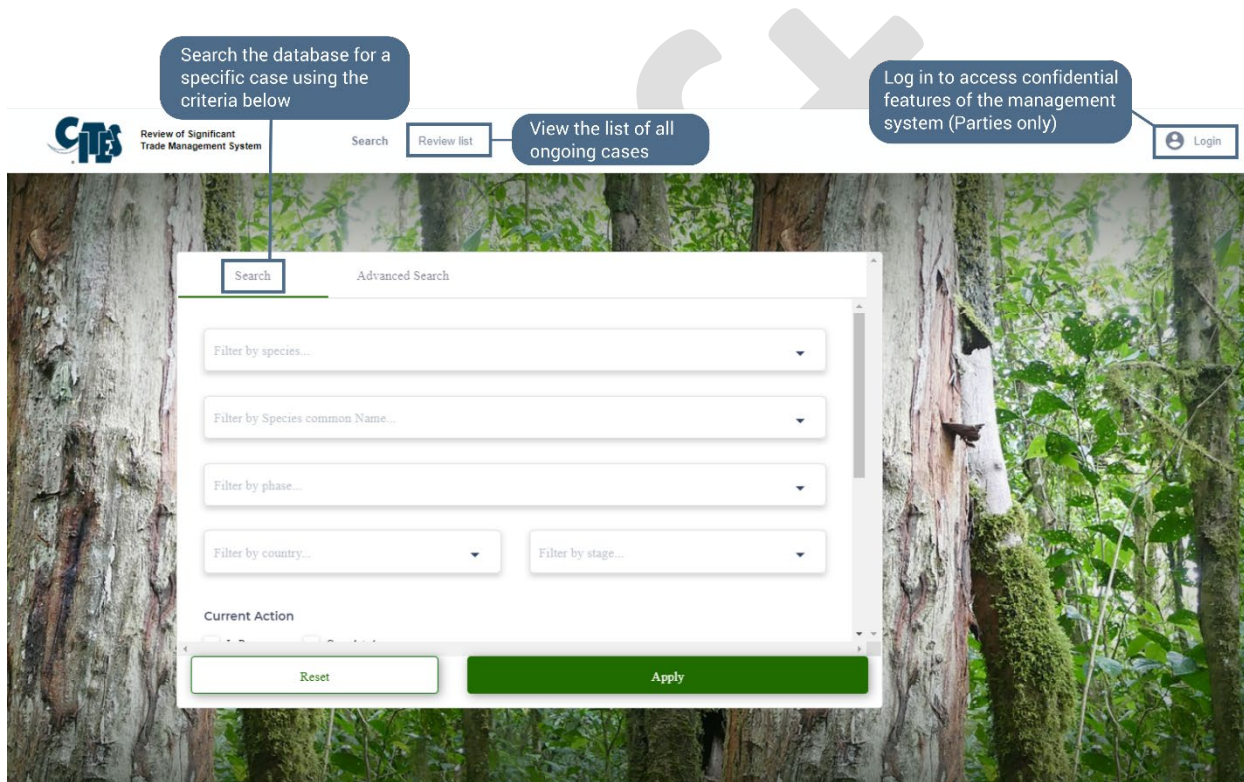


Figure 1. Overview of the landing page for the Review of Significant Trade Management System

## 2.1. Search for cases

You will see by default the basic search that contains some of the fields by which you can refine your search:

- **Species /Common name**
- **Phase** (paragraph in the Resolution)
- **Country**
- **Stage**
- **Current Action** (In progress/ completed)
- **Case Status** (closed/ initiated/ ongoing/retained/trade suspension)
- **Deadline** (missed/met)
- **Specific time frame** (from a specified date to another)

An advanced search allows to filter by:

- **Kingdom**
- **Meeting** at which a case was selected for inclusion in the RST process
- **Higher Taxonomy**
- **Categorisation** (Least Concern/Possible Concern /Urgent Concern/Priority Species for cases selected prior to CoP17, or Less Concern /Action is Needed /Status is Unknown /Exceptional Case for cases selected at CoP17 or later)
- **Committee** which selected the taxon for inclusion (AC/PC/SC)
- **Removal reason** if closed case
- **Decision Type** (suspended /restricted/allowed /conditional depending on whether any trade permitted)
- **Terms of trade** (all/commercial/wild /exceptions if the Decision type allows any trade)



### To obtain a list of cases for a country:

Select the country from the 'Filter by country' drop-down (Figure 2.1a), then click 'Apply'. Remember to select the desired case status(es) from the Case status field if you want to see Closed, Retained or Initiated cases as well, as the list is automatically filtered to return cases with the status "Ongoing" and "Trade suspension" only (Figure 2.1a). Note that if you reset the filters, you may need to refresh the page for the case list to return to its default view.

a)

Search Advanced Search

Filter by Species common Name...

Filter by phase...

GHANA Filter by country...

Filter by stage...

Current Action

☐ In Progress ☐ Completed

Case Status

☐ Closed ☐ Initiated ☒ Ongoing ☐ Retained ☒ Trade Suspension

Reset Apply

b)

Country	Species scientific name	Common Name	Meeting	Recommendations	Status	More
GHANA	Chamaeleo gracilis	Slender Chameleon	AC25		Trade Suspension	
GHANA	Chamaeleo senegalensis	Senegal Chameleon	AC25		Trade Suspension	
GHANA	Pandinus imperator	Emperor Scorpion	AC24		Trade Suspension	
GHANA	Pterocarpus erinaceus	Kosso			Ongoing	

Items per page: 20 1 – 4 of 4

Figure 2.1. Example filter parameters (a) and filtered case list (b) (search parameters: cases from Ghana with status 'Ongoing' and 'Trade suspension')

## 2.2. Review list/search results

The Review list option or, if having performed a search, the search results, provide each taxon/country combination as a separate record, displaying the country, species scientific and common name, the meeting at which the taxon/country combination was selected, a link to the recommendations for the case (if any), the case status, the stage in the RST process in which the case currently is, the date of trade suspension (if relevant), the deadline for the latest action needed to progress the case in the RST process, and a 'More' option which allows to open or download details of the case (Figure 2.2).

Below the table, you can see the total number of cases corresponding to your search and navigate between pages.

Search Results  
Search > Search Results

← Back

Country	Species scientific name	Common Name	Meeting	Recommendations	Status	Stage	Date of trade suspension	Deadline	More
ALGERIA	<i>Anguilla anguilla</i>	Eel	AC29	⌵	Ongoing	Stage 4		13-Nov-2022	⋮
BELIZE	<i>Myrmecophila tibicinis</i>		PC15	⌵	Trade Suspension	Stage 4	15-Jun-2010	10-Apr-2022	⋮
BENIN	<i>Chamaeleo gracilis</i>	Slender Chameleon	AC25	⌵	Trade Suspension	Stage 4	03-Feb-2016	10-Apr-2022	⋮
BENIN	<i>Kinixys homeana</i>	Home's Hinged-backed Tortoise	AC25	⌵	Trade Suspension	Stage 4	03-Feb-2016	10-Apr-2022	⋮
BENIN	<i>Pandinus imperator</i>	Emperor Scorpion	AC24	⌵	Trade Suspension	Stage 4	02-May-2013	31-Dec-2099	⋮
BENIN	<i>Chamaeleo senegalensis</i>	Senegal Chameleon	AC25	⌵	Trade Suspension	Stage 4	03-Feb-2016	10-Apr-2022	⋮
BENIN	<i>Pterocarpus erinaceus</i>	Kosso		⌵	Ongoing	Stage 4		31-Dec-2099	⋮
BURKINA FASO	<i>Pterocarpus erinaceus</i>	Kosso		⌵	Ongoing	Stage 4		31-Dec-2099	⋮
CAMEROON	<i>Trioceros montium</i>	Mountain Chameleon	AC27	⌵					
CAMEROON	<i>Prunus africana</i>	African Cherry	PC21	⌵	Ongoing	Stage 4		10-Apr-2022	⋮

Details of a case can be opened by clicking either of these icons

• Select number of items visible per page  
• Navigate between pages

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Figure 2.2. Overview of the cases list: how to navigate in the table and access details of a case

**Important: The case list is automatically filtered to show only cases with the status “Trade Suspension” and “Ongoing”. The search tool can be used to show additional cases which have been Closed, Retained, or Initiated.**

### 3. CASE RECORD

From the main page, you can open any record by clicking on its Recommendations icon or ‘Open detail’ under ‘More’ (see Figure 2.2).

Once a case is opened, at the top is a summary of the case details, split into two boxes: a case overview, and the latest action for the case (these may appear side by side or one below the other depending on your screen size). Below this summary are four tabs detailing:

- the **recommendations** of the relevant CITES Committee directed to the country,
- **records of meetings**
- **activity log** of all actions relating to the case,
- and a **document** repository, containing all AC/PC/SC documents relevant to the case, and letters between the CITES Secretariat and the Party

### 3.1. Case summary

At the top are two boxes providing a summary of the key information for the case. Here we use the example of *Pericopsis elata* from Côte d'Ivoire to visualise the possible options for each field (Figure 3.1a and b).

a)

<b>Categorisation</b>	Categorisation: Least Concern, Possible Concern, Urgent Concern, Priority Species, Less Concern, Action is Needed, Status is Unknown, Exceptional Case, Other, N/A		
Urgent Concern			
<b>Current action</b>	<b>Current stage</b>		
Secretariat notifies all parties of recommendations or actions taken by SC	Res. Conf. 12.8 (Rev. CoP18) - Stage 4 - n)		
<b>Action required by</b>	<b>Deadline</b>		
Secretariat	10-Apr-2022		
<b>Status</b>	<b>Completed on</b>		
Completed	12-Apr-2022		

b)

<b>Categorisation</b>	Categorisation: Least Concern, Possible Concern, Urgent Concern, Priority Species, Less Concern, Action is Needed, Status is Unknown, Exceptional Case, Other, N/A		
Urgent Concern			
<b>Current action</b>	<b>Current stage</b>		
Secretariat notifies all parties of recommendations or actions taken by SC	Res. Conf. 12.8 (Rev. CoP18) - Stage 4 - n)		
<b>Action required by</b>	<b>Deadline</b>		
Secretariat	10-Apr-2022		
<b>Status</b>	<b>Completed on</b>		
Completed	12-Apr-2022		

Figure 3.1. Case overview (a) and summary of latest action (b) (example case: *Pericopsis elata* from Côte d'Ivoire)

In this example for *P. elata* from Côte d'Ivoire (Figure 3.1), the current **Status** of the case in box a) is "Trade Suspension". However, other options for the status could include: "initiated", "retained", "closed" or "ongoing". The **Trade Suspension** field lists the date at which the suspension started, if relevant. Accordingly, for *P. elata*, the **Decision type** is "suspended", but other alternatives could be "restricted", "allowed" or "conditional" depending on whether any trade might be permitted. If trade is allowed, then the **Terms of trade** may be specified. Here there are none, given the suspension, but other possible options are: "all", "wild", "commercial", and "exceptions".



The categorisation and the latest action for the case is summarised in the second box (b) (Figure 3.1b). The **Categorisation** details the conclusion by the Animals or Plants Committee on whether the case needs to progress from the initial stage, and may be "Least Concern", "Possible Concern", "Urgent Concern", "Priority Species" for cases selected prior

to CoP17, or “Less Concern”, “Action is Needed”, “Status is Unknown”, “Exceptional Case” for cases selected at CoP17 or later. The box further provides:

- **Current action:** the most recent (completed or pending) action in the activity log (in the case of *P. elata*, the Secretariat notifies the Parties of the SC recommendation to suspend trade).
- **Current stage:** this reflects the corresponding stage and paragraph of the RST process for the action, including the relevant revision of Res. Conf. 12.8.
- **Action required by:** this provides the user group that needs to complete the current action: either the Secretariat, Animals/Plants/Standing Committee or a Party (in this case, the Secretariat).
- **Deadline:** The deadline set for completion of the current action; note that where a deadline was not specified at the relevant Animals/Plants/Standing Committee, a deadline of the 31<sup>st</sup> December 2099 has been set as an arbitrary date in the RST tracking system.
- The **Status** indicates whether the action is complete, and the **Completed on** specifies the date.

### 3.2. Recommendations tab

Case recommendations are entered by the Secretariat and can be viewed in the ‘Recommendations’ tab in the case detail. Recommendations are listed chronologically, with those formulated by the AC/PC appearing first, followed by any recommendations transmitted to Parties by the Standing Committee. For example, the recommendations directed to Côte d’Ivoire for *Pericopsis elata* are provided in Figure 3.2 below.

Recommendations								
Records of meetings   Activity log   Documents								
#	Type	Deadline	Action	Justification	Status	Attachment	Quota	
204	Short Term	08-Sep-2011	The Management Authority should set a zero quota and inform the CITES Secretariat so that it can be included in the national export quotas on the CITES website. Before trade resumes the Management Authority should clarify with the Secretariat how it determines that the level of trade is not detrimental to wild populations.		Not Implemented		0	
685	Long Term	31-Dec-2099	The Standing Committee, at its 62nd meeting, recommended that all Parties suspend trade in specimens of <i>P. elata</i> from CI until that country demonstrates compliance with Article IV, paragraphs 2 (a) and 3, for this species, and provides full information to the Secretariat regarding compliance with recommendation of the Plants Committee.	Recommendation to suspend trade maintained at SC66, SC70 and SC74	Implemented			

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Figure 3.2. Overview of the fields in the recommendations tab (example case: *Pericopsis elata* from Côte d’Ivoire)

The following information is summarised in the recommendations tab:

- **Type:** The category of the recommendation, as specified in the document which set the recommendations: Short term (e.g. 6 months), Long term (e.g. 2 years), or Final.
- **Deadline:** The deadline for the implementation of the recommendation, as indicated in the relevant AC/PC document<sup>1</sup>. For recommendations for which there is no specified deadline, such as trade suspensions, a deadline of 31 December 2099 has been added to the system.
- **Justification:** Any additional information or context. For example, to note that a recommendation was determined to be no longer relevant by the Standing Committee, or

<sup>1</sup> The Standing Committee may agree to change the deadline of recommendations; any changes to a recommendation deadline will be noted as a separate recommendation by the Standing Committee, rather than the original deadline being edited.

if the recommendation to suspend trade was maintained at subsequent Standing Committee meetings.

- **Status:** The progress against a recommendation, as determined by the Animals or Plants Committee. “Initial” is the default status of a recommendation. A recommendation may be marked as “amended” if the original recommendation was agreed to be altered at a subsequent meeting, for example, to change the deadline. **Note that a recommendation will only be marked as “implemented”, “partially implemented” or “not implemented” by the Secretariat at the outcome of an Animals or Plants Committee or Standing Committee meeting.**
- **Attachment:** The meeting document which directed the original recommendation to the Party. Clicking on the paperclip symbol for an action will take you to the Document library, and the document relevant to the action will be highlighted with a grey box.
- **Quota:** Only included if the relevant AC/PC/SC recommendation specified a quota.

### 3.3. Record of meetings tab

This section contains all the Animals/Plants Committee, Standing Committee and Conference of the Parties documents for meetings occurring after the database was launched at the 19<sup>th</sup> meeting of the Conference of the Parties (CoP19, Panama, November 2022).

### 3.4. Case activity log

In this tab, users can see the history of the actions for each case, listed chronologically with the most recent action first (Figure 3.4).


Recommendations   Records of meetings <u>Activity log</u> Documents				
Name	Deadline	Completed on	Attachment	
Secretariat notifies all parties of recommendations or actions taken by SC - Res. Conf. 12.8 (Rev. CoP18)	10-Apr-2022	12-Apr-2022		
SC reviews recommendations to suspend trade in place for over 2 years - Res. Conf. 12.8 (Rev. CoP18)	11-Mar-2022	11-Mar-2022		
Secretariat monitors progress - Res. Conf. 12.8 (Rev. CoP18)	07-Jan-2022	07-Jan-2022		
SC reviews recommendations to suspend trade in place for over 2 years - Res. Conf. 12.8 (Rev. CoP17)	05-Oct-2018	05-Oct-2018		
SC reviews recommendations to suspend trade in place for over 2 years - Res. Conf. 12.8 (Rev. CoP17)	05-Oct-2018	05-Oct-2018		
SC reviews trade suspension recommendations longer than two years and takes appropriate measures - Res. Conf. 12.8 (R	15-Jan-2016	15-Jan-2016		
SC reviews trade suspension recommendations longer than two years and takes appropriate measures - Res. Conf. 12.8 (R	15-Jan-2016	15-Jan-2016		
Sec. notifies Parties of recommendations/actions of SC - Res. Conf. 12.8 (Rev. CoP13)	26-Aug-2012	28-Aug-2012		

Figure 3.4. Overview of the actions in the Activity log tab (example case: *Pericopsis elata* from Côte d'Ivoire)

This history includes the list of actions, the deadline for each action, when it was completed, and any relevant documents.

- As the history of a case may span different revisions of the Resolution on the Review of Significant Trade since the case was initiated, the relevant revision in place when an action was set is visible next to each action in the activity log.
- **Deadline:** Each action deadline is set by the Secretariat, based on the deadlines specified for each stage and phase in the relevant revision of the Resolution in place at the time the action was set.

- **Completed on:** Incomplete actions will have no date in this column. **Note that the Secretariat will mark actions as complete; Parties will not be able to edit this.**
- **Attachment:** For every record it is possible to see if any relevant documents are attached; some actions may have multiple documents. Clicking on the paperclip symbol for an action will take you to the Document library, and the document relevant to the action will be highlighted with a grey box. However, note that any letters between the Party and Secretariat will have been marked as confidential and will not be publicly viewable.

### 3.5. Documents library

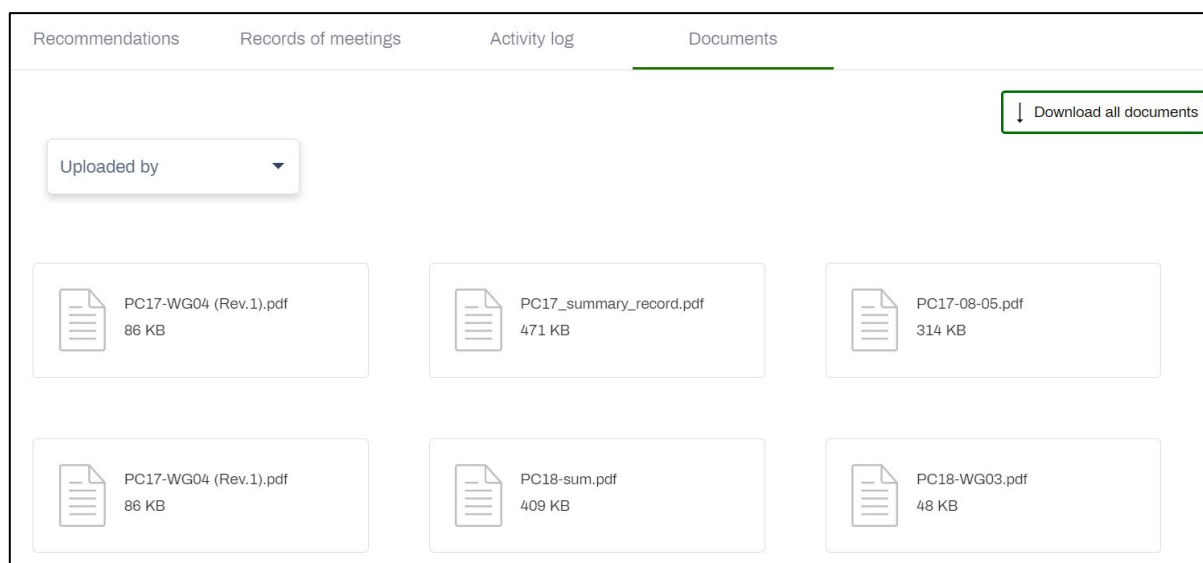


Figure 3.5. Overview of the documents library functionalities (example case: *Pericopsis elata* from Côte d'Ivoire)

In the Documents library tab, you will be able to see a full list of the public case documents (Figure 3.5). You can filter the documents based on the different actors in a case (the Party, Secretariat, Animals or Plants Committee Chair or Standing Committee) using the 'Uploaded by' dropdown menu. It is also possible to download all public documents for the case.



## Annex 1

