

ANALYSIS OF EU MEMBER STATE CITES BIENNIAL REPORTS 2009–2010

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INTRODUCTION

The European Union (EU) constitutes one of the largest and most diverse markets for wildlife and wildlife products in the world. The Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), which entered into force in 1975, aims to ensure that international trade in specimens of wild animals and plants does not threaten their survival.

CITES is implemented in the EU through two main Regulations: *Council Regulation (EC) No. 338/97* on the protection of species of wild fauna and flora by regulating trade therein (the Basic Regulation) and *Commission Regulation (EC) No 865/2006* laying down detailed rules concerning the implementation of *Council Regulation (EC) No 338/97* (the Implementing Regulation). This set of Regulations is also known as the EU Wildlife Trade Regulations (hereafter referred to as the Regulations) and is directly applicable in all EU Member States. The necessary enforcement provisions must be transferred into national legislation and supplemented with national laws, as these matters remain under the sovereignty of each Member State.

According to Article 15(4)(c) of the *Council Regulation* and Article 69(5) of the *Commission Regulation*, EU Member States should report biennially to the Commission “*all the information relating to the preceding two years required for drawing up the reports referred to in Article VIII.7 (b) of the Convention and equivalent information on the provisions of this Regulation that fall outside the scope of the Convention*”.

This analysis is based on all 27 Member State 2009–2010 Biennial Reports submitted to the Commission by the extended deadline. The Biennial Report format for EU Member States includes Part 1, which is for all CITES Parties and was therefore agreed at the 13th meeting of the Conference of the Parties to CITES in October 2004, and Part 2, covering supplementary questions specified by the Commission related to information on the provisions of the Regulations that fall outside the scope of CITES (see Biennial Report format in Annex 1). Additionally, *Commission Recommendation No 2007/425/EC*, adopted on 13th June 2007, identifies a set of actions for the enforcement of *Council Regulation No 338/97* and specifies the measures that should be taken for the enforcement of the Regulations. These measures have been included as supplementary questions in Part 2 of the Biennial Report, as agreed at the CITES Management Committee meeting held on 14th November 2008 (COM 45).

The analysis of Biennial Reports aims to assess EU Member States’ compliance with, and performance and effectiveness in, implementing CITES, and to provide an overview of how the EU as a whole implements the EU Wildlife Trade Regulations. The methodology used for the previous two analyses (2005-2006 and 2007-2008) was amended for this reporting period in an attempt to provide a better overview at the EU level, in addition to useful facts and figures of the EU’s implementation of CITES, which will enable the European Commission (EC) and EU Member States to identify successes, progress and possibilities for improvement and learn from good practice.

METHODS

For the 2009–2010 reporting period, the Commission received all 27 Biennial Reports in time for the analysis. Biennial Reports for 2009–2010 follow the questionnaire format approved at the 13th meeting of the Conference of the Parties to CITES in October 2004. A revised questionnaire highlighting new questions was agreed at COM 45 and all Member States used this format (see Annex 1). This analysis covers the 2009–2010 period and Biennial Report questions have been interpreted to refer to actions taken by the Member State during this reporting period only (unless otherwise stated or inferred).

A number of changes were made in both the methodology used and the presentation of results, when comparing this analysis to previous years:

- The “Country Profiles” section, which in past analyses made up the main body of text, was replaced with the “EU analysis of implementation” (hereafter referred to as the EU analysis). The information previously provided in the Country Profiles is still available in the “Compilation of EU Member State CITES Biennial Reports”.
- The order of questions summarised in tables and discussed in the text of the “EU analysis” section is based on the Biennial Report format, and no longer separated into “obligatory” and “additional” measures.
- The summary assessment table in Annex 2 provides the basis for assessing overall implementation across the EU and can be consulted for answers provided by individual Member States. Additional tables with more detailed information for certain questions, including those with various options or answers involving numbers or percentages, are provided in Annexes 3-5.

Not all Biennial Report questions are addressed in this analysis. The majority are included in the summary table and discussed further in the EU analysis. However, some are only included in the EU analysis, due to difficulties in interpreting and/or providing a yes or no answer for these questions, combined with the fact that the specific information provided by Member States was thought to be considerably more useful if presented in its full format. Some questions were not included in the summary table or EU analysis, either because they did not provide additional information of use for the analysis or because they deal with issues such as the provision of full legislative text, contact details and/or permit format, and do not lend themselves to “analysis” (B1b, B3, B4, C2b, C16b, D1.1-D1.4, D2.1, D2.2, D3.1, D3.2, D3.4 and D5.1).

Interpreting some of the answers provided by Member States involved some subjectivity. Table 1 provides details on how answers provided by Member States were interpreted in order to be able to present consistently applicable “yes”, “no” and “no information” answers in the summary assessment, including for a number of questions made up of several options. When Member States provided additional details that contradicted the yes/no answer provided, the summary table was amended accordingly.

The analysis covers legislative, compliance and enforcement and administrative measures in turn. An overall indication of the level of implementation (number of Member States answering a question positively) was provided for each relevant question, supplemented with any further details and examples of useful information/good practice provided by Member States. Where possible, the wording used in the analysis is similar to that provided by Member States in their reports. A direct comparison with the situation in previous reporting periods was not carried out due to the new format used for this analysis.

Throughout the analysis, “non-CITES-listed species” refers to species that are listed in the Regulation Annexes, but not in the CITES Appendices. These include some species in Annexes A and B and all those in Annex D. A list of all country codes and other abbreviations used throughout the analysis are

provided in Annex 6. Where values are provided in non-Euro currencies, a conversion to Euros (EUR), using the average exchange rate for 2009–2010 for that currency as per www.oanda.com, is included.

Table 1 Methods used for interpretation of Biennial Report answers for inclusion in the summary table

Interpretation of answers	Questions this was applied to
As per question (Y for “Yes”, N for “No”, P for “Partly”, U for “Underway” or “Under consideration”, O for “No information”), if no box ticked same as “no information”	B1, B7, C2, C4, C6, C8, C12, C14, C20-C30, D1.8, D1.8b, D1.11, D2.3, D2.8, D2.8b, D2.10, D3.1, D3.3, D3.6, D4.3, D4.3b, D4.9, D5.4, D5.7, D5.9b, D5.14-5.20, D7.1, D7.7, D7.9, D7.13, D8.2, D8.2b, D8.4, D8.4b, D8.6
Marked Y when a Member State provided information of NEW legislation, enacted/coming into force during the 2009-2010 reporting period under either of these questions.	B2/B2b
Marked Y if one or more “Yes” boxes ticked, N if all “No” boxes ticked, O if no boxes ticked or all “No information” boxes ticked	B5/5b, B8/8b (either), C1, D5.2
Marked Y if information provided (Adequate, Partially or Inadequate), N if all “No” or “No information” boxes ticked, or none ticked.	B6
Marked Y if any information provided in the box or as Annex, N if no information provided	B9b
As per question for Yes and No, O if either “Not applicable” or “No information” boxes ticked	C11, C16, D4.5
Marked Y if one or more boxes ticked, N if no boxes ticked (or “Not at all” box ticked)	D4.1, D4.1b, D4.8, D4.10, D5.9, D6.1, D6.2, D6.3, D7.4, D7.5, D7.6
Marked Y if all authorities have continuous/unrestricted access or access to all options	D4.2, D4.6
Marked Y if “Entirely”, P if “Partly”, N if “Not at all” and O if “Not relevant”	D5.11

EU ANALYSIS OF IMPLEMENTATION

B Legislative and regulatory measures

B1-B2/B2b CITES and/or Regulation-related legislation

All Member States reported having either fully or partly provided information on their CITES-relevant legislation under the CITES National Legislation Project. Member States that had only “partly” provided this information also reported having planned, drafted or enacted new CITES or Regulation-relevant legislation during this period – 14 Member States provided details of new legislation underway.

B5/B5b Stricter domestic measures

Twenty-four Member States have stricter domestic measures in place for CITES-listed species. Details of these are provided in Annex 4. Eleven also reported having additional stricter measures in place for non-CITES listed species. Stricter domestic measures tend to cover native and nationally protected species, however some Member States have other measures in place such as:

- keeping of wild feline and primate species outside of zoos or rescue centres is prohibited (BG)
- special provisions and restrictions on the breeding, keeping and training of birds of prey including requirements for molecular and genetic analyses (DE, NL, SI, SK)
- stricter marking, registration and documentation requirements for live specimens (HU, NL)
- import of whale meat products or taking of whales including by national vessels is prohibited (FI)
- special requirements for the marking of crocodylian species (FR)
- cetaceans cannot be kept in captivity for commercial purposes (SI)

B6-B8/B8b Review of effectiveness of CITES legislation (results)/review of legislation

Eighteen Member States provided information on the results of any review or assessment of the effectiveness of CITES legislation. All these Member States marked the Implementing Regulations as “adequate” and nearly all Member States marked all other items also as “adequate” with the exception of the following as “partially inadequate”:

- Powers of CITES authorities (EE)
- Clarity of legal obligations (PL)
- Control of CITES trade due to CITES not being a priority for enforcement officers (RO, SE)
- Consistency with existing policy on wildlife management and use (LV)
- Coverage of law for all types of offences and penalties (CY, FR, RO)
- Coherence within legislation (IT)

Seven Member States provided further details in relation to review of the effectiveness of CITES legislation on an EU or national level. Two mentioned the “Study on the Effectiveness of the Regulations” completed by TRAFFIC and IUCN in December 2007 (DE, FR) and another two mentioned the EU’s review of *Regulation 865/2006* and consequent revisions and guidance documents planned (HU, IT). One Member State provided details of a review on the effectiveness and impacts of the enforcement, ports of entry/exit and fees components of its national legislation, in addition to carrying out a review of effectiveness of the stricter obligations imposed by EU Regulations (UK). Seven Member States report there being a review planned for the next reporting period or that an assessment is already underway and will continue.

Eleven Member States reported having reviewed legislation dealing with specific subjects in relation to the implementation of CITES and/or the EU Regulations. The most common subject for review was the handling and housing of live specimens (six Member States), followed by the introduction of species that would threaten indigenous fauna/flora and the marking of specimens (five Member States each).

B9b Penalties for Regulation-related violations

Twenty-three Member States provided details of maximum penalties that may be imposed for Regulation-related offences. The highest reported maximum fine that may be imposed within the EU was EUR 760,000 (NL) and one Member State reported there being no maximum limit for fines in certain cases (UK). The highest maximum prison sentence reported was fifteen years, if the offender is part of a criminal organisation (LV). A number of Member States reported having different maximum penalties for private and legal persons or depending on the Code or Act under which the offence is punishable. Some further details are provided in Table 2.

Table 2 Maximum penalties that may be imposed for Regulation-related violations.

	Fines	Sentences (years)	Notes
AT	EUR 40,000	2	
BE	EUR 275,000	5	<i>Sanctions strengthened in 2004 (under prior legislation, maximum prison sentence was six months)</i>
CY	CY 1000 (~EUR 1700)	3	
CZ	CZK 1,500,000 (~EUR 60,000)	5	
DE	<EUR 50,000	<5	<i>Lower maximums for certain offences</i>
EE	EUR 65,000	<5	<i>Lower maximums for certain offences (max. EUR 3,200 fine under Nature Conservation Law, Penal Code, Customs Code and Animal Protection Act)</i>
ES	3x/4x value of specimens		<i>Administrative/Criminal offence</i>
EL	GRD 5,000,000 (x 2) (~ EUR 14,673)	1 (2)	<i>Fine can be doubled for repeated offences, prison sentence can be increased to 2 years in exceptional cases</i>
FI		4	<i>2 years per case, maximum 4 for several cases</i>
FR	2x value of fraud/ confiscation	3	<i>Offences punishable under the Customs Code</i>
	EUR 15,000	1	<i>Offences punishable under the Environmental Code</i>
HU	HUF 100,000 (~EUR 340)	3	
IE	EUR 100,000	2	<i>Sanctions strengthened in 2010 (maximum fine was increased from EUR 63,487)</i>
IT	EUR 9296		
LT	LTL 1000 (~EUR 290)	4	<i>According to Lithuanian Criminal Code liability for illegal use of wild animals or plants and their derivatives was established in 2010.</i>
LV	LVL 500 (P), 10,000 (L) (~EUR 714/14,275)		<i>Administrative fines</i>
	100 x min monthly wage	2 (15)	<i>For violation of trade rules of endangered animal/plant species or parts/products. Max sentence of 15 years for smuggling in organised group.</i>
MT	MTL 2000 (~EUR 4659)	2	
NL	EUR 76,000 (P) 760,000 (L)	6	
PL		5	
RO	EUR 3700 (P) 25,000 (L)		
SE		4	
SI		5 (10)	<i>Under the Criminal Code, 10 years if item is of exceptional importance for nature protection or act is performed within a criminal organisation</i>
	EUR 626 / 2086 / 20,856 / 41,729		<i>Maximum fines for individual / responsible person or legal entity / legal trader / legal person. Under Nature Conservation Act.</i>
SK	EUR 3319 (P) 99,582 (L)	8	
UK	Unlimited	5	<i>Under the Control of Trade in Endangered Species (Enforcement) Regulations 1997 (as amended)</i>
	Unlimited	7	<i>Under the Customs and Excise Management Act 1979</i>
	GBP 5000 (~EUR 5987)	0.5	<i>WCA offences</i>

(P – private person, L – legal person, or business)

C Compliance and enforcement measures

General compliance and enforcement (C1-C19)

C1 Compliance and monitoring operations undertaken

Twenty-six Member States reported having carried out at least one type of compliance monitoring activity during the reporting period. Nearly all (25) had inspected traders, producers and/or markets and carried out border controls and 16 had reviewed reports or other information provided by traders and/or producers.

One Member State noted that border controls for trade in CITES specimens was restricted to international airports (AT) and two other Member States reported carrying out regular checks on Internet trade (DE, PL). Another noted that its national regulation on the “Registration of Possession and Trade in Wildlife” requires that traders and producers such as breeders, zoos and scientific institutions provide information about their activities to the authorities (NL), one specified carrying out road checks and inspections of other facilities housing captive wildlife such as laboratories, zoos and circuses (FR) and one reported running four major operations during the reporting period (ES).

C2-C9 Seizures and administrative measures/criminal prosecutions/court actions

Twenty-four Member States made “significant” seizures, confiscations or forfeitures in 2009-2010. CITES-related violations were penalised through administrative measures such as fines, bans and suspensions in 22 Member States, criminal prosecutions in 14 and other court actions in 12.

A number of Member States provided examples of fines, prosecutions and court actions from this reporting period (a selection of some significant penalties are provided in Table 3), but also noted that CITES authorities are not always kept informed of proceedings related to CITES violations, and that the information they provided in their report is not likely to cover all incidences (BE). Further details of significant seizures are not provided here as information on EU seizures are analysed on a regular basis and presented to the EU Enforcement Group (EG) at its six monthly meetings.

C10 Methods used to dispose of confiscated specimens

Specimens confiscated in the EU are most commonly disposed of in public zoos or botanical gardens (19 Member States use this method) or designated rescue centres (17). Specimens are more rarely transferred to approved private facilities (8), returned to the country of export (5) or euthanised (1). See question C26 for more details on the types of facilities used.

A number of “other” methods of disposal were specified by 16 Member States. For live specimens these included providing them to a zoo for re-introduction programmes (BG, 40 Grey Parrots to Sofia Zoo) or giving them to a private person under a “life-long care” contract with no commercial purpose permitted (SI, live tortoises). Methods of disposal of dead specimens, parts and/or derivatives included:

- Kept by the MA (CY, PT), SA (LT) or Customs (FI, LT, SI)
- Given to authorities, museums, universities or other scientific collections for public awareness and education purposes (AT, CZ, EL, HU, LV, PL, SE, SI, SI)
- Used as samples for Customs and Police training (AT, EE, FI, FR, PL, SI, SK), or
- Destroyed: plants, medicines and cosmetics or other types of specimens due to health hazards (BE, EE, IE, LV, NL, SE, SI)

Two Member States highlighted the fact that the sale of confiscated specimens is not permitted under national law (CZ, HU). One noted that euthanasia of live specimens is carried out as a last resort, only when there are health implications surrounding the specimen/s (HU) and another that specimens are rarely returned to the country of export (BE).

Table 3 Examples of fines, prosecutions and court actions for CITES-related offences

BE	<p>In March 2010 a breeder of raptors (including <i>Falco tinnunculus</i>) was ordered by the court to pay a fine of EUR 5500, or face a prison sentence of 3 months. The offender had already committed multiple offences, including making several false statements concerning the origin of the specimens held (wild-taken).</p> <p>In April 2010 a pet store manager was sentenced by the court to a year and a half in prison and fined EUR 55,000 for illegal national and international trade in protected birds, including CITES listed eagles and toucans. The offender appealed and the case is still ongoing.</p>
BG	<p>A Bulgarian citizen was fined BGN 70,200 (approx. EUR 35,872) for attempting to import 108 Grey Parrots into Bulgaria in April 2010 without CITES import permits and for not fulfilling transport conditions.</p>
CZ	<p>In 2009-2010, over 200 penalties to the total value of CZK 1,288,300 (approx. EUR 51,000) were imposed for CITES-related violations (112 cases) in the Czech Republic. 22 cases were further investigated by the Police and 30 persons charged with a criminal offence of “unauthorised management of protected wild fauna and flora”. The maximum penalty given by the court was 16 months in prison on 2.5 years probation. All sentences given were probationary.</p>
DE	<p>In 2009 and 2010, there were nearly 3000 “procedures” related to CITES violations in Germany, including 326 administrative orders imposing a fine and 22 orders imposing other punishments/sentences.</p> <p>Two companies were fined EUR 305,000 and EUR 120,000 respectively for unlawfully importing and trading Ramin brushes since 2006 (negligent infringement, unaware for requirement for CITES permits). These fines were higher than the maximum fine set out by law due to the “absorption of the economic benefit” gained by infringements, which allows the maximum fine to be exceeded.</p> <p>A number of tortoise breeders/traders were fined or charged during this reporting period. One trader involved in the illegal collection and selling of European reptiles and amphibians was sentenced to two years imprisonment on probation and a fine of EUR 9000. In addition the court sentenced him with a three year ban on dealing with protected animals.</p> <p>After a long lasting investigation (starting in 2005), a German trader in birds of prey was sentenced to 28 months imprisonment. Nearly 150 certificates, which had been issued by the local authority and were based on wrong information, were withdrawn and declared as being void. The local authority officer in charge of issuing the certificates was also sentenced to 22 months imprisonment on probation.</p>
ES	<p>In October 2010, a French national, who attempted to sell four elephant tusks in Spain in 2006, was sentenced to one year and nine months in prison and fined EUR 45,000.</p>
FI	<p>The owner of a large herbarium housing illegally collected specimens (including CITES-listed species imported from neighbouring countries) was prosecuted.</p>
SI	<p>There were ten prosecutions in 2009 and 2010 involving the smuggling of <i>Litophaga litophaga</i> and <i>Testudo hermanni</i> and false labelling of caviar (<i>Huso huso</i>). The Slovenian court assigned three cases of the latter to other countries according to the accuseds’ nationality.</p>
UK	<p>There were 21 prosecutions for CITES related violations in the UK in 2009 and 2010. A number of these involved prison sentences and/or Serious Crime Prevention Orders (SCPO) such as:</p> <ul style="list-style-type: none"> - 8 month sentence and a SCPO (prohibiting the offender from trading in Annex A species for three years) for attempting to sell 197 Hermann’s and Spur-thighed Tortoises without Article 10 certificates and for making a false statement in an attempt to obtain permits (May 2009) - 10 month sentence for illegal internet trade of elephant ivory and whale teeth (October 2009) - 30 month sentence (later reduced to 18 months on appeal) for attempted smuggling of 14 Peregrine Falcon eggs from the UK to Dubai (August 2010) - 12 month sentence for attempted smuggling of rhino horn from the UK to China (October 2010). This case involved an abattoir contracted to dispose of the body of a rhino that died in a zoo, who then sold the rhino horns to an antique dealer.

C11 Detailed information on significant cases of illegal trade, convicted traders and/or persistent offenders provided to Secretariat

Eleven Member States report having provided detailed information to the Secretariat through an ECOMESSAGE or other means. A number of Member States noted that ECOMESSAGE is only used by the Police to inform Interpol (DE, FR, PL). Information is also shared via EU-TWIX, ENVIRONET and direct communication with the CITES Secretariat and the EC.

C12-C15 Co-operative enforcement activities with other countries/ local communities

Twenty Member States have been involved in co-operative enforcement activities with other countries, such as the exchange of intelligence, provision of technical support or investigative assistance, or being part of a joint operation.

A number of Member States emphasised preparing for and actively participating in the EU Enforcement Group, the Interpol Wildlife Crime Working Group, the EU-TWIX Advisory Group and the World Customs Organization (WCO) Working Group on CITES issues (CZ, DE, UK). In addition to these regular international exchanges of information and dissemination of interesting seizures on EU-TWIX, Member States participated in several bilateral exchanges, multilateral workshops and/or joint operations, including

- Interpol RAMP (Reptiles and Amphibians) and/or TRAM (Traditional Asian Medicines) Operations (FR, IT, NL, PL, RO, SI, SK, SE, UK)
- WCO Intensive Global One Day CITES Operation (RO, SE)
- Joint operations (including “controlled deliveries”) on ivory (BE, NL, UK)
- Joint operation on date mussels with Croatia (SI)
- “Operation Lora” with Brazil, the Czech Republic, Germany and Portugal resulting in a number of arrests for illegal trade in parrots
- Workshop on illegal trade in reptiles held in Italy in 2010 (DE)
- Iberian Seminar on CITES enforcement issues in October 2010 (ES, PT)
- Intelligence exchanges with Interpol, Europol and the US Wildlife Enforcement Authorities on rhino horn (IE)

No Member States reported offering incentives to local communities to assist in enforcement, however one noted that although there is no direct incentives scheme for CITES offences, the government in part funds the Crimestoppers Charity (UK). Crimestoppers provides payments of up to GBP 1000 to individuals providing information that leads to the arrest and conviction of offenders.

C16/17, D3.3, D3.6 CITES-related enforcement—review, additional measures, specialised units and focal points

There has been a review or assessment of CITES-related enforcement in 11 Member States. In the majority of cases these assessments have been carried out by committees or specialised enforcement units (established in 18 Member States) and have focused on issues such as determining enforcement priorities and national implementation of the EU Enforcement Action Plan (EU EAP). In addition, nearly all Member States (25) noted having designated environmental/CITES focal points within each relevant enforcement authority.

Some Member States provided significant further information on setting enforcement priorities and additional measures being carried out on a national level – a selection of these are summarised in Table 4. Further details on progress in implementation of the EU EAP are provided under questions C20-C30.

Table 4 Examples of setting and assessing enforcement priorities

BE	A Belgian enforcement committee was established in July 2008 in order to facilitate the exchange of information, evaluate performance and develop a “control” strategy. This group meets regularly, generally prior to the biannual EU EG meetings. An additional working group has been set up specifically to determine the best possible way of implementing the EU EAP on a national level and specific priorities have been identified. These include increasing enforcement focus at major ports, ensuring strong in-country enforcement through regular checks of pet shops, breeders and other facilities and investigating wildlife trade on the internet.
DE	The CITES MA, Customs Criminal Investigations Agency and regional enforcement and management authorities regularly review enforcement within Germany. Several subcommittees specialized in CITES matters have been created under the national “Standing Committee on Species and Biotope Conservation”. These include a CITES timber enforcement committee which evaluates timber markets, including national internet trade, and a newly established CITES turtle and tortoise enforcement subcommittee with a remit to identify those species for which controls need to be enhanced and intensified and to organize and handle co-ordinated controls of traders and private reptile keepers.
MT	With the aim of improving CITES-related enforcement, Malta set up a National Enforcement Committee, which is composed of officials from the Veterinary Services, Customs, Police and CITES MA. Its first meeting was held at the end of 2010, whereby a training seminar was provided through an EC Funded Project, in collaboration with WWF and TRAFFIC.
NL	A CITES “intervention strategy” was launched for the period 2008-2011. The goal of this strategy was to stimulate information exchange between enforcement agencies and assess risks and priorities.
UK	The UK National Wildlife Crime Unit (NWCU) undertakes an annual wildlife crime “Strategic Assessment” which assesses and describes the current threats posed by criminals involved in all types of wildlife crime. Once wildlife crime priorities have been agreed, annual operation plans are drawn up to tackle each priority. The illegal trade in CITES species was identified as a UK wildlife priority in 2009 and 2010. NWCU sits on the multiagency “Tasking and Co-ordination Group” (TCG) (previously known as the High Level Group, HLG) which is made up of UK enforcement agencies including police and Customs. The TCG provides the enforcement response for wildlife crime in the UK.

C18 Marking of captive-bred specimens

Twenty-four Member States mark specimens to establish whether they were born and bred in captivity (in accordance with Article 66 of EC *Regulation 865/2006*). However, as one Member State specifically noted marking does not necessarily establish that the specimen was born and bred in captivity, e.g. native birds can be taken from their nests at a very young age (or as eggs) and marked (SK). Some Member States have more stringent marking requirements than others, with some requiring all live animals listed in Annex A and some in Annex B also to be marked, such as breeding stocks of mammals, birds and reptiles (HU, SI).

Furthermore, it was noted by two Member States that depending on the species and/or the age of the specimen, Article 66 may not apply (BE, HU). For specimens of *Testudo kleinmanni* for example, which are too small even as adults for normal micro-chips to be used, photo-identification can be accepted instead. In an attempt to prevent fraudulent activities surrounding other juvenile tortoises with plastrons smaller than 10 cm (such as *Testudo hermanni* and *T. graeca*), restricted certificates allowing only national and one intra-EU transaction are issued. When the specimen is large enough to be identified with a microchip, the certificate is then replaced. Studies to test the insertion of the smallest available microchip into very young specimens of *T. hermanni* (plastrons of 4 cm) hope to be completed by 2012 (BE).

C19 Monitoring of intended accommodation for live specimens

Twenty-two Member States confirmed that they monitored intended accommodation for live specimens at the place of destination to ensure it was adequately equipped to conserve and care for them (according to Article 4(1c) of EC *Regulation 338/97*). Three Member States emphasised that their Scientific Authorities evaluate the conditions of intended accommodation whenever an import application for Annex A specimens is submitted (AT, DE, EL, PL). In other Member States, either inspectorates or animal health and welfare authorities regularly check housing conditions in facilities known to keep live animals for commercial or public purposes (BE, HU, FI, UK) and the facilities of new breeders are also verified (IT). One Member State requires that an “accommodation care questionnaire” be completed by any new owner and that this be assessed by a scientific advisor with expertise in animal welfare legislation (BE).

Implementation of the EU Enforcement Action Plan (C20-C30)

Questions C20 to C30 specifically address Member State progress in implementing the EU Enforcement Action Plan (EU EAP) – *Commission Recommendation C (2007) 2551*. However, there are a number of other Biennial Report questions (or parts of them) linked to the EU EAP, including B8, B9b, C1, C2, C9b, C10, C11, C12/13, C19, D3.6, D4.2, D4.6/4.7, D4.10, D6.1, D6.2, D6.3, D7.1-7.5, D7.9/7.10 and D8.1, details of which are provided under their respective sections. A table summarising all Biennial Report questions related to implementation of the EU EAP and its specific recommendations is provided in Annex 7.

C20 National action plans for co-ordination of enforcement (II a)

Eight Member States reported having adopted a national action plan for co-ordination of enforcement with clearly defined objectives and timeframes that is harmonised and reviewed on a regular basis. One Member State stated that development of a plan was underway (SK). Of those Member States reporting having adopted such an action plan, two indicated that a “formal” national CITES action plan for enforcement had not actually been formulated, but that focal areas and priorities for enforcement are set on a regular basis (BE, UK). Another noted there was a “co-operative strategy for CITES enforcement” in place (NL).

Some of the Member States reporting not having such an action plan in place provided further details concerning progress or as to why this was the case. One Member State noted their intention to draft an action plan in the coming years with the help of the newly created National Enforcement Committee (MT) and another that it plans to commission an expert to help formulate such a plan (PL). One Member State stated that its “inter-sectoral Committee” for the prevention of illegal wildlife trade ensures national enforcement priorities are set and assessed on a regular basis (SI), one said that each enforcement authority has their own individual action plan (RO) and another suggested that a national enforcement action plan is not necessary due to the administrative and enforcement authorities being in constant communication with each other (ES).

One Member State clarified that it had answered “Yes” to this question in its 2007-2008 Biennial Report as its detailed national legislation for CITES was regarded as a *de facto* national action plan for enforcement. Authorities are now discussing whether there is a need for a separate enforcement action plan with objectives going beyond the national law and with defined timeframes, regular harmonization and review (CZ).

Another Member State noted that although there is no formal action plan yet in place, it has initiated several national enforcement initiatives in line with the action planning provisions in CITES *Resolution Conf. 11.3 (Rev. CoP 15)*. All relevant enforcement and management authorities involved in the implementation of CITES have been invited to collaborate on the creation and implementation of a national action plan, and an Interagency National Action Plan Working Group (IANAP-WG) was established at the Federal Agency for Nature Conservation in 2007 for this purpose. The main

objectives and targets of this working group include improving inter-agency co-operation and identifying enforcement priorities. Furthermore, to ensure the uniform application of regulations across this country's 16 Federal States, a subcommittee on enforcement was established under the "Standing Committee on Species and Biotope Conservation". Focal areas for enforcement endorsed by the subcommittee for 2009 and 2010 were tropical timber, rare species of tortoises and certain birds of prey (see also C17, DE).

C21 Access to specialised equipment, expertise and resources (II b)

Twenty Member States reported that their enforcement authorities have access to specialised equipment, relevant expertise, and other financial and personnel resources. Specialised equipment and resources available to enforcement personnel included an electronic clearance system with "restriction" indicators for shipments being imported, exported or in transit (FI), X-ray machines for detecting concealed specimens (MT), microchip readers, deep freezers and species identification manuals (SI), sniffer dogs (SK), an animal reception centre and assistance with DNA testing (UK). Two Member States highlighted that lists of experts for species identification, and/or of laboratories undertaking DNA or other forensic analysis are made available to all enforcement authorities by the MA (BE, DE).

However, some Member States, although answering this question positively, noted that needs far exceed resources (PL), or that although some police authorities are well equipped, inspectorates are lacking in resources (CZ, SK). The lack of national laboratories able to carry out DNA analysis for CITES specimens, and limited number across the EU, was also a concern (CZ).

C22 Penalties take into account market/conservation value of species and costs incurred (II c)

Nineteen Member States confirmed that penalties imposed take into account *inter alia* the market value of specimens and the conservation value of species involved in an offence, and the costs incurred. Some noted that conservation value was more commonly taken into consideration for native and nationally protected species (DE, FI, HU, LT). One Member State reported there being a national list of the different administrative fines applicable for different levels of CITES offences, taking into consideration the market value of the specimens, the status of the offender, the number of specimens involved etc. (BE). Another Member State has enacted legislative provisions requiring the offender (i.e. the importer in case of unlawful importation of protected specimens) and/or the carrier to meet the costs of confiscation, custody and storage (DE).

Others noted that any penalties following conviction are ultimately at the discretion of the judge or magistrate subject to the maximum penalties allowed for under legislation (FR, IE, MT). One Member State reported having answered "Yes" to this question in the previous Biennial Report as its laws prescribe that penalties must take into account the gravity of the offence and the importance and extent of consequences thereof. However, penalties are often very low in practice and do not take into account the market and conservation value of the specimens (CZ).

C23 Training/awareness of enforcement authorities, prosecution services and judiciary (II d)

Twenty-three Member States reported carrying out training and/or awareness raising activities for enforcement agencies, prosecution services and/or the judiciary. 50% of these Member States provided details of various types of CITES training courses and seminars run for Customs personnel, police and environmental inspectors. One noted that a seminar aimed specifically at public prosecutors was run during this reporting period (SI) and another that a court training day for police and the crown prosecution service is organised once a year (UK). In 2009, the UK Magistrates Association updated its wildlife/environmental sentencing guidance document "Costing the Earth" (<http://www.magistrates-association.org.uk/Earth>).

C24 Regular checks on traders and holders (II g)

Twenty-two Member States performed regular checks on traders and holders such as pet shops, breeders, animal fairs, zoos, travelling exhibitions, botanical gardens and nurseries to ensure in-country enforcement. Internet sales were also monitored. In addition to regular targeted checks, authorities in one Member State focused on checks of reptile breeders specialising in tortoises (DE). Two Member States reported that checks are not carried out on a regular basis, due to a lack of enforcement capacity (CZ, MT).

C25 Risk and intelligence assessments used systematically (II h)

Seventeen Member States confirmed systematically using risk and intelligence assessments in order to be more targeted in their checks at border-crossing points, as well as in-country. Risk and intelligence analysis is most commonly used by Customs at borders, in particular for passenger and cargo shipment controls. One Member State has a special unit dealing only with risk assessments, the outcomes of which are then shared with relevant Customs officers (DE) and enforcement officers in another Member State are able to set profiles on a computerised entry clearance system, to automatically select or identify shipments being imported from third countries that are worthy of examination or require document validation (UK).

C26 Facilities/mechanisms for temporary/long-term housing of live seized specimens (II i)

Twenty-two Member States have facilities available for the temporary care of seized or confiscated live specimens and mechanisms in place for their long-term re-homing, where necessary. Information concerning the number or types of “certified” institutions or rescue centres prepared to care for live seized specimens provided by some Member States is shown in Table 5.

A number of Member States noted that although facilities for the temporary keeping of seized or confiscated live specimens are available, these are often insufficient and can only cater to certain animals in small quantities (ES, SE), and there are no official mechanisms in place for the long-term re-homing of these specimens (MT, PT). Another noted that so far, seized animals have been housed in zoological gardens if possible, but that the creation of a CITES rescue centre is a high priority (PL). Further information provided by Member States can also be found under C10.

C27 Co-operation with enforcement agencies in other Member States (III e)

Twenty-two Member States confirmed that their enforcement agencies co-operate with those in other Member States on investigations of offences. This takes place on a case-by-case basis and through active participation in meetings of the EU Enforcement Group (BE, DE). One Member State raised the problem of officially sharing enforcement-related information and that exchange of such information is very often prevented due to strict or different national rules and laws for protection of personal and sensitive data (CZ). Further information provided by Member States can also be found under C12-C15.

C28 Assistance with temporary care/long-term re-homing of live specimens (III j)

Six Member States reported providing other Member States with assistance with the temporary care and long-term re-homing of seized or confiscated live specimens. One Member State reported that its national zoos regularly received seized specimens from two other Member States (PT), and another that it will offer assistance when required and when contacted by overseas authorities (UK). One other Member State answering “No” to this question stated that if asked it would try its best to assist, depending on whether it has adequate facilities and expertise for the species concerned (FI).

C29 Liaison with source, transit and consumer countries (III k)

Twenty Member States indicated that they liaise with CITES MAs and law enforcement agencies in non-EU source, transit and consumer countries, as well as the CITES Secretariat, ICPO, Interpol and WCO, to help detect, deter and prevent illegal trade in wildlife through the exchange of information and

intelligence. Two Member States mentioned liaising with authorities in China in order to facilitate the identification of Traditional Chinese Medicines (TCMs) (FI) and to share good practices in CITES implementation (UK). See C12-C15 for more information on international co-operation such as the Interpol-led operations TRAM and RAMP.

C30 Advice and support provided to source, transit and consumer countries (III I)

Fourteen Member States provided advice and support to CITES MAs and law enforcement agencies in non-EU source, transit and consumer countries to facilitate legal and sustainable trade through the correct application of procedures. This is generally provided on a case by case basis, but also through workshops and exchange programmes with officials from other CITES Parties. One Member State collaborated with the Crocodile Specialist Group and the CITES Secretariat to provide guidance on ranching of *Crocodylus niloticus* in Madagascar and *Caiman yakare* in Bolivia (FR).

Table 5 Details of temporary or long-term care facilities for live seized specimens

AT	28 institutions or rescue centres are available for housing of specimens
BE	The Royal Zoological Society of Antwerp and the National Botanic Garden of Meise are officially recognized organisations for the housing of seized live animals and plants, respectively. If these are unable to house specimens, other designated centres include SHELL (NGO, for live amphibians and reptiles, especially turtles), Opglabeeek centre for rescue and rehabilitation (mainly live birds), the University of Liege Aquarium (for fish and corals) and various zoos.
BG	Five rescue centres are able to house specimens - three for animals (including Sofia Zoo), two for plants.
DE	Wildlife conservation administrations in at least two Federal States in Germany (Länder) have established facilities for the temporary keeping of confiscated live specimens (including quarantine), which are state-subsidised. In addition, a number of NGOs in Germany have established similar facilities and most zoological gardens will offer their support if live specimens are seized by government enforcement bodies. A public contract is signed between the keeping facility and responsible government authority.
EL	Three rescue centres have been certified for housing seized birds, small mammals, bears and wolves. For other specimens temporary care is assigned to other facilities after checks by the SA.
HU	The two main rescue centres are the Budapest Zoo and Botanical Garden and the Szeged Zoo near the Serbian border. Both facilities have approved quarantine stations, completely separated from the zoos. Other municipal zoos also function as rescue centres, if necessary.
LT	Care is dealt with on a case by case basis, however most animals are housed at Kaunas Zoo.
SI	Slovenia has established a rescue centre for confiscated live animals, and plants are generally housed at the University Botanic Gardens Ljubljana.
UK	The City of London Animal Reception Centre in Heathrow works closely with UKBA to provide expert identification assistance and temporary accommodation for seized CITES specimens. Kew Garden's quarantine house is available for plant seizures.

D Administrative measures

Management and Scientific Authority Staffing and Research (D1-D2)

D1.5-1.7 Management authority staff details

The number of staff working in EU Member State Management Authorities (MAs) range from one person to 365 people spending between 0.3 and 100% of their time on CITES issues. Further details are provided in Annex 3. MAs with a high number of staff (over 20) dedicating over 50% of their time to CITES are generally found in Member States responsible for issuing the majority of permits (DE, FR, IT, UK, see permitting and registration procedures, D5.2-D5.14).

MA staff predominantly exhibit skills and expertise in biology (staff in 25 Member States), administration (21) and law/policy (20). Only four Member States have MA staff members with expertise in economics/trade (CY, ES, IT, NL). Other skills/knowledge bases of MA staff include:

- Veterinary science (BE, DE, EL, ES, HU, SE)
- Environmental protection (CZ, PL)/ Nature and Wildlife Management (IT)
- Forestry or Forest Engineers (DE, EL, PT)
- Agriculture (ES, HU)
- Chemistry (ES)
- Geography (LV)
- Communication Science (PT)
- Natural Heritage, Ecology and Systematics (SI)

D2.3-2.7/2.11 Scientific authority staff details

All Member States have a Scientific Authority (SA) that is independent from the MA, apart from two (IE, LU). Most Member States have one type of SA based within a government or academic institution (14), or composed of a permanent committee (4) or pools of individuals with expertise that can be consulted when needed (6). Six Member States have more than one type of SA, within both government and academic institutions (3), or combining an institution with additional support from a pool of experts (3).

The number of staff working in Member State SAs ranged from one to 33 people spending between 1 and 100% of their time on CITES issues. Further details are provided in Annex 3. Ten Member States were unable to provide information on percentage time due to a number of reasons, including expert consultation needs being so variable (EL) or experts working on a voluntary basis (PL).

SA staff predominantly exhibit skills and expertise in zoology (staff in 26 Member States), botany (25) and ecology (24). Fewer Member States have SA expertise in fisheries (10), forestry (11) or welfare (9). Other skills/knowledge bases of SA staff include:

- Law/policy (AT)
- Geography (DE, SE)
- Veterinary Science (EL)
- Environmental Law (FR)
- Breeding programmes and animal health (NL, UK)
- Systematics and Taxonomy (SE, UK)
- Horticulture, wood taxonomy and DNA techniques (UK)
- Herpetology (EL), Ichthyology (EL), Entomology (MT)

The EU SAs (or in some cases members of the MAs) participated in an average of six out of the eight SRG meetings that ran in 2009 and 2010. Thirteen Member States attended all eight meetings, and only

three Member States were unable to attend any meetings (CY, LT and MT) due to a lack of financial and personnel resources.

D1.8-1.9/2.8-10, D7.11 Management and scientific authority research

MAs from eleven Member States and SAs from seven Member States have undertaken or supported research into CITES or non-CITES species in 2009-2010 and two have provided information for inclusion in the CITES Identification Manual – on *Bulbophyllum* species (AT) and the European Eel (SE). Some details of this research are provided in Table 6. No Member States have submitted project proposals for scientific research to the CITES Secretariat (*Res. Conf. 12.2*) during this period.

D1.11 Commission and CITES Secretariat informed of investigation outcomes

Most Member States provided either a negative or no answer to this question, with only six Member States reporting that the Commission and CITES Secretariat have been informed of the outcomes of any investigations that the Commission considered necessary be made. No additional details were provided by any Member States for this question, apart from the fact that it was “not relevant due to there not having been any such investigations”.

Communication, information management and exchange (D4)

D4.1/4.1b CITES/Regulation-related information computerised

All Member States have some of their CITES/Regulation-related information computerised. In addition to most Member States having the monitoring and reporting of data on legal (25) and illegal trade (22) and permit issuance (24) computerised, some have other information computerised, such as

- notes on requirements for permits linked to Customs tariffs for CITES-listed species (EL)
- registration and marking of CITES/Regulation-listed specimens and breeders (HU, SI, SK, SI)
- a database gathering information on permits and certificates issued (PL)

Fourteen Member States have their information on Annex D listed species (or other Regulation-relevant information) computerised.

D4.2 Access to the internet

MAs, SAs and enforcement authorities in 22 Member States have continuous and unrestricted access to the Internet. In the remaining Member States, some MAs and enforcement authorities have a dial-up connection only (EL, IE) or must access the internet through a different office (EL, SK). In one Member State, local police officers only have access to the Intranet service of the national Police (HU). The MA therefore requested that CITES-relevant information be published on the Intranet to facilitate access by all officers.

D4.3-4.5/4.9 Electronic information systems and websites

Twenty-one Member States reported having set up national electronic information systems (EIS) providing information on CITES species and 13 reported having one with information on Regulation-listed species. All but one (ES) are available through the internet.

Information on legislation was provided on all these EIS and 16 Member States also provide information on conservation. Ten provide information on other subjects such as

- animal protection (AT)
- trade statistics, permit application procedures, import of hunting trophies, personal effects, costs and labels for scientific exchanges (DE)
- species identification (EL, NL)
- supportive stocking programme for endangered species of sturgeons (RO)
- application forms for CITES documents and fees (SI) and
- tourist souvenirs (UK)

Table 6 Examples of research carried out/supported by MAs/SAs in 2009-2010

BE	<ul style="list-style-type: none"> • Research into closed rings for CITES birds, including a new ring type (“ring-mail”) embedded with an ISO microchip. • Identification methods for live vertebrates including the effectiveness of new small micro-chips for small or young specimens, in particular <i>Testudo hermanni</i>.
DE	<ul style="list-style-type: none"> • Determination of age and geographical origin of African Elephant ivory • Market survey on domestic use of manufactured products made of Ramin • Market survey on succulent <i>Euphorbia</i> species protected by CITES and used as cosmetic, food and medicine, with special focus on Candelilla wax • Assessment of <i>Bulnesia sarmientoi</i> (Palo Santo) exploited forest stands in the Province of Formosa, Argentina • Review of trade in Merbau (<i>Intsia</i> spp.) from major range states • Trade in and conservation of two shark species, Porbeagle (<i>Lamna nasus</i>) and Spiny Dogfish (<i>Squalus acanthias</i>).
FR	<ul style="list-style-type: none"> • <i>Arapaima gigas</i>, <i>Bos gaurus</i> and <i>Anguilla anguilla</i> - population trends, distribution and other information such as spawning areas (eels)
LV	<ul style="list-style-type: none"> • Supported development of species conservation plan for <i>Hirudo medicinalis</i> and revised species conservation plan for <i>Ursus arctos</i> in Latvia. • Investigation on European eel trade – internal and internet.
PL	<ul style="list-style-type: none"> • A number of projects on protection and monitoring of marine mammals, including porpoises • Polish-German project on the restoration of Baltic Sturgeon in Odra river • Conservation, national strategies and management plans for <i>Lynx lynx</i>, <i>Canis lupus</i> and <i>Ursus arctos</i> • Re-introduction of select native birds of prey (e.g. <i>Falco peregrinus</i>, <i>Falco tinnunculus</i>)
PT	<ul style="list-style-type: none"> • Masters thesis on CITES e-permitting • <i>Anguilla anguilla</i> – off take, legal and illegal trade • Invasive and Alien Species – populations, distribution and trade.
RO	<ul style="list-style-type: none"> • Sturgeons (<i>Acipenser stellatus</i>, <i>A. gueldenstaedti</i>, <i>A. ruthenus</i> and <i>Huso huso</i>) – populations distribution and recruitment from the wild (2000-2011) • <i>Ursus arctos</i>, <i>Canis lupus</i>, <i>Lynx lynx</i> and <i>Felis silvestris</i> – populations, distribution, off-take, trade, eco-ethology and Management Plans.
SE	<ul style="list-style-type: none"> • <i>Canis lupus</i>, <i>Lynx lynx</i>, <i>Ursus arctos</i> and <i>Lutra lutra</i> – reporting on distribution and health • <i>Phocoena phocoena</i> – population genetics, reporting on distribution • <i>Halichoerus grypus</i>, <i>Phoca vitulina</i> and <i>Phoca hispida</i> – population monitoring and genetics, health and contaminants • <i>Haliaeetus albicilla</i> – population monitoring • <i>Anguilla anguilla</i> – CITES ID guide, lectures on CITES and national system for registration of commercial dealers in eel. • <i>Thunnus thynnus</i> – Annex I to CITES proposal, analysis of productivity.
SI	<ul style="list-style-type: none"> • Monitoring of the <i>Lynx lynx</i> population in Slovenia using GPS telemetry • Analysis of the causal factors of brown bear habituation to humans using GPS telemetry • Two population monitoring/conservation projects for <i>Lutra lutra</i> • CITES listed animals - rescue centre for wild animals • <i>Bubo bubo</i>, <i>Otus scops</i>, <i>Strix uralensis</i>, <i>Gyps fulvus</i> and <i>Falco peregrinus</i> - monitoring of populations • Conservation and surveillance of status of wolf (<i>Canis lupus</i>) in Slovenia • Analysis of consumption of <i>Lithophaga lithophaga</i> for awareness raising campaign. • Monitoring of artificial breeding boxes for <i>Aegolius funereus</i> and <i>Strix uralensis</i> established on the Jelovica plateau • Analysis of distribution of <i>Cypripedium calceolus</i> in the Karavanken Mountains.
UK	<ul style="list-style-type: none"> • Specific validation of DNA results using blood and mouth swabs from some of the more common birds of prey and outline work on identifying the stable isotope research into tracking movements of animals. • Analysis of the potential applications of MEAs to commercially exploited aquatic organisms • Use of nanotech mini micro-chips for marking juvenile tortoises and other reptiles and amphibians • Trade in Georgian snowdrops (<i>Galanthus</i> and <i>Cyclamen</i>) – a roadmap to sustainability • CITES and Cacti, a user’s guide • CITES, timber and ramin (<i>Gonyostylus</i> spp.) • Development of forensic DNA techniques for the identification of ramin and rosewood timber

Of the six Member States not having national EIS in place, three noted that instead they use the UNEP-WCMC CITES Species and EU Wildlife Trade Databases (EE, FI, IE) and one that it had access to another national system (German) (LU).

All Member States have a government website with information on CITES and its requirements.

D4.6/4.7 – Access to publications

All EU Management, Scientific and Enforcement authorities have access to the 2003 Checklist of CITES species (book or CD Rom), Identification Manual and CITES Handbook with the following exceptions:

- 2003 Checklist of CITES species (book or CD-ROM) - Belgian EA, Bulgarian SA and EA, Slovakian EA
- Identification Manual - Belgian SA, Lithuanian SA and EA, Luxembourg authorities (all)
- CITES Handbook - Belgian SA and EA, Bulgarian SA and EA, Hungarian EA, Lithuanian SA and EA, Luxembourg authorities (all), Slovakian EA

No Member States reported any problems in accessing these publications. One noted that its enforcement authorities had access to a number of additional publications (BE), including:

- Identification guides produced by Environment Canada (birds, turtles, crocodiles, sturgeons and paddlefish, butterflies, hunting trophies, tropical timber) and by TRAFFIC (Seahorses and Chinese Medicine)
- A compendium of CITES-related legislation (international, EU and national), including practical information to facilitate understanding and national implementation of CITES
- Lists of animals covered by CITES (updated version, October 2010), and
- TRAFFIC 2009 report “Compilation of CITES caviar labels used in the European Union”

D4.8 Enforcement authorities reporting important information to the MAs

Twenty-six Member States reported their enforcement authorities having shared important information with the MAs. Nearly all had passed on details of significant seizures and confiscations (25), however fewer Member States reported sharing information on permit discrepancies (16) and mortality in transport (14).

Answers provided to this question were somewhat ambiguous, and some Member States stated their authorities had reported on mortality in transport, however then noted that there had been no deaths during this reporting period (BE, FI, PL). Other Member States stated they had not reported on the issue for the same reason (there was no mortality in transport, LV), that they would have reported on this subject if there had been any incidents (MT), or that they do not regularly report on this topic (PT).

Additional details provided concerning reporting by enforcement authorities included one Member State having a computer database logging all import and (re-) export permits and any mortality in transport (BE), one only reporting mortality in transport during import/export and CITES permit checks by Customs (CZ) and another being unable to provide figures for levels of mortality or discrepancy between permits and items actually in trade due to a lack of “physical” checks of shipments (SE).

D4.10 Public awareness activities

During 2009 and 2010, CITES authorities from all Member States except one (BG) have been involved in public awareness activities to bring about better accessibility to and understanding of CITES requirements. The most common methods used for raising public awareness were press releases or conferences, newspaper articles or radio/television appearances, brochures or leaflets and presentations (22 or 23 Member States using some or all of these). Nineteen Member States provided information at border crossing points, 16 organised displays and seven ran a telephone hotline. In addition, four

Member States reported having created, updated or restructured their websites to facilitate awareness raising (CY, EL, FI, SK).

A number of Member States provided examples and details of these activities and some of the different methods/topics covered are summarised in Table 7.

Table 7 Examples of public awareness activities

DE	<ul style="list-style-type: none"> - Press releases including one on the return of five young Loggerhead Sea Turtles to the Seychelles for release into the wild, hatched from eggs confiscated at Frankfurt airport by sniffer dogs; - Press conference and presentation of sniffer dogs at the airport in preparation for the summer holiday season; - Agreement with a tour operator to show conservation “film spots” on aircrafts
FI	Several press releases focusing on permissions and requirements surrounding hunting trophies
HU	Permanent CITES exhibition opened in Szegeed Zoo, which also serves as a CITES rescue centre
NL	<ul style="list-style-type: none"> - Large number of leaflets and newsletters published which improved the service level of the CITES permit section and led to a higher level of ‘customer satisfaction’ amongst CITES applicants; - MA visits to several trade organisations (e.g. flower bulb traders, birding associations, turtle association) to discuss questions and problems regarding CITES
PL	Information campaigns, workshops, brochures, posters and exhibitions organised/compiled by NGOs such as WWF Poland and the Polish Society for Nature Conservation “Salamandra”
SI	Lectures, temporary exhibitions, media interviews and various other public awareness events organised for Slovenia’s ten year anniversary of CITES implementation
UK	<ul style="list-style-type: none"> - Press releases on CITES related prosecutions, Operations RAMP and TRAM; - BBC television appearances and presentations to the public by wildlife crime officers; - “Communications Strategy” stakeholder group established (Defra/UKBA/AHVLA and conservation NGOs) with the aim of taking a co-ordinated approach to national CITES communications

Permitting and registration procedures (D5.2-D5.14)

D5.2 Written permit procedures

The majority of Member States have developed written procedures for permit issuance/acceptance (22), registration of traders (17) and the registration of producers (15). Only three Member States have not developed procedures for any of these (IE, LU and SK).

D5.3 CITES documents issued and refused

The total number of permits issued and applications refused across the EU in 2009 and 2010 were 580,671 and 1,503 respectively. Full details are shown in Annex 6.

The highest number of permits issued during this period were for import/introduction from the sea (249,110), followed by re-export (210,676), and “Other” (102,731) (see Figure 1). “Other” permits were mostly EU certificates, but also included import notifications, personal ownership certificates, sample collection permits and travelling exhibition certificates. 18,154 export permits were issued over this period, making up only 3% of the total number of permits issued.

Member States issuing the highest number of permits are shown in Figure 2. The UK, France, Italy and Germany were together responsible for issuing nearly 90% of all permits in total. These four Member States issued the most import and re-export permits, however a few other Member States were amongst the top countries for issuing export permits (ES, NL) or “other” permits (AT, BE, PT).

Figure 1 Permits issued by all EU Member States in 2009 and 2010, by type

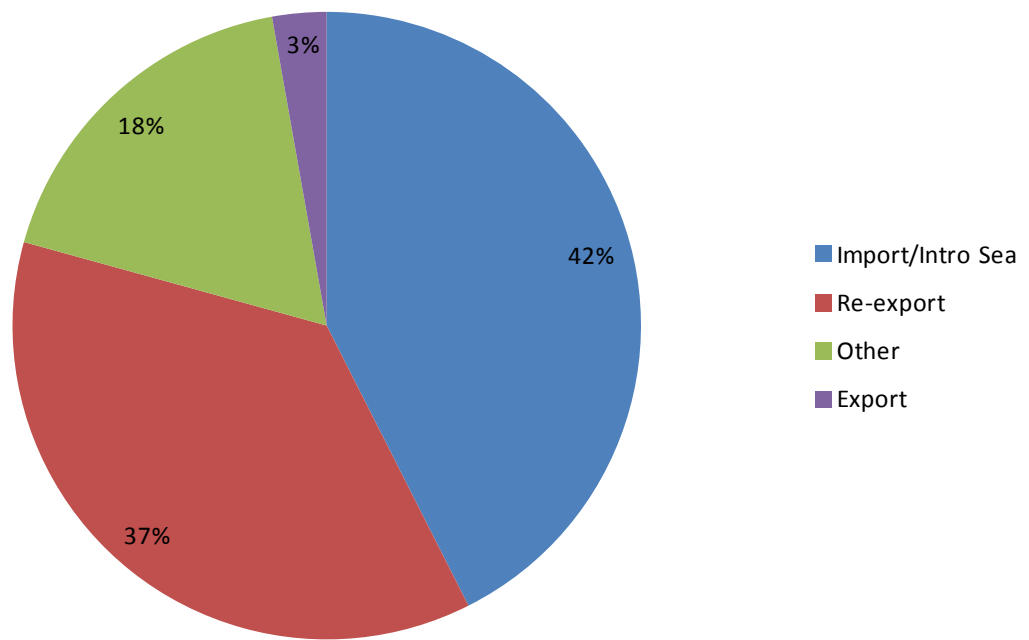
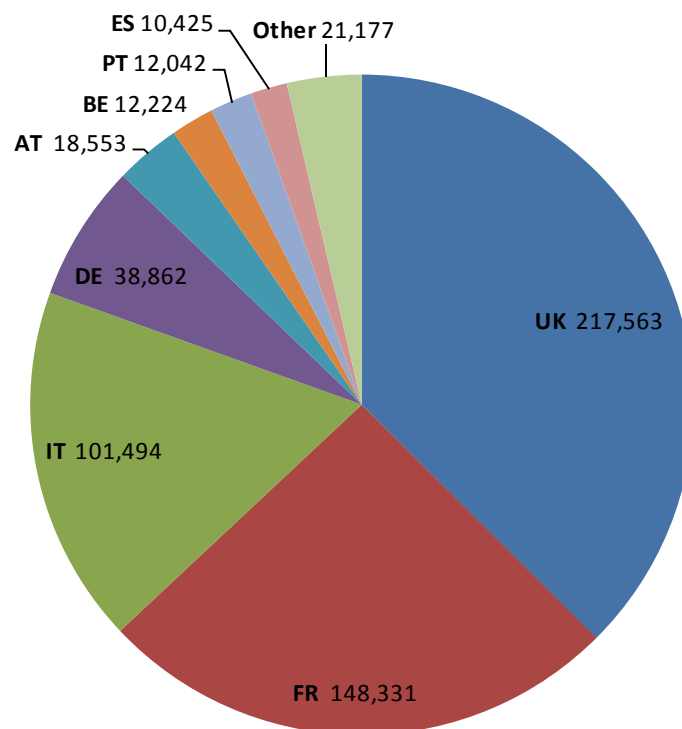
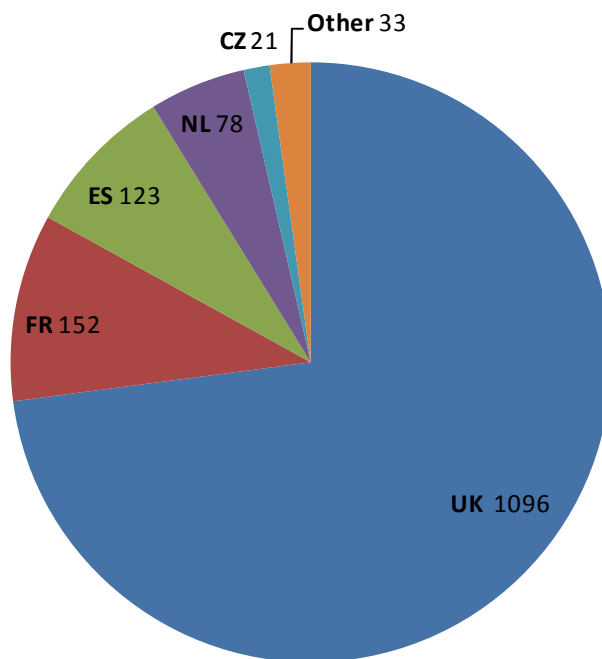


Figure 2 Total number of permits issued by EU Member States in 2009 and 2010 (import/introduction from the sea, export, re-export and other permits combined)



Permit applications refused by Member States in 2009-2010 are shown in Figure 3. The UK, France and Spain refused the most applications (over 90% of the total), however, in proportion to the total number of permits issued, Lithuania, Bulgaria, the Czech Republic and the Netherlands also refused a significant number of applications. Overall, refused applications represented approximately 0.25% of permits issued. Applications for “Other” and Import/Introduction to the Sea permits were those most commonly refused, together making up 90% of all denied permits.

Figure 3 Total number of applications refused by EU Member States in 2009 and 2010 (import, export, re-export and other permits combined)



D5.4/5.5 Cancelled or replaced CITES documents

Seven Member States reported having cancelled and replaced CITES documents due to severe omissions or mis-information. The reasons behind this included new advice received from SAs or the lack of necessity for issuance of such documentation (BE), in order to restrict the purpose of specimens to scientific, breeding, research or educational when an import was mistakenly allowed for commercial purposes (CZ), inadvertent mistakes or omissions (EL, ES, IT, NL), to replace permits lost during a trip (IT), or permits being declared invalid due to false declarations (UK).

D5.6 Reasons for rejection of CITES documents from other countries

Twenty Member States reported rejecting CITES documents from other countries during this period. Technical violations and insufficient information for a non-detriment finding were the principal reasons for this (13 Member States). Suspected fraud was the next most common reason for rejection (10) followed by insufficient information for determining legal acquisition (8). Other reasons reported by Member States included rejection due to use of incorrect nomenclature or the species not being present in the named country of origin (BE), permits accompanying specimens with inadequate or no marking (ES), discrepancies/inaccuracies related to harvest quotas (ES), the suspension of imports into the EU (FR, EL), expired export permits (ES, FI) and administrative errors (ES, NL).

D5.7 Use of harvest/export quotas as management tool for issuing permits

Fifteen Member States reported using harvest/export quotas as a management tool in the procedure of issuance of permits. A number of these stated that they do not normally export native wild-taken specimens, but always verify quotas set by exporting countries when issuing import permits (AT, EL, FI, FR, IE). However, a number of Member States answered the question negatively for the same reason (DE, CZ, PL). Three Member States use harvest/hunting quotas for determining export quotas for species such as Brown Bear, Wolf or Lynx (FI, SI) or European Eel (FR). One Member State noted that it only uses quotas for export of caviar harvested from the wild, but that during this period no quota was published (BG).

D5.8 Scientific Authority requested to provide opinions

Less than 50% of Member States provided actual numbers in answer to this question. For those that did, the number of times that the SA was requested to provide an opinion ranged from a couple of times (BG), to once a month (BE, EL, LV), to over one hundred (ES, NL, PL, SI), to one thousand times (FR) during the two year period. Others provided percentages of 40 or 80% (DE, SE), or stated that the authority was consulted every time/whenever needed (AT, CZ, IE, IT, SK), frequently (EE), or occasionally (HU). A number of Member States described the different procedures followed for assessing whether internal trade, exports and imports should be permitted, including the decisions made by the SRG (AT, DE, HU, IE, IT, SI).

D5.9/5.9b/5.11 Fees for CITES/Regulation-related matters, and use of revenue

Twenty-two Member States charge fees for either CITES or Regulation-related matters. The majority of these charge for issuance of CITES documents (21), with fewer Member States charging for other services such as

- licensing or registration of operations that produce CITES species (8)
- harvesting (2), use (3) or importing (5) of CITES-listed species
- official labels for caviar (1)
- “non-CITES” statements (2), and
- internal EU trade documents such as EC certificates (7)

Member States reported charging fees for EC certificates either under question D5.9 as “other” or under D5.9b as a Regulation-related matter.

Of those Member States charging for at least one of the services described, three reported that such fees are used entirely for the implementation of CITES or conservation (EE, NL, UK) and eight that the fees are partly used for this purpose. Eleven Member States reported that revenues are not used at all for implementation of CITES. However, some of these specifically noted that these fees help to cover the administrative costs of the permitting authority (ES, FI, SE), the same reason that other Member States reported “entire” or “partial” use of the fees for CITES implementation purposes (HU, UK). Revenues have allowed the recruitment of additional CITES staff in one Member State (BE) and are used to support running costs of designated CITES Rescue Centres in another (BG).

D5.13 Percentage of issued permits returned

Twenty-two Member States were able to provide an indication of the percentage of permits/certificates that were returned to the MA after endorsement by Customs, ranging from 50% (IT, LU) to 100% (DE, MT). However, the majority of Member States (16) reported return percentages between 80 and 95%.

D5.14 Places of introduction and export

All Member States reported having compiled a list of places of introduction and export in accordance with Article 12 of *Council Regulation 338/97*. A table of all designated places in the EU is regularly updated and provided on the EU CITES website.

Additional permit and registration procedures (D5.15-D5.20)

Questions D5.15 to D5.20 ask Member States to provide information on the registration of persons or bodies and scientific institutions, the approval of breeders, the licensing of caviar (re-)packaging plants and use of phytosanitary certificates or retrospective issuance of permits, according to various articles in *EC Regulation No. 865/2006*. Due to the nature of the questions, Member States either provided all relevant information or only new information applicable to this reporting period. Further details provided with each question are therefore summarised in order to complement the yes/no answers presented in the summary table, in an attempt to provide a better overview of the situation in respect to the implementation of these articles within the EU.

D5.15 Registration of persons or bodies (Art. 18/19)

Seven Member States reported having registered companies under the provisions of Article 18 or 19. Five provided details of companies registered under Article 19 which included those (re-)exporting reptile leather items (BE, FR), snake venom from *Daboia russeli* and hair brushes made of *Mustela sibirica* (DE) and candelilla wax (FR, NL, now exempt). One Member State provided details of all persons/bodies having been registered both during this reporting period and prior to this, the majority being for leather goods, but also some for caviar and *Tridacna gigas* fossils (FR). This same Member State was the only one to report having registered a body under Article 18, namely one dealing with research on marine mammals and turtles.

D5.16 Registration of scientific institutions (Art. 60)

Five Member States reported having registered scientific institutions in accordance with Article 60. One Member State provided details of all registered scientific institutions (AT) and another stated that approximately 250 institutions are issued with certificates under Article 60 (UK). Another four referred to institutions registered according to Art. 7 (4) of *Council Regulation 338/97* and Article 52 of *Commission Regulation 865/2006* (BE, CZ, DE, FR) and that details of these can be found on the CITES website. Finally, one Member State specified that it does not use Article 60 for allowing certain “scientific institutions” to exchange or transfer Annex A specimens for commercial purposes, but that it may be used for the (commercial) display of Annex A specimens in zoos (DE).

D5.17 Approval of breeders (Art. 63)

Only two Member States reported having approved breeders in accordance with Article 63 (IT, UK).

D5.18 Licensing of caviar (re-)packaging (Art. 66 (7))

Fifteen Member States reported having licensed caviar (re-)packaging plants in accordance with Article 66 (7). Six Member States provided details of these plants (BG, EL, IT, PL, RO, UK), others referred to the information published on the CITES website (AT, BE, DE, NL) or listed the number of plants licensed (ES, HU, LU).

D5.19 Use of phytosanitary certificates (Art.17)

Nine Member States reported issuing phytosanitary certificates instead of CITES permits for the export of artificially propagated plants destined for third countries that accept these documents in accordance with Article 17. Details of the authorities authorised to issue these types of certificates were provided by a number of Member States (AT, BE, CZ, DE, IT). One Member State specified that it accepts phytosanitary certificates issued by third countries for species listed in Annexes B and C and for artificially propagated hybrids produced from the un-annotated species listed in Annex A, but does not issue them instead of an export permit in their own country (SI).

D5.20 Retrospective issuing of (re-) exports permits/certificates

Eight Member States reported having issued (re-)export permits retrospectively in accordance with Article 15. However, all these Member States noted that this was done in only a few exceptional cases, such as for pre-Convention specimens (DE), permits lost in transit or with errors that were not the fault of the trader (ES), for personal items and pets (FR) or when an import application was sent to a Courier service and this was not forwarded to the CITES office for processing (MT).

Capacity building (D6)

D6.1 Activities to enhance effectiveness

Twenty-four Member States reported having carried out certain activities to enhance the effectiveness of CITES implementation at the national level, in particular the improvement of national networks (16

Member States), computerisation (13) and development of implementation tools (11). Seven Member States purchased technical equipment for monitoring/enforcement, four hired more staff and three had access to an increased budget for their activities. Other specific activities included MA and SA staff providing lectures in advanced CITES training seminars for Customs officers already specialised in CITES issues (DE), training, and distributing leaflets and posters to enforcement authorities (EL, HU), hiring of a scientific adviser for co-ordinating the activities of the scientific committee and enhancing its efficiency, financing EU-TWIX and revising the national CITES database (BE).

D6.2 Recipients of capacity building

Twenty-one Member States received capacity building from external sources during 2009-2010. This was mostly received by MA, SA and enforcement authority staff in the form of oral or written advice/guidance and/or training. In six Member States, traders and/or the public also received capacity building, mostly in the form of oral or written advice/guidance. Only three Member States reported receiving technical assistance from external sources (MT, NL, UK).

External sources providing this capacity building included the European Commission, CITES Secretariat, UNEP-WCMC, EU-TWIX, MAs, SAs and enforcement authorities from other countries, traders, museums, zoos, universities, TRAFFIC, WWF and other NGOs.

D6.3 Providers of capacity building

National authorities in all Member States provided some form of capacity building for others in this reporting period. All provided oral or written guidance to authority staff, traders, NGOs, the public and/or other parties and 20 Member States provided training, mostly to their authorities, but also to traders, NGOs, the public and at international meetings. One Member State has an on-going CITES-related training programme for judges (FR) and another runs a Masters programme dedicated to the Management, Conservation and Control of Species in International Trade (ES). Further information on capacity building can be found under technical and financial assistance (D7.9/7.10) and public awareness activities (D4.10).

Collaboration/co-operative initiatives (D7)

D7.1-D7.3 Inter-agency committee or other meetings

Eleven Member States have established an inter-agency committee in CITES and details of these are provided in Table 8 (also see question D3.6). To ensure co-ordination amongst CITES authorities, the MAs of most other Member States hold meetings once or several times a year and consultations on a weekly basis. A few hold meetings or consultations on a case by case basis only, when required (BG, CY, EL).

Table 8 Information on national inter-agency committees within the EU

	Inter-agency committees - details/agencies represented	Frequency of meetings
AT	Informal task force group - members of Animal and Plant Committee, Enforcement Authority and Veterinary/Phytosanitary Agency	Once a year
DE	Advisory committee on "Conservation of Species in International Trade", set up at the Federal Agency for Nature Conservation (FANC) in May 1995. 14 representatives drawn from the scientific community, nature conservation organisations, industry, trade and/or consumer associations	4 year "working period", 3rd working period ended in 2007. 4th working period not set.
CZ	Enforcement working group composed of Customs and the Environmental Inspectorate, plus half-day joint "CITES meetings" of the Ministry of the Environment (MA), the Agency for Nature Conservation and Landscape Protection (SA), the Czech Environmental Inspectorate and the General Directorate of Customs	~Six per year

	Inter-agency committees - details/agencies represented cont.	Frequency of meetings
HU	Committee composed of representatives from MA, environmental inspectorates, police, Customs, veterinary authority and TRAFFIC	Twice a year
MT	National Enforcement Committee composed of from Veterinary Services, Customs, and the Management Authority	Once a year, or more if urgent cases
NL	Working group composed of staff from the CITES MA (policy section, permit section, administrative law enforcement and scientific authority), Legal office of the Ministry of Economic affairs, Agriculture and Innovation, Office of the Public Prosecutor, Police, Customs Service and Food and Consumer Product Safety Authority (General Inspection Service, Plant Health Service and Veterinary Import Inspection).	Six per year
PL	CITES Working Group consists of representatives of the MA, SA, Ministry of Finance, Customs, Police, Veterinary Inspection, NGOs (WWF Poland, "Salamandra", Polish Society for the Protection of Animals (TOZ)) and Zoological Gardens. Closer co-operation with the representatives from judiciary and prosecutors has been initiated	Once or twice a year
PT	Portuguese CITES Enforcement Group is made up of staff from the MA, Customs, Police, Prosecutor Department and Veterinary Department.	Twice a year
SI	Inter-sectoral Committee for the Prevention of Illegal Wildlife Trade consists of permanent members from the Criminal Police Directorate, General Customs Directorate, Inspectorate of the Republic of Slovenia for the Environment and Spatial Planning, Environmental Agency of the Republic of Slovenia and Ministry of the Environment and Spatial Planning. Duties include - collect data and exchange information on illegal activities related to trade in endangered species, prepare administrative and other measures, organise joint actions aimed at the detection of illegal activities and offer technical assistance in investigations.	Since 2002, twice a year
SK	Composed of staff from the Police, MA, Inspection, Customs, General Public Prosecutor's Office, Veterinary Authority, Slovak Information Service and Tax Directorate	Once a year
UK	Several different groups/committees, including: <ul style="list-style-type: none"> • CITES Officers Group (COG) made up of the UK CITES MA, Police, Customs and SAs • Partnership for Action Against Wildlife Crime (PAW) oversees wildlife law enforcement in the UK (including CITES), consists of Government departments, enforcement officials and over 100 NGOs • Wildlife Law Enforcement Working Group (WLEWG) chaired by JNCC, made up of statutory and non statutory nature conservation agencies and enforcement authorities combating wildlife crime. Sets conservation priorities, including CITES, for law enforcement in the UK. • CITES Joint Liaison Group (JLG) made up of conservation NGO's, traders, UK Scientific Authorities, UKBA and the CITES MA. • Tasking and Co-ordination Group (TCG) includes statutory enforcement agencies, Police, Customs and Govt Departments. Sets biennial UK wildlife crime priorities and ensures progress is made in tackling them 	Three times a year Once a year, and inter-sessionally Three times a year Twice a year

D7.4 Efforts to collaborate with other agencies

Twenty-five Member States reported making an effort to collaborate on a national level with other agencies, authorities or persons in 2009-2010, predominantly provincial, state or territorial authorities (19 Member States), trade or other private sector associations (20) and NGOs (21). Examples of those being collaborated with are presented in Table 9.

Table 9 Examples of the agencies/authorities/persons being collaborated with

Agencies for development / trade	Department for International Development (DfID) – as part of the overseas territories bio-diversity group	UK
	Chamber of Commerce	EL
Provincial, state or territorial authorities	Regional authorities competent for nature conservation (Habitat / Birds Directives)	BE
	Executive Agency of Fishery and Aquaculture	BG
	State Agency of Medicines, Veterinary and Food Board	EE
	Directorate of Veterinary Services	EL
	Environmental prosecutors, phytosanitary and veterinary inspection and permitting authorities, national and regional environment and hunting authorities	FI
	Inspectorates, Customs and police authorities	HU
	Combined inspections organised with provincial and local police agencies	NL
	Co-operation with regional authorities for registration of CITES-listed animals, and with Customs, Police and Prosecutors for investigations	PL
	State Veterinary and Food Offices, District Environmental Offices	SK
Trade or other private sector associations	Andibel and Anizoo (live animals), Timber federation, Fur federation, Falconers Club, Associations of birds breeders, Turtle breeders	BE
	Principal pet shop chain and (CITES) pet importers	FI
	DHL Slovakia, Travel Agencies	SK
	Sustainable Users Network	UK
NGOs	TRAFFIC, WWF, IUCN, FACE (Hunters)	BE
	Promotion Association of small animals of Macedonia and Thrace, WWF Greece citizens legal support group, Ornithologiki, Erpetologiki (ELEPRE)	EL
	NGOs consulted before CITES COP meetings	FI
	TRAFFIC Central and Eastern European Office, WWF Hungary, BirdLife Hungary, REX Foundation	HU
	Joint NGO Liaison Group	UK
Other	Agency for the Security of Food Chains (AFSCA)	BE
	Universities	UK

D7.5 Memoranda of Understanding

Eighteen Member States reported that Memoranda of Understanding (MoU) or other formal arrangements for institutional co-operation related to CITES have been agreed between the MA and other national agencies, mostly commonly with Customs (13 Member States), the SAs (10), other government agencies (7) and the police (6). Other Member States reported having formal agreements set up with other border authorities such as Veterinary and Phytosanitary Departments (BE, BG, CZ), with NGOs such as WWF (IT), with private sector bodies for the labelling of crocodile skins (FR), or with “others” such as the prosecutors department (PT). Furthermore, a number of new agreements are in preparation (CZ, FR).

One Member State noted that in 2010, the CITES authorities started compiling a document “Rules for co-operation between National Customs Agency, Food Safety Agency and the Ministry of Environment and Water on increasing effectively of control over the export, trade, transit and export of endangered species of wild fauna and flora” which provides guidelines for co-operation on the

implementation of CITES and relevant EU legislation (BG). In another Member State a new SLA (Service Level Agreement) was signed with the Food and Environmental Research Agency (FERA) and AHVLA to carry out forensic research into plants and animals DNA in 2010 (UK). A MoU on “information sharing” with the CITES Secretariat was also signed (<http://www.cites.org/common/disc/sec/CITES-UK.pdf>).

D7.6 Regional CITES activities

Twenty-four Member States participated in regional activities such as workshops, meetings, seminars and study visits. In addition to EU meetings such as the Management Committee, Scientific Review Group and Enforcement Group, other regional activities included meetings with Nordic countries (FI), a CITES workshop on “Developing Regional Collaboration for the Management, Scientific and Enforcement Authorities of South East Europe” held in Croatia (SI), and an International Workshop on Mediterranean Red Coral held in October 2009 in Italy (DE). See also C12-C15 for more enforcement-related regional activities.

D7.7/7.8 Encouraging a non-Party to join CITES

Three Member States reported having encouraged a non-Party to accede to the Convention during this reporting period. This was carried out through a CITES Workshop for Portuguese Speaking Countries (including two non-Parties East Timor and Angola) in September 2010 with the CITES Secretariat (PT) and by sharing information on the requirements for implementing CITES during visits by authorities from Tajikistan (DE). In the latter case, advantages of accession to CITES were discussed, in particular with regard to international trade in highly prized hunting trophies derived from CITES protected ungulates such as Argali (*Ovis ammon*), Urial (*Ovis vignei*), Markhor (*Capra falconeri*) originating from Tajikistan.

D7.9/7.10 Technical or financial assistance

Nine Member States reported having provided technical or financial assistance to another country in relation to CITES. Some Member States provided extensive details under this section, in addition to information on further technical and financial assistance provided under related questions such as D6.1-6.3 and C13.

One Member State provided technical assistance across various countries in Europe, Asia and Africa through organising, presenting and lecturing at workshops on CITES implementation and/or illegal trade, sharing of CITES expertise through study visits, running enforcement training and species identification workshops, designing CITES training materials, and the development of an online database providing details of EU-level decisions (DE). Technical assistance from other Member States included capacity building in Zambia (FI), participation in a CITES related seminar in Georgia (LV), enforcement training in Croatia (NL), China and Morocco (UK), and chairing and participating in CITES working groups and workshops on E-Commerce, Report Writing and E-Permitting (UK).

Financial assistance included providing funds for Interpol’s “Operational Assistance, Services and Infrastructure Support” (OASIS) Africa programme and enhancing implementation and enforcement of wildlife legislation in Gabon (DE); the participation of developing countries in international CITES meetings (FI); project GAPIN (Great Apes and Integrity) run by WCO in Africa (SE); a CITES officer exchange as part of the UK/China sustainable development dialogue (UK); and field missions to inspect domestic ivory markets in Central Africa, an ETIS workshop in Cameroon, an EU-TWIX seminar in Paris and a training workshop in Madagascar to develop a control system for the management of crocodiles (FR).

D7.13/7.14 Measures to achieve co-ordination and reduce duplication between CITES and other MEAs

Thirteen Member States reported having taken some kind of measures to ensure co-ordination between MEAs. These measures included all biodiversity-related Conventions being administered by the same governmental department (CZ, BG, HU, PL, PT, UK), and in some cases the same person being responsible for CITES and other MEAs (AT, FI). Co-ordination is also achieved through the use of focal points (MT, SI), close collaboration between staff (DK, NL) or meetings specifically aimed at co-ordinating international policy work at a national level (BE).

Areas for future work (D8)

For 2009-2010, the main priorities to enhance the effectiveness of CITES at the national level for all Member States were increased budget for activities, hiring of more staff and improvement of national networks.

Some EU Member States provided details on specific national priorities such as the creation of a permit database (FI), improved management of seized live specimens, often complicated by their uncertain health status (FR), establishing a Permanent National CITES SA Committee (RO) and improvements to the computerisation of the licensing service (UK).

A number of Member States provided details concerning certain difficulties they have faced when implementing specific CITES Resolutions/Decisions or EC suspensions/negative opinions, namely:

- Personal effects derogation (FR, UK, SE)
- Derogations for plants (ES, HU) and hunting trophies (SE)
- Inconsistent interpretation of source codes by exporting Parties (UK)
- Inconsistent interpretation of the CITES and EU Wildlife Trade Regulations regarding the definition of artificially propagated (UK)
- Time between the immediate decision made by the SRG and its official publication often being too long (FR)

A number of constraints to national implementation of CITES or the Regulations requiring attention or assistance were also reported, namely:

- Identification of certain species, including timber (CY, ES, UK)
- Shortage of resources and/or personnel, in the MA/SA (IE), for enforcement (MT) or in some overseas territories (UK)
- Controlling the movement and determine the legality of captive-bred and Annex B specimens (ES, HU, PL, SK)

Finally, in addition to dealing with some of the issues highlighted above, Member States recommended that the following would help to facilitate implementation of CITES:

- reduced administrative burden for trade in small crocodylian leather goods, which represent tens of thousands of CITES permits each year (FR)
- clear guidance on the definition of worked specimens and annotations to ensure consistent application across Parties (UK)
- improved marking of live reptiles, photo-documentation, micro-chips or DNA-analysis (AT)
- revised procedures for international trade of medical samples (BE)
- exemption of small amounts of dead stony corals from CITES (DK)
- creation of a confidential database gathering examples of permits and certificates being used by the Parties (PL)

DISCUSSION AND CONCLUSIONS

This analysis aims to provide an overview of the implementation and enforcement of the EU Wildlife Trade Regulations across the EU and in individual Member States in 2009 and 2010. Based on information provided by all 27 Member States, the EU as a whole has the necessary legislative and regulatory structures and procedures in place to ensure compliance with these Regulations, and demonstrates considerable efforts in communication, capacity-building, research and collaboration within enforcement and administration. A number of specific issues which highlight strengths, successes, examples of good practice or the possibility for improvement, in particular those related to the EU Enforcement Action Plan (EU EAP), have been selected for further discussion.

Legislation and penalties

Domestic legislation is continually being improved and updated to ensure adequate implementation of the EU Regulations at the national level. Fifty percent of Member States reported having updated legislation during this period, in several cases taking into consideration results of national or EU-wide reviews of specific components of their legislation. 90% have stricter domestic measures in place, in particular for native or nationally protected species and for the marking of specimens.

Recommendation IIIg of the EU EAP emphasises the need for the exchange of information on penalties for wildlife trade offences to ensure consistency in application – the information provided in Biennial Report analyses and compilations will help towards this goal. According to 2009-2010 reports, sanctions in a number of Member States have been strengthened considerably over recent years and the courts in 25% of Member States are now able to sentence offenders to five years or more in prison for a CITES or Regulation-related crime. There is flexibility in applying the designated maximum penalties in some Member States, allowing for higher sentencing if the offence is deemed very serious or if it was carried out as part of an organised crime group. Also, in a number of countries, punishment includes confiscation of specimens and bans on trading in the relevant species for a number of years.

There are no examples of maximum sentences having been imposed during this period, with the highest prison sentence for 2009-2010 being two and a half years in the UK, where the maximum is seven years for such offences. This sentence was later reduced to 18 months by the appeal court judge who considered this “excessive” for the crime (attempted smuggling of bird eggs). There are examples, however, of judges making use of higher maximum limits introduced through updated legislation. For example in 2010 a pet shop owner was sentenced to 18 months in Belgium for being involved in illegal bird trade - this would not have been possible under previous legislation when the maximum sentence was only six months.

Maximum fines across the EU vary considerably more than sentences, ranging from less than EUR 300 to over EUR 750,000, and take into consideration private and legal persons and the acts/legislation under which an offence is punishable. During this reporting period there were several cases where private and legal persons in a number of Member States were fined over EUR 30,000 for committing a CITES-related offence. These included two cases where businesses were fined considerably more (EUR 120,000 and EUR 305,000) than the maximum fine allowed under national law (EUR 50,000) due to the “absorption of the economic benefit” gained by infringements, which allowed the maximum fine to be exceeded. There were also several examples of the maximum possible penalty being imposed on private persons, however this tended to be in Member States where the maximum fine was comparatively low (less than EUR 1000).

Recommendation IIc of the EU EAP states that Member States should ensure that penalties for infringements of *Regulation (EC) No 338/97* act as a deterrent against wildlife trade crime, are consistent as to their application, and take into account the market and conservation value of the specimens involved in the offence and the costs incurred. Despite best efforts in many Member States in particular for native and nationally protected species, there are still concerns that maximum penalties allowed for

under legislation, combined with the fact that convictions are ultimately at the discretion of judges or magistrates who are not familiar with CITES matters, do not reflect the true impact these offences have on the species concerned.

As noted in Recommendation II d of the EU EAP, training is essential to ensure the success of Recommendation II c. A number of CITES training courses and seminars are run for Customs personnel, police and environmental inspectors in most Member States. However, only three Member States reported having organised training for prosecutors and/or judges during 2009-2010. Another three highlighted developing closer co-operation with prosecutors and the judiciary through signing MoUs or representation in interagency committees. Development of training programmes and tools for prosecution services and judiciary, combined with working towards greater uniformity in penalties applicable for CITES-related offences across the EU, would considerably help to act as a deterrent for wildlife criminals across the EU. Tools such as lists of fines applicable for different levels of CITES offences and guidance documents for wildlife sentencing already developed in a number of Member States could help facilitate this process, as could further collaboration with organisations such as the EU Forum of Judges for the Environment.

Compliance and enforcement

The EU EAP provides recommendations for actions to strengthen and co-ordinate enforcement at both the national and EU level, and also engaging with third countries. Biennial Reports include a number of questions linked directly or indirectly to the implementation of EU EAP recommendations, including the setting of enforcement priorities, regular checks of traders and holders, housing and disposal of specimens, training and co-operation.

Recommendation II a of the EU EAP encourages Member States to adopt national action plans for co-ordinating and prioritising enforcement activities. Although less than 30% of Member States reported currently have a national action plan in place, many of the others reported either making plans to prepare one, or using other mechanisms for defining enforcement objectives, such as regular committee meetings.

Over 50% of Member States have enforcement committees or specialised units in place that focus on co-ordinating and setting priorities for enforcement (Recommendation III a). Nearly all have environmental/CITES focal points within each relevant enforcement authority which are essential for co-ordination (Recommendation III c). A number of priorities selected by individual Member States are likely to be applicable on a wider EU level, such as increasing enforcement focus at major ports, ensuring strong in-country enforcement through regular checks of pet shops, breeders and other facilities and investigating wildlife trade on the internet. Taxa-specific priorities including timber and tortoises were also set and assessed during 2009-2010.

Nearly 75% of Member States reported having the necessary specialist equipment, expertise and resources for enforcement as guided by Recommendation II b of the EU EAP and risk and intelligence assessments are used systematically across most of the EU, in particular by Customs at borders for passenger and cargo shipment controls (Recommendation III h). However, in some cases the lack of resources in certain enforcement sectors such as inspectorates, is limiting in-country enforcement and checks within the EU (Recommendation II g). Enforcement authorities across the EU share important information with their MAs, in particular on significant seizures and confiscations. Sharing of information on permit discrepancies and mortality in transport is in some cases, however, restricted by the lack of physical checks made on shipments, again due to lack of capacity. Some Member States have tools to facilitate the logging of these details, such as through a central database. Improved access to comprehensive DNA analysis would also help enforcement procedures in a number of Member States. The need for an EU database on wildlife forensic testing laboratories was identified by the EU Enforcement Group at its meetings in 2010 and 2011.

Although facilities for the temporary keeping of seized or confiscated live specimens are available and regularly monitored in most Member States (most commonly zoos and rescue centres), there are limits on the size, types and number of specimens that can be housed. Several Member States have specific “certified” locations for housing specimens, however official mechanisms for the long-term re-homing of specimens is lacking in other countries (Recommendation IIIi). Only six Member States are able to assist others with care and re-homing if needed (Recommendation IIIj), specimens are rarely returned to country of export due to health implications, and the creation of a CITES rescue centre was reported as being a high priority in one Member State. The lack of resources to hold and care for large quantities of seized live animals and the consequent pressure on enforcement officers to permit the entry of specimens despite concerns over their legality have been emphasised in a number of EU and international CITES meetings over the past years.

Recommendations IIIe, IIIk and IIIl encourage co-operation and liaison with, and providing support to, management and enforcement authorities and other international bodies, within the EU and in third countries. Nearly 75% of the EU Member States reported participating in the exchange of intelligence, provision of technical support or investigative assistance, or being part of a joint operation in 2009-2010. Co-operation between Member States tended to occur on a case-by-case basis and through active participation in meetings of the EU Enforcement Group. Regular co-operation and exchange of official enforcement-related information, however, is sometimes prevented by strict or different national rules and laws for protection of personal and sensitive data.

Regular international exchanges of information between EU authorities, Europol, Interpol and WCO and the dissemination of interesting seizures on EU-TWIX all helped strengthen national enforcement efforts. The success of operations organised by Interpol, WCO or between several Member States and third countries were highlighted in several Biennial Reports. The potential for even greater success would be maximised by total EU participation in future operations. Liaison with and support to third source and consumer countries was facilitated through exchange programmes with China, in particular (see also capacity-building below).

Staff, research and communication

The number of staff working in the MAs and SAs of different Member States varied enormously (ranging from one to 365), as did their time spent on CITES issues. However, Member States with a high number of staff dedicating over 50% of their time to CITES were generally those responsible for issuing the majority of permits. The EU is an important consumer of CITES listed species, and in 2009 and 2010 Member States issued over half a million permits, in particular import, re-export and internal EC certificates.

MA and SA staff across the EU exhibit a wide range of skills and knowledge predominantly in biology, administration, law and policy. There are also a number of staff trained in veterinary science and geography, and some specialising in systematics, breeding operations, DNA techniques or specific biological groups, such as insects, reptiles and fish. Economics, trade, fisheries and forestry expertise is the least well represented amongst EU CITES staff. Attendance at Scientific Review Group meetings was good – with EU SAs (or in some cases members of the MAs) participating in an average of six out of the eight SRG meetings running in 2009 and 2010.

Eleven Member States were involved with or supported research into CITES or Regulation-listed species. Focus was on native European species and included marine mammals (Harbour Porpoises, Grey, Harbour and Ringed Seals), Brown Bear, Lynx, Wolf, Wildcat, European Otter, several species of birds of prey, sturgeons, European Eel, Atlantic Bluefin tuna, Porbeagle Shark, Spiny Dogfish, Date Mussels and the Medicinal Leech. Other research topics included timber, cacti, snowdrops, ivory, the Indian Bison, Arapaima, marking and DNA techniques.

All Member States have some of their CITES/Regulation-related information computerised, in particular the monitoring and reporting of data on legal and illegal trade and permit issuance. However,

a number of Member States emphasised the need for improvement in their national permit and licensing systems. Nearly all have continuous and unrestricted access to the Internet, and in some cases where this is not possible, Member States have taken remedial approaches such as preparing special guidance information that can be placed on intranet services available to local police officers. Furthermore, not all authorities have access to the basic CITES publications (checklist, identification manual and handbook) and ensuring better access in both these areas would be beneficial.

Public awareness activities were run across the EU, to varying degrees, most commonly through press releases or conferences, newspaper articles or radio/television appearances, brochures or leaflets and presentations (Recommendation II f). These activities were often timed around events such as a national anniversary of CITES implementation, the onset of the holiday season or trade fairs. One Member State established a Communications Strategy stakeholder group with the aim of taking a co-ordinated approach to national CITES communications.

Permitting procedures

Written procedures for permit issuance/acceptance and the registration of traders or producers have been developed in most Member States. EU Member States rejected CITES documents from other countries in the majority of cases due to technical violations, suspected fraud or because there was insufficient information for a non-detriment finding or for determining legal acquisition. Fraudulent claims surrounding trade in captive-bred specimens were of concern for several Member States.

Only a few Member States use harvest or export quotas as management tools in the procedure of issuing export permits, as most do not allow the export of native wild-taken specimens. They do however always verify quotas set by exporting countries when issuing import permits. The frequency of requests for SA opinions varies extensively across the EU, ranging from a couple of times to over one thousand times over a two year period. Several Member States reported that SRG decisions help to speed up the decision making in many cases, however, it was also noted that the time between the immediate decision made by the SRG and its official publication can sometimes be problematic.

Five Member States do not charge any fees for either CITES or Regulation-related matters. Of those that do charge, the most common reason is for the issuance of CITES permits. In general, the revenue derived from such fees is only partly used to fund the implementation of CITES or conservation, in some Member States helping to cover the administrative costs of the permitting authority. In one Member State the fees are used to support running costs of designated CITES rescue centres. The majority of Member States reported permit return percentages (to the MA) of between 80 and 95%. Permits were issued retrospectively only in exceptional cases.

Capacity-building and collaboration

Member States across the EU improved their national networks, increased computerisation and developed implementation tools to enhance the effectiveness of CITES at the national level. Seven Member States purchased technical equipment for monitoring/enforcement, four hired more staff and three had access to an increased budget for their activities. During 2009-2010, authorities in 21 Member States received capacity building from external sources such as the EC, CITES Secretariat, UNEP-WCMC, MAs, SAs and enforcement authorities from other countries, traders and NGOs, mostly in the form of oral or written advice/guidance or training. National authorities in all Member States provided some form of capacity building for others in this reporting period. One Member State has an on-going CITES-related training programme for judges and another runs a Masters programme dedicated to the Management, Conservation and Control of Species in International Trade.

40% of Member States have established inter-agency CITES committees, and in most other Member States, MAs hold meetings once or several times a year and consultations on a weekly basis to ensure co-ordination amongst CITES authorities. Efforts to collaborate on a national level with provincial, state or territorial authorities, trade or other private sector associations and NGOs occur across the

EU. 70% of all Member States reported having formal arrangements for institutional co-operation related to CITES between the MA and other national agencies, mostly commonly with Customs, the SAs, other government authorities, the police and other border authorities such as Veterinary and Phytosanitary Departments. Nearly all Member States participated in regional activities such as workshops, meetings, seminars and study visits. Three encouraged non-Parties to join CITES.

Nine Member States reported having provided technical or financial assistance to various countries in Europe, Asia and Africa through organising, presenting and lecturing at workshops on CITES implementation and/or illegal trade, sharing of CITES expertise through study visits and running enforcement training and species identification workshops. Financial assistance was focused on supporting CITES-related work in Africa.

Areas for future work

For 2009-2010, the main priorities to enhance the effectiveness of CITES at the national level for all Member States were increased budget for activities, hiring of more staff and improvement of national networks. These would facilitate improvements in a number of areas meriting more attention across the EU, such as the training of prosecutors and judges, improved facilities for the keeping of seized live specimens, increased regularity of in-country checks, full computerisation of permitting systems and improved marking and DNA techniques.

Finally, in addition to the need for improving capacity in these areas, Member States provided details of other difficulties they face when implementing CITES Resolutions/Decisions or EC suspensions/negative opinions, which require further attention or assistance. These included dealing with derogations for personal and household effects, plants and hunting trophies; inconsistent interpretations of definitions for source codes, artificially propagated plants and worked specimens; controlling the movement and determining the legality of captive-bred specimens and the large administrative burden associated with trade in small crocodylian leather goods, representing tens of thousands of CITES permits each year.

ANNEX I: CITES BIENNIAL REPORT FORMAT

Part 1 - CITES Questions

Note: Part 1 is composed exclusively of the questions included in the CITES Biennial Report format, approved at the 13th meeting of the Conference of the Parties to CITES, October 2004.

A. General information

Party	
Period covered in this report: 1 January 2007 to 31 December 2008	
Details of agency preparing this report	
Contributing agencies, organizations or individuals	

B. Legislative and regulatory measures

1	Has information on CITES-relevant legislation already been provided under the CITES National Legislation Project? If yes, ignore questions 2, 3 and 4.	Yes (fully) <input type="checkbox"/> Yes (partly) <input type="checkbox"/> No <input type="checkbox"/> No information/unknown <input type="checkbox"/>
2	If your country has planned, drafted or enacted any CITES-relevant legislation, please provide the following details: Title and date: _____ Status: _____ Brief description of contents: _____	
3	Is enacted legislation available in one of the working languages of the Convention?	Yes <input type="checkbox"/> No <input type="checkbox"/> No information <input type="checkbox"/>
4	If yes, please attach a copy of the full legislative text or key legislative provisions that were gazetted.	legislation attached <input type="checkbox"/> provided previously <input type="checkbox"/> not available, will send later <input type="checkbox"/>
5	Which of the following issues are addressed by any stricter domestic measures that your country has adopted for CITES-listed species (in accordance with Article XIV of the Convention)?	Tick all applicable
	Issue	The conditions for: Yes No No information
	Trade	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	Taking	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	Possession	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	Transport	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	Other (specify)	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	Additional comments	The complete prohibition of: Yes No No information
		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

6	What were the results of any review or assessment of the effectiveness of CITES legislation, with regard to the following items? Tick all applicable				
	Item	Adequate	Partially Inadequate	Inadequate	No information
	Powers of CITES authorities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Clarity of legal obligations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Control over CITES trade	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Consistency with existing policy on wildlife management and use	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Coverage of law for all types of offences	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Coverage of law for all types of penalties	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Implementing Regulations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Coherence within legislation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (please specify):	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Please provide details if available:					
7	If no review or assessment has taken place, is one planned for the next reporting period?			Yes <input type="checkbox"/>	
				No <input type="checkbox"/>	
			No information <input type="checkbox"/>		
Please provide details if available:					
8	Has there been any review of legislation on the following subjects in relation to implementation of the Convention? Tick all applicable				
	Subject	Yes	No	No information	
	Access to or ownership of natural resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Harvesting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Transporting of live specimens	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Handling and housing of live specimens	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Please provide details if available:					
9	Please provide details of any additional measures taken:				

C. Compliance and enforcement measures

		Yes	No	No information
1	Have any of the following compliance monitoring operations been undertaken?			
	Review of reports and other information provided by traders and producers:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Inspections of traders, producers, markets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Border controls	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (specify)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2	Have any administrative measures (e.g., fines, bans, suspensions) been imposed for CITES-related violations?			
3	If Yes, please indicate how many and for what types of violations? If available, please attach details as Annex.			
4	Have any significant seizures, confiscations and forfeitures of CITES specimens been made?			

5	If information available: <input type="checkbox"/> Significant seizures/confiscations <input type="checkbox"/> Total seizures/confiscations If possible, please specify per group of species or attach details on annex.	Number <input type="checkbox"/> <input type="checkbox"/>		
6	Have there been any criminal prosecutions of significant CITES-related violations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7	If Yes, how many and for what types of violations? If available, please attach details as Annex.			
8	Have there been any other court actions of CITES-related violations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9	If Yes, what were the violations involved and what were the results? Please attach details as Annex.			
10	How were the confiscated specimens generally disposed of?	Tick if applicable		
	– Return to country of export			<input type="checkbox"/>
	– Public zoos or botanical gardens			<input type="checkbox"/>
	– Designated rescue centres			<input type="checkbox"/>
	– Approved, private facilities			<input type="checkbox"/>
	– Euthanasia			<input type="checkbox"/>
	– Other (specify)			<input type="checkbox"/>
	Comments:			
11	Has your country provided to the Secretariat detailed information on significant cases of illegal trade (e.g. through an ECOMESSAGE or other means), or information on convicted illegal traders and persistent offenders?	Yes	No	Not applicable
				No information
	Comments:			
12	Has your country been involved in cooperative enforcement activities with other countries (e.g. exchange of intelligence, technical support, investigative assistance, joint operation, etc.)?	Yes	No	No information
13	If Yes, please give a brief description:			
14	Has your country offered any incentives to local communities to assist in the enforcement of CITES legislation, e.g. leading to the arrest and conviction of offenders?	Yes	No	No information
15	If Yes, please describe:			
16	Has there been any review or assessment of CITES-related enforcement?	Yes	No	Not applicable
				No information
	Comments:			
17	Please provide details of any additional measures taken:			

D. Administrative measures

D1 Management Authority (MA)

1	Have there been any changes in the designation of or contact information for the MA(s) in your country which are not yet reflected in the CITES Directory?	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
2	If Yes, please use the opportunity to provide those changes here.		
3	If there is more than one MA in your country, has a lead MA been designated?	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
4	If Yes, please name that MA and indicate whether it is identified as the lead MA in the CITES Directory.		
5	How many staff work in each MA?		
6	Can you estimate the percentage of time they spend on CITES related matters? If yes, please give estimation	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
7	What are the skills/expertise of staff within the MA(s)?	Tick if applicable	
	– Administration		<input type="checkbox"/>
	– Biology		<input type="checkbox"/>
	– Economics/trade		<input type="checkbox"/>
	– Law/policy		<input type="checkbox"/>
	– Other (specify)		<input type="checkbox"/>
	– No information		<input type="checkbox"/>
8	Have the MA(s) undertaken or supported any research activities in relation to CITES species or technical issues (e.g. labelling, tagging, species identification) not covered in D2(8) and D2(9)?	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
9	If Yes, please give the species name and provide details of the kind of research involved.		
10	Please provide details of any additional measures taken		

D2 Scientific Authority (SA)

1	Have there been any changes in the designation of or contact information for the SA(s) in your country which are not yet reflected in the CITES Directory?	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
2	If Yes, please use the opportunity to provide those changes here.		
3	Has your country designated a Scientific Authority independent from the Management Authority?	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
4	What is the structure of the SA(s) in your country?	Tick if applicable	
	– Government institution		<input type="checkbox"/>
	– Academic or research institution		<input type="checkbox"/>
	– Permanent committee		<input type="checkbox"/>
	– Pool of individuals with certain expertise		<input type="checkbox"/>
	– Other (specify)		<input type="checkbox"/>
5	How many staff work in each SA on CITES issues?		
6	Can you estimate the percentage of time they spend on CITES related matters? If yes, please give estimation	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
7	What are the skills/expertise of staff within the SA(s)?	Tick if applicable	
	– Botany		<input type="checkbox"/>
	– Ecology		<input type="checkbox"/>
	– Fisheries		<input type="checkbox"/>
	– Forestry		<input type="checkbox"/>
	– Welfare		<input type="checkbox"/>
	– Zoology		<input type="checkbox"/>
	– Other (specify)		<input type="checkbox"/>
	– No information		<input type="checkbox"/>
8	Have any research activities been undertaken by the SA(s) in relation to CITES species?	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
9	If Yes, please give the species name and provide details of the kind of research involved.		
	Species name	Populations	Distribution
		Off take	Legal trade
		Illegal trade	Other (specify)
	1		
	2		
	3		
	etc.		
			No information <input type="checkbox"/>
10	Have any project proposals for scientific research been submitted to the Secretariat under Resolution Conf. 12.2?	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
11	Please provide details of any additional measures taken:		

D3 Enforcement Authorities

1	To date, has your country advised the Secretariat of any enforcement authorities that have been designated for the receipt of confidential enforcement information related to CITES?	Yes <input type="checkbox"/> No <input type="checkbox"/> No information <input type="checkbox"/>
2	If No, please designate them here (with address, phone, fax and email).	
3	Has your country established a specialized unit responsible for CITES-related enforcement (e.g. within the wildlife department, Customs, the police, public prosecutor's office)?	Yes <input type="checkbox"/> No <input type="checkbox"/> Under consideration <input type="checkbox"/> No information <input type="checkbox"/>
4	If Yes, please state which is the lead agency for enforcement:	
5	Please provide details of any additional measures taken:	

D4 Communication, information management and exchange

1	To what extent is CITES information in your country computerized? Tick if applicable					
	–	Monitoring and reporting of data on legal trade	<input type="checkbox"/>			
	–	Monitoring and reporting of data on illegal trade	<input type="checkbox"/>			
	–	Permit issuance	<input type="checkbox"/>			
	–	Not at all	<input type="checkbox"/>			
	–	Other (specify)	<input type="checkbox"/>			
2	Do the following authorities have access to the Internet? Tick if applicable					
	Authority	Yes, continuous and unrestricted access	Yes, but only through a dial-up connection	Yes, but only through a different office	Some offices only	Not at all
	Management Authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Scientific Authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Enforcement Authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Please provide details where appropriate					
3	Do you have an electronic information system providing information on CITES species? Yes <input type="checkbox"/> No <input type="checkbox"/> No information <input type="checkbox"/>					

4	If Yes, does it provide information on:	Tick if applicable		
	– Legislation (national, regional or international)?			<input type="checkbox"/>
	– Conservation status (national, regional, international)?			<input type="checkbox"/>
	– Other (please specify)?			<input type="checkbox"/>
5	Is it available through the Internet:	Yes		<input type="checkbox"/>
		No		<input type="checkbox"/>
		Not applicable		<input type="checkbox"/>
		No information		<input type="checkbox"/>
	Please provide URL:			
6	Do the following authorities have access to the following publications?	Tick if applicable		
	Publication	Management Authority	Scientific Authority	Enforcement Authority
	<i>2003 Checklist of CITES Species</i> (book)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>2003 Checklist of CITES Species and Annotated Appendices</i> (CD-ROM)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>Identification Manual</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<i>CITES Handbook</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7	If not, what problems have been encountered to access to the mentioned information?			
8	Have enforcement authorities reported to the Management Authority on:	Tick if applicable		
	– Mortality in transport?			<input type="checkbox"/>
	– Seizures and confiscations?			<input type="checkbox"/>
	– Discrepancy in number of items in permit and number of items actually traded?			<input type="checkbox"/>
	Comments:			
9	Is there a government website with information on CITES and its requirements?	Yes		<input type="checkbox"/>
		No		<input type="checkbox"/>
		No information		<input type="checkbox"/>
	If Yes, please give the URL:			
10	Have CITES authorities been involved in any of the following activities to bring about better accessibility to and understanding of the Convention's requirements to the wider public?	Tick if applicable		
	– Press releases/conferences			<input type="checkbox"/>
	– Newspaper articles, radio/television appearances			<input type="checkbox"/>
	– Brochures, leaflets			<input type="checkbox"/>
	– Presentations			<input type="checkbox"/>
	– Displays			<input type="checkbox"/>
	– Information at border crossing points			<input type="checkbox"/>
	– Telephone hotline			<input type="checkbox"/>
	– Other (specify)			<input type="checkbox"/>
	Please attach copies of any items as Annex.			
11	Please provide details of any additional measures taken:			

D5 Permitting and registration procedures

1	Have any changes in permit format or the designation and signatures of officials empowered to sign CITES permits/certificates been reported previously to the Secretariat?	Yes	<input type="checkbox"/>			
		No	<input type="checkbox"/>			
		Not applicable	<input type="checkbox"/>			
	No information	<input type="checkbox"/>				
	If no, please provide details of any:					
	Changes in permit format:					
	Changes in designation or signatures of relevant officials:					
2	To date, has your country developed written permit procedures for any of the following?	Tick if applicable				
		Yes	No	No information		
	Permit issuance/acceptance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	Registration of traders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	Registration of producers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
3	Please indicate how many CITES documents were issued or denied in the two year period? (Note that actual trade is normally reported in the Annual Report by Parties. This question refers to issued documents).					
	Year 1	Import or introduction from the sea	Export	Re-export	Other	Comments
	How many documents were issued?					
	How many applications were denied because of severe omissions or mis-information?					
	Year 2					
	How many documents were issued?					
	How many applications were denied because of severe omissions or mis-information?					
4	Were any CITES documents that were issued later cancelled and replaced because of severe omissions or mis-information?	Yes	<input type="checkbox"/>			
		No	<input type="checkbox"/>			
		No information	<input type="checkbox"/>			
5	If Yes, please give the reasons for this.					
6	Please give the reasons for rejection of CITES documents from other countries.	Tick if applicable				
	Reason	Yes	No	No information		
	Technical violations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	Suspected fraud	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	Insufficient basis for finding of non-detriment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	Insufficient basis for finding of legal acquisition	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	Other (specify)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
7	Are harvest and/or export quotas as a management tool in the procedure for issuance of permits?	Yes	<input type="checkbox"/>			
		No	<input type="checkbox"/>			
		No information	<input type="checkbox"/>			
	Comments					
8	How many times has the Scientific Authority been requested to provide opinions?					
9	Has the Management Authority charged fees for permit issuance, registration or related CITES activities?	Tick if applicable				
	– Issuance of CITES documents:	<input type="checkbox"/>				
	– Licensing or registration of operations that produce CITES species:	<input type="checkbox"/>				
	– Harvesting of CITES-listed species :	<input type="checkbox"/>				

	<ul style="list-style-type: none"> – Use of CITES-listed species: <input type="checkbox"/> – Assignment of quotas for CITES-listed species: <input type="checkbox"/> – Importing of CITES-listed species: <input type="checkbox"/> – Other (specify): <input type="checkbox"/>
10	If Yes, please provide the amounts of such fees.
11	Have revenues from fees been used for the implementation of CITES or wildlife conservation? Tick if applicable <ul style="list-style-type: none"> – Entirely: <input type="checkbox"/> – Partly: <input type="checkbox"/> – Not at all: <input type="checkbox"/> – Not relevant: <input type="checkbox"/> Comments:
12	Please provide details of any additional measures taken:

D6 Capacity building

1	Have any of the following activities been undertaken to enhance effectiveness of CITES implementation at the national level? Tick if applicable						
	Increased budget for activities	<input type="checkbox"/>	Improvement of national networks	<input type="checkbox"/>			
	Hiring of more staff	<input type="checkbox"/>	Purchase of technical equipment for monitoring/enforcement	<input type="checkbox"/>			
	Development of implementation tools	<input type="checkbox"/>	Computerisation	<input type="checkbox"/>			
	– Other (specify)			<input type="checkbox"/>			
2	Have the CITES authorities in your country been the <i>recipient</i> of any of the following capacity building activities provided by external sources?						
	Please tick boxes to indicate which target group and which activity.	Oral or written advice/guidance	Technical assistance	Financial assistance	Training	Other (specify)	What were the external sources?
	Target group						
	Staff of Management Authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Staff of Scientific Authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Staff of enforcement authorities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Traders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	NGOs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Public	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Other (specify)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

3	Have the CITES authorities in your country been the <i>providers</i> of any of the following capacity building activities?						Details
	Please tick boxes to indicate which target group and which activity.						
	Target group	Oral or written advice/guidance	Technical assistance	Financial assistance	Training	Other (specify)	
	Staff of Management Authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Staff of Scientific Authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Staff of enforcement authorities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Traders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	NGOs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Public	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Other parties/International meetings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Other (specify)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4	Please provide details of any additional measures taken						

D7 Collaboration/co-operative initiatives

1	Is there an inter-agency or inter-sectoral committee on CITES?						Yes <input type="checkbox"/>	No <input type="checkbox"/>	No information <input type="checkbox"/>
2	If Yes, which agencies are represented and how often does it meet?								
3	If No, please indicated the frequency of meetings or consultancies used by the MA to ensure co-ordination among CITES authorities (e.g. other MAs, SA(s), Customs, police, others):								
		Daily	Weekly	Monthly	Annually	None	No information	Other (specify)	
	Meetings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Consultations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
4	At the national level have there been any efforts to collaborate with:						Tick if applicable		Details if available
	Agencies for development and trade						<input type="checkbox"/>		
	Provincial, state or territorial authorities						<input type="checkbox"/>		
	Local authorities or communities						<input type="checkbox"/>		
	Indigenous peoples						<input type="checkbox"/>		
	Trade or other private sector associations						<input type="checkbox"/>		
	NGOs						<input type="checkbox"/>		
Other (specify)						<input type="checkbox"/>			

5	To date, have any Memoranda of Understanding or other formal arrangements for institutional cooperation related to CITES been agreed between the MA and the following agencies?	Tick if applicable
	SA	<input type="checkbox"/>
	Customs	<input type="checkbox"/>
	Police	<input type="checkbox"/>
	Other border authorities (specify)	<input type="checkbox"/>
	Other government agencies	<input type="checkbox"/>
	Private sector bodies	<input type="checkbox"/>
	NGOs	<input type="checkbox"/>
	Other (specify)	<input type="checkbox"/>
6	Has your country participated in any regional activities related to CITES?	Tick if applicable
	Workshops	<input type="checkbox"/>
	Meetings	<input type="checkbox"/>
	Other (specify)	<input type="checkbox"/>
7	Has your country encouraged any non-Party to accede to the Convention?	Yes <input type="checkbox"/> No <input type="checkbox"/> No information <input type="checkbox"/>
8	If Yes, which one(s) and in what way?	
9	Has your country provided technical or financial assistance to another country in relation to CITES?	Yes <input type="checkbox"/> No <input type="checkbox"/> No information <input type="checkbox"/>
10	If Yes, which country(ies) and what kind of assistance was provided?	
11	Has your country provided any data for inclusion in the CITES Identification Manual?	Yes <input type="checkbox"/> No <input type="checkbox"/> No information <input type="checkbox"/>
12	If Yes, please give a brief description.	
13	Has your country taken measures to achieve co-ordination and reduce duplication of activities between the national authorities for CITES and other multilateral environmental agreements (e.g. the biodiversity-related Conventions)?	Yes <input type="checkbox"/> No <input type="checkbox"/> No information <input type="checkbox"/>
14	If Yes, please give a brief description.	
15	Please provide details of any additional measures taken:	

D8 Areas for future work

1	Are any of the following activities needed to enhance effectiveness of CITES implementation at the national level and what is the respective level of priority?			
	Activity	High	Medium	Low
	Increased budget for activities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Hiring of more staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Development of implementation tools	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Improvement of national networks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Purchase of new technical equipment for monitoring and enforcement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Computerisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (specify)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2	Has your country encountered any difficulties in implementing specific Resolutions or Decisions adopted by the Conference of the Parties?	Yes	<input type="checkbox"/>	
		No	<input type="checkbox"/>	
		No information	<input type="checkbox"/>	
3	If Yes, which one(s) and what is the main difficulty?			
4	Have any constraints to implementation of the Convention arisen in your country requiring attention or assistance?	Yes	<input type="checkbox"/>	
		No	<input type="checkbox"/>	
		No information	<input type="checkbox"/>	
5	If Yes, please describe the constraint and the type of attention or assistance that is required.			
6	Has your country identified any measures, procedures or mechanisms within the Convention that would benefit from review and/or simplification?	Yes	<input type="checkbox"/>	
		No	<input type="checkbox"/>	
		No information	<input type="checkbox"/>	
7	If Yes, please give a brief description.			
8	Please provide details of any additional measures taken:			

E. General feedback

Please provide any additional comments you would like to make, including comments on this format.

Thank you for completing the form. Please remember to include relevant attachments, referred to in the report. For convenience these are listed again below:

Question	Item		
B4	Copy of full text of CITES-relevant legislation	Enclosed	<input type="checkbox"/>
		Not available	<input type="checkbox"/>
		Not relevant	<input type="checkbox"/>
C3	Details of violations and administrative measures imposed	Enclosed	<input type="checkbox"/>
		Not available	<input type="checkbox"/>
		Not relevant	<input type="checkbox"/>
C5	Details of specimens seized, confiscated or forfeited	Enclosed	<input type="checkbox"/>
		Not available	<input type="checkbox"/>
		Not relevant	<input type="checkbox"/>
C7	Details of violations and results of prosecutions	Enclosed	<input type="checkbox"/>
		Not available	<input type="checkbox"/>
		Not relevant	<input type="checkbox"/>
C9	Details of violations and results of court actions	Enclosed	<input type="checkbox"/>
		Not available	<input type="checkbox"/>
		Not relevant	<input type="checkbox"/>
D4 (10)	Details of nationally produced brochures or leaflets on CITES produced for educational or public awareness purposes, Comments	Enclosed	<input type="checkbox"/>
		Not available	<input type="checkbox"/>
		Not relevant	<input type="checkbox"/>

Part 2 - Supplementary Questions¹

Note: Questions in Part 2 are additional to those in Part 1, and relate to information on the provisions of the EC Regulations (Regulation (EC) No. 338/97 and Regulation (EC) No. 865/2006) that fall outside the scope of CITES.

Please be aware that questions in Part 2 have been updated since the last reporting period, and this new version should be used when submitting Biennial Reports.

The numbering of this section reflects that in Part 1, with the addition of (b) to distinguish the two. New questions that do not correspond to questions in Part 1 are marked "new". Unless otherwise stated, the legislation referred to below is Council Regulation (EC) No. 338/97.

B. Legislative and regulatory measures

1b	If not already provided under questions B (2) and B (4), please provide details of any national legislation that has been updated in this reporting period and attach the full legislative text.						
2b	If your country has planned, drafted or enacted any additional Regulation -relevant legislation, other than that reported under question B (2) or above, please provide the following details:						
	Title and date:			Status:			
	Brief description of contents:						
5b	Has your country adopted any stricter domestic measures, other than those reported under question B(5), specifically for non CITES-listed species ² ?						
	Tick all applicable categories below that these categories apply to.						
		The conditions for:			The complete prohibition of:		
	Issue	Yes	No	No information	Yes	No	No information
	Trade	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Taking	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Possession	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Transport	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (specify)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Additional comments						
8b	Has there been any review of legislation on the following subjects in relation to implementation of <i>Council Regulation (EC) No. 338/97</i> ?						
		Yes	No	No information			
	Introduction of live Regulation-listed species into the Community that would threaten the indigenous fauna and flora (in accordance with Article 3, paragraph 2 (d)).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
	Marking specimens to facilitate identification (in accordance with Article 19, paragraph 1 (iii)).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
	Please provide details if available:						
9b	Please provide the following details about Regulations-related violations:						
	i) Maximum penalties that may be imposed;						
	ii) Or any other additional measures taken in relation to implementation of the Regulation not reported on in question B (9).						

¹ As agreed at COM45

² In this questionnaire, "non CITES-listed species" refers to species that are listed in the Regulation Annexes, but not in the CITES Appendices. They include some species in Annexes A and B and all those in Annex D.

C. Compliance and enforcement measures

2b	Have any actions, in addition to those reported in C (2-9) above, been taken for Regulation-related violations?	Yes <input type="checkbox"/> No <input type="checkbox"/> No information <input type="checkbox"/>
9b	Please provide the following details about Regulations-related violations: i) Maximum sanctions which have been imposed over this reporting period; ii) The outcomes of any prosecutions;	
16b	Has there been any review or assessment of Regulation-related enforcement, in addition to that reported under C (16) above?	Yes <input type="checkbox"/> No <input type="checkbox"/> No information <input type="checkbox"/>
	Comments:	
18 new	Have specimens been marked to establish whether they were born and bred in captivity? (In accordance with <i>Commission Regulation (EC) No. 865/2006</i> , Article 66)	Yes <input type="checkbox"/> No <input type="checkbox"/> No information <input type="checkbox"/>
	Comments:	
19 new	Have any monitoring activities been undertaken to ensure that the intended accommodation for a live specimen at the place of destination is adequately equipped to conserve and care for it properly? (In accordance with Article 4 paragraph 1 (c) of <i>Council Regulation (EC) No. 338/97</i>).	Yes <input type="checkbox"/> No <input type="checkbox"/> No information <input type="checkbox"/>
	Comments:	
20 new	Have national action plans for co-ordination of enforcement, with clearly defined objectives and timeframes been adopted, and are they harmonized and reviewed on a regular basis? (In accordance with <i>Commission Recommendation C (2007) 2551</i> , paragraph IIa.)	Yes <input type="checkbox"/> No <input type="checkbox"/> No information <input type="checkbox"/>
	Comments:	
21 new	Do enforcement authorities have access to specialized equipment and relevant expertise, and other financial and personnel resources? (In accordance with <i>Commission Recommendation C (2007) 2551</i> , paragraph IIb.) If yes, please provide details.	Yes <input type="checkbox"/> No <input type="checkbox"/> No information <input type="checkbox"/>
	Comments:	
22 new	Do penalties take into account inter alia the market value of the specimens and the conservation value of the species involved in the offence, and the costs incurred? (In accordance with <i>Commission Recommendation C (2007) 2551</i> , paragraph IIc.)	Yes <input type="checkbox"/> No <input type="checkbox"/> No information <input type="checkbox"/>
	Comments:	

23 new	Are training and/or awareness raising activities being carried out for a) enforcement agencies, b) prosecution services, and c) the judiciary? (In accordance with <i>Commission Recommendation C (2007) 2551</i> , paragraph II d.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>	No information <input type="checkbox"/>
	Comments:			
24 new	Are regular checks on traders and holders such as pet shops, breeders and nurseries being undertaken to ensure in-country enforcement? (In accordance with <i>Commission Recommendation C (2007) 2551</i> , paragraph II g.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>	No information <input type="checkbox"/>
	Comments:			
25 new	Are risk and intelligence assessment being used systematically in order to ensure thorough checks at border-crossing points as well as in-country? (In accordance with <i>Commission Recommendation C (2007) 2551</i> , paragraph III h.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>	No information <input type="checkbox"/>
	Comments:			
26 new	Are facilities available for the temporary care of seized or confiscated live specimens, and are mechanisms in place for their long-term re-homing, where necessary? (In accordance with <i>Commission Recommendation C (2007) 2551</i> , paragraph III i.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>	No information <input type="checkbox"/>
	Comments:			
27 new	Is cooperation taking place with relevant enforcement agencies in other Member States on investigations of offences under Regulation No. (EC) 338/97? (In accordance with <i>Commission Recommendation C (2007) 2551</i> , paragraph III e.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>	No information <input type="checkbox"/>
	Comments:			
28 new	Is assistance being provided to other Member States with the temporary care and long-term re-homing of seized or confiscated live specimens? (In accordance with <i>Commission Recommendation C (2007) 2551</i> , paragraph III j.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>	No information <input type="checkbox"/>
	Comments:			
29 new	Is liaison taking place with CITES MAs and law enforcement agencies in source, transit and consumer countries outside of the Community as well as the CITES Secretariat, ICPO, Interpol and the World Customs Organization to help detect, deter and prevent illegal trade in wildlife through the exchange of information and intelligence? (In accordance with <i>Commission Recommendation C (2007) 2551</i> , paragraph III k.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>	No information <input type="checkbox"/>
	Comments:			
30 new	Is advice and support being provided to CITES MAs and law enforcement agencies in source, transit and consumer countries outside of the Community to facilitate legal and sustainable trade through correct application of procedures? (In accordance with <i>Commission Recommendation C (2007) 2551</i> , paragraph III l.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>	No information <input type="checkbox"/>
	Comments:			

D. Administrative measures

D1 Management Authority (MA)

8b	Have the MA(s) undertaken or supported any research activities in relation to non CITES-listed species or technical issues (e.g. species identification) not covered in D2 (8) and D2 (9)?	Yes	<input type="checkbox"/>
		No	<input type="checkbox"/>
		No information	<input type="checkbox"/>
11 new	Has the Commission and the CITES Secretariat (if relevant) been informed of the outcomes of any investigations that the Commission has considered it necessary be made? (In accordance with Article 14 paragraph 2 of <i>Council Regulation (EC) No. 338/97</i>)?	Yes	<input type="checkbox"/>
		No	<input type="checkbox"/>
		No information	<input type="checkbox"/>

D2 Scientific Authority (SA)

8b	Have any research activities been undertaken by the SA(s) in relation to non CITES listed species?	Yes	<input type="checkbox"/>				
		No	<input type="checkbox"/>				
		No information	<input type="checkbox"/>				
9b	If Yes, please give the species name and provide details of the kind of research involved.						
	Species name	Populations	Distribution	Off take	Legal trade	Illegal trade	Other (specify)
	1						
	2						
	3						
	etc.						
					No information	<input type="checkbox"/>	
11 new	How many Scientific Review Group (SRG) meetings have the SA attended?	Number	<input type="checkbox"/>				
	Indicate any difficulties that rendered attendance to the SRG difficult:						

D3 Enforcement Authorities

6 new	Has a liaison officer/focal point for CITES been nominated within each relevant enforcement authority in your country?	Yes	<input type="checkbox"/>
		No	<input type="checkbox"/>
		Under consideration	<input type="checkbox"/>
		No information	<input type="checkbox"/>

D4 Communication, information management and exchange

1b	Is Regulation-related information in your country computerized on?	Tick if applicable	
	– Annex D listed species	<input type="checkbox"/>	
	– Other matters not reported on in question D4 (1) (please specify)	<input type="checkbox"/>	
3b	Do you have an electronic information system providing information on Regulation-listed species?	Yes	<input type="checkbox"/>
		No	<input type="checkbox"/>
		No information	<input type="checkbox"/>

D5 Permitting and registration procedures

9b	Has the Management Authority charged fees for any Regulation-related matters not covered in question D5 (9)? If yes, please provide details of these Regulation-related matters and the amount of any such fees.	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
13 new	Can you indicate the percentage of permits/certificates issued that are returned to the MA after endorsement by customs?	Percentage : ...% No information	<input type="checkbox"/> <input type="checkbox"/>
14 new	Has a list of places of introduction and export in your country been compiled in accordance with Article 12 of <i>Council Regulation (EC) No. 338/97</i> ? If yes, please attach.	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
15 new	Have persons and bodies been registered in accordance with Articles 18 and 19 of Commission Regulation (EC) No. 865/2006? If yes, please provide details.	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
16 new	Have scientific institutions been registered in accordance with Article 60 of Commission Regulation (EC) No. 865/2006? If yes, please provide details.	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
17 new	Have breeders been approved in accordance with Article 63 of Commission Regulation (EC) No. 865/2006? If yes, please provide details.	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
18 new	Have caviar (re-)packaging plants been licensed in accordance with Article 66 (7) of Commission Regulation (EC) No. 865/2006? If yes, please provide details.	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
19 new	Are phytosanitary certificates used in accordance with Article 17 of Commission Regulation (EC) No. 865/2006? If yes, please provide details.	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
20 new	Have cases occurred where export permits and re-export certificates were issued retrospectively in accordance with Article 15 of Commission Regulation (EC) No. 865/2006? If yes, please provide details.	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

D8 Areas for future work

2b	Has your country encountered any difficulties in implementing specific suspensions or negative opinions adopted by the European Commission? (In accordance with Article 4 (6)).	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
4b	Have any constraints to implementation of the Regulation, not reported under question D8 (4) , arisen in your country requiring attention or assistance?	Yes No No information	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

ANNEX 2: SUMMARY ASSESSMENT TABLE

No.	Questions	AT	BE	BG	CY	CZ	DE	DK	EE	EL	ES	FI	FR	HU	IE	IT	LT	LU	LV	MT	NL	PL	PT	RO	SE	SI	SK	UK	
B1	Information on CITES-relevant legislation provided under the CITES National Legislation Project	Y	Y	P	Y	Y	Y	Y	P	Y	Y	Y	Y	Y	Y	Y	P	Y	Y	Y	P	Y	P	Y	Y	Y	Y	Y	P
B2/ B2b	NEW CITES/additional Regulation relevant legislation planned, drafted or enacted	Y	N	Y	N	Y	Y	N	Y	N	Y	N	Y	Y	Y	N	Y	N	N	N	Y	N	Y	Y	N	N	Y	Y	
B5	Stricter domestic measures adopted for CITES-listed species	N	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	O	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
B5b	Stricter domestic measures adopted for non CITES-listed species	N	O	Y	N	N	Y	Y	N	Y	Y	N	Y	O	O	O	O	O	Y	Y	Y	O	Y	O	N	N	Y	N	
B6	Review of legislation - effectiveness of CITES (results provided)	Y	Y	N	Y	Y	Y	Y	Y	N	N	Y	Y	N	N	Y	N	N	Y	Y	Y	Y	Y	Y	Y	Y	N	N	Y
B7	Review planned for next period	Y	Y	Y	N	O	Y	O	O	O	O	O	O	N	N	O	N	Y	O	O	Y	Y	O	O	N	O	N	O	
B8/8b	Review of legislation - implementation of CITES/Regulations (carried out)	Y	N	Y	N	N	Y	N	Y	N	N	N	Y	N	N	N	O	N	Y	N	Y	Y	Y	Y	Y	N	N	N	Y
B9b	Information on Regulation-related violations provided (maximum penalties and other measures)	Y	Y	N	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	Y
C1	Compliance and monitoring operations undertaken	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
C2	Administrative measures for CITES-related violations imposed	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	O	Y	Y	N	Y	Y	Y	N	Y	O	Y	Y	Y	Y	
C4	Significant seizures, confiscation and forfeitures made	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	N	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y
C6	Criminal prosecutions of significant CITES-related violations undertaken	N	Y	Y	N	Y	Y	O	N	Y	Y	Y	Y	Y	N	O	N	N	N	N	Y	Y	Y	N	N	Y	O	Y	
C8	Other court actions of CITES-related violations undertaken	Y	O	O	N	Y	Y	Y	N	N	Y	Y	Y	N	Y	O	N	O	N	N	Y	Y	N	N	Y	O	O	Y	
C11	Detailed information on significant cases of illegal trade, convicted traders and/or persistent offenders provided to Secretariat	Y	O	N	N	Y	Y	N	Y	N	O	Y	N	N	Y	Y	N	O	N	O	Y	O	Y	O	Y	O	N	Y	
C12	Involved in co-operative enforcement activities with other countries	O	Y	N	N	Y	Y	N	Y	Y	Y	N	Y	Y	Y	Y	N	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y
C14	Offered incentives to local communities to assist in enforcement	O	N	N	N	N	O	N	N	N	N	N	N	N	N	N	N	N	O	N	N	O	N	N	N	N	N	N	N

No.	Questions	AT	BE	BG	CY	CZ	DE	DK	EE	EL	ES	FI	FR	HU	IE	IT	LT	LU	LV	MT	NL	PL	PT	RO	SE	SI	SK	UK
C16	Review of assessment of CITES-related enforcement	O	Y	O	N	N	Y	Y	N	Y	O	N	Y	N	N	N	N	N	Y	Y	Y	Y	Y	N	O	O	N	Y
C18	Captive-bred specimens marked (Art. 66)	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	O	Y	Y	Y	Y	Y	Y	O	Y	Y	Y
C19	Intended accommodation for live specimens (Art. 4) monitored	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	O	Y	N	Y	Y	Y	Y	Y	Y	N	O	N	Y	Y
C20	National action plans for co-ordination of enforcement adopted	Y	Y	N	N	N	N	N	Y	N	N	N	N	N	Y	N	N	N	Y	N	Y	N	Y	N	N	N	U	Y
C21	Enforcement authorities have access to specialised equipment, expertise and resources	Y	Y	O	N	Y	Y	Y	Y	Y	Y	Y	O	Y	O	Y	Y	Y	Y	N	Y	Y	N	N	Y	Y	Y	Y
C22	Penalties take into account market and conservation value of species and costs incurred	Y	Y	N	N	N	Y	Y	Y	Y	Y	Y	Y	Y	N	N	N	O	Y	Y	Y	Y	Y	O	Y	Y	Y	Y
C23	Training and awareness activities carried out for enforcement agencies, prosecution services and judiciary	O	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y
C24	Regular checks on traders and holders undertaken in-country	O	Y	Y	Y	N	Y	Y	Y	Y	Y	N	Y	Y	N	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y
C25	Risk and intelligence assessment used to ensure thorough checks at borders and in-country	O	Y	Y	N	N	Y	N	Y	N	N	Y	Y	Y	O	O	Y	O	Y	Y	Y	Y	N	O	Y	Y	Y	Y
C26	Facilities available for temporary care of seized/confiscated live specimens and mechanisms in place for long-term re-homing	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	N	N	O	Y	Y	Y	N	Y	Y	Y	Y	Y	Y
C27	Co-operation with enforcement agencies in other MS on investigations of offences (IIIe)	O	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	O	Y	O	Y	Y	O	Y	O	Y	Y	Y	Y	Y	Y	Y	Y
C28	Assistance provided to other MS with temporary/long-term housing of seized live specimens (IIIj)	N	N	N	N	N	Y	N	N	N	Y	N	N	N	O	N	N	Y	N	N	Y	N	Y	N	N	N	N	Y
C29	Liaison with non-EU authorities in source, transit and consumer countries and IGOs to help detect, deter and prevent illegal trade	N	Y	Y	Y	Y	Y	Y	Y	Y	O	Y	Y	Y	O	Y	O	Y	Y	N	Y	O	Y	Y	N	Y	Y	Y
C30	Advice and support provided to non-EU authorities in source, transit and consumer countries on correct application of procedures	N	N	N	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	N	N	O	N	Y	Y	N	Y	N	Y	N	N	Y	O
D1.8/1.8b	MA undertaken/supported research on CITES/non-CITES species or technical issues	Y	Y	N	N	N	Y	N	N	N	Y	N	Y	N	N	N	Y	N	Y	N	N	Y	Y	N	N	Y	N	Y

No.	Questions	AT	BE	BG	CY	CZ	DE	DK	EE	EL	ES	FI	FR	HU	IE	IT	LT	LU	LV	MT	NL	PL	PT	RO	SE	SI	SK	UK	
D1.11	EC and CITES Sec been informed of outcomes of investigations EC considered necessary be made (Art. 14)	N	Y	N	Y	O	Y	O	O	O	N	O	O	N	O	N	N	O	Y	N	O	N	N	N	Y	O	O	Y	
D2.3	SA independent from MA	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
D2.8/ 2.8b	SA undertaken research on CITES/non-CITES species	N	N	N	N	N	Y	N	N	N	O	N	Y	N	N	N	N	N	N	N	N	N	Y	Y	Y	Y	N	Y	
D2.10	Project proposals for scientific research submitted to CITES Sec (Res. Conf. 12.2)	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N
D3.1	Secretariat informed of enforcement authorities designated for receipt of confidential CITES information	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	O	Y	Y	Y	O	Y	Y	Y	Y	Y	Y	Y	Y
D3.3	Specialist unit for CITES-related enforcement established	Y	Y	Y	Y	Y	Y	N	N	N	Y	N	Y	Y	N	Y	N	Y	N	Y	Y	Y	N	N	Y	Y	Y	Y	Y
D3.6	CITES liaison officer/focal point nominated in each enforcement authority	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	U	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
D4.1	CITES-related information computerised	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
D4.1b	Regulation-related information computerised	Y	Y	N	N	Y	Y	N	N	Y	Y	N	Y	N	N	N	N	N	N	N	N	Y	Y	Y	N	Y	Y	Y	Y
D4.2	All authorities have continuous and unrestricted access to Internet	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	N	N	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y
D4.3/ 4.5	Electronic information system (EIS) providing information on CITES species available on the internet	Y	Y	Y	Y	Y	Y	Y	N	Y	N	N	Y	N	N	N	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
D4.3b	Electronic information system providing information on Regulation-listed species	Y	Y	N	N	Y	Y	N	N	Y	Y	N	Y	N	N	N	N	N	Y	N	Y	Y	Y	Y	N	O	Y	N	Y
D4.6	All authorities have access to Checklist of CITES species (book or CD), Identification manual and Handbook	Y	N	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	N	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y
D4.8	Enforcement authorities reporting to MA on various issues	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
D4.9	Government website with CITES and its requirements	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
C4.10	CITES authorities involved in public awareness activities	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
D5.2	Developed written permit procedures	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y
D5.4	CITES documents issued later cancelled and replaced because of severe omissions or mis-information	N	O	Y	N	Y	N	N	N	Y	Y	N	N	N	N	Y	N	O	N	N	Y	N	N	N	N	N	N	N	Y

No.	Questions	AT	BE	BG	CY	CZ	DE	DK	EE	EL	ES	FI	FR	HU	IE	IT	LT	LU	LV	MT	NL	PL	PT	RO	SE	SI	SK	UK	
D5.7	Harvest and/or export quotas used as management tool for permit issuance	Y	Y	N	N	N	N	Y	N	Y	Y	Y	Y	N	Y	N	N	Y	Y	N	Y	N	Y	Y	Y	Y	N	N	
D5.9/5.9b	MA charged fees for CITES-related matters/listed species	Y	Y	Y	N	Y	Y	N	Y	Y	Y	Y	N	Y	N	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	
D5.11	Revenues from fees used for implementation of CITES/conservation	N	P	P	O	P	N	O	Y	N	N	N	O	P	O	P	N	O	N	N	Y	N	P	N	N	P	P	Y	
D5.14	List of places of introduction and export compiled (Art. 12)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	
D5.15	Persons and bodies registered (Art. 18/19)	N	Y	N	N	N	Y	N	N	N	N	N	Y	N	N	N	N	N	N	N	N	Y	N	Y	N	Y	N	N	Y
D5.16	Scientific institutions registered (Art. 60)	Y	N	N	N	N	Y	N	N	N	N	N	Y	N	N	N	N	N	N	N	N	N	N	N	N	Y	N	N	Y
D5.17	Breeders approved (Art. 63)	N	N	N	N	N	N	N	N	N	N	N	N	N	N	Y	N	O	N	N	N	N	O	N	N	N	N	N	Y
D5.18	Caviar (re-)packaging plants licensed (Art. 66(7))	Y	Y	Y	N	N	Y	N	N	Y	Y	Y	N	Y	N	Y	N	Y	Y	Y	N	Y	Y	N	Y	N	N	N	Y
D5.19	Phytosanitary certificates used (Art. 17)	Y	Y	N	N	Y	Y	Y	N	N	N	N	N	N	N	Y	N	Y	Y	N	N	Y	N	N	N	N	Y	N	N
D5.20	Export permits and re-export certificates issued retrospectively (Art.15)	N	N	N	N	N	Y	Y	N	N	Y	N	Y	N	N	Y	N	N	N	Y	Y	N	N	N	N	N	N	N	Y
D6.1	Selected activities undertaken to enhance effectiveness of CITES implementation	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	N	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
D6.2	CITES authorities been recipients of capacity building activities	N	Y	N	Y	Y	N	N	Y	N	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
D6.3	CITES authorities been providers of capacity building activities	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
D7.1	Inter-agency or inter-sectoral committee on CITES established	Y	N	N	N	Y	Y	N	N	N	N	N	N	Y	N	N	N	N	O	Y	Y	Y	Y	N	N	Y	Y	Y	
D7.4	Efforts to collaborate with other agencies/authorities/persons	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
D7.5	Formal agreements (MoUs) for co-operation between MA and other agencies	N	Y	Y	Y	Y	Y	Y	N	Y	N	N	Y	Y	Y	Y	Y	N	Y	N	Y	N	Y	Y	Y	Y	N	N	Y
D7.6	Participated in regional activities related to CITES	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y
D7.7	Encouraged non-Party to accede to CITES	N	N	N	N	O	Y	N	N	N	N	N	N	N	N	N	N	N	N	N	N	Y	N	Y	N	O	N	N	N
D7.9	Provided technical or financial assistance to other countries	N	N	N	N	N	Y	N	N	N	N	Y	Y	N	N	Y	N	O	Y	N	Y	N	Y	N	Y	Y	N	N	Y

No.	Questions	AT	BE	BG	CY	CZ	DE	DK	EE	EL	ES	FI	FR	HU	IE	IT	LT	LU	LV	MT	NL	PL	PT	RO	SE	SI	SK	UK	
D7.13	Taken measures to achieve co-ordination and reduce duplication between CITES and other MEAs	Y	Y	Y	N	Y	N	Y	N	O	O	Y	O	Y	N	N	N	N	O	Y	Y	Y	Y	O	O	Y	O	Y	
D8.2	Encountered difficulties in implementing Resolutions/Decisions	N	N	N	N	N	N	N	N	N	N	N	Y	N	O	Y	N	O	N	N	N	N	N	N	N	N	N	N	Y
D8.2b	Encountered difficulties in implementing suspensions or negative opinions	N	N	N	N	N	N	N	N	N	N	N	Y	N	O	N	N	O	N	N	N	N	N	N	N	N	N	N	N
D8.4	Constraints to implementation of CITES arisen that require assistance	N	N	N	Y	N	N	N	N	N	Y	N	N	N	Y	N	N	Y	N	Y	N	N	N	N	N	O	N	N	Y
D8.4b	Constraints to implementation of Regulation arisen that require assistance	N	Y	N	N	N	N	N	N	N	Y	N	N	Y	N	N	N	N	N	N	N	Y	N	N	N	N	N	Y	N
D8.6	Identified CITES measures that would benefit from review	Y	Y	N	N	N	N	Y	N	O	O	N	Y	Y	O	N	N	N	N	N	N	Y	N	N	Y	N	N	Y	

Y - Yes

N - No

O – No information/not relevant

P – Partially/partly

U – Underway/under consideration

ANNEX 3: ADDITIONAL SUMMARY TABLES

No.	Questions	Options	A T	BE	BG	CY	CZ	DE	DK	EE	EL	ES	FI	FR	HU	IE	IT	LT	LU	LV	MT	NL	PL	PT	RO	SE	SI	SK	UK	Totals			
B6	Results of review of legislation - effectiveness of CITES	Powers of CITES authorities	1	1		1	1	1	1	0.5				1			1			1	1	1	1	1	1	1			1	16.5			
		Clarity of legal obligations		1		1	1	1	1	1					1			1			1	1	1	0.5	1	1	1			1	15.5		
		Control over CITES trade	1	1		1	1	1	1	1					1			1			1	1	1	1	1	0.5	0.5			1	16.0		
		Consistency with existing policy on wildlife management and use				1	1	1	1	1					1			1			0.5	1	1	1	1	1	1			1	14.5		
		Coverage of law for all types of offences		1		1	1	1	1	1				1	0.5			1			1	1	1	1	1	1	1			1	16.5		
		Coverage of law for all types of penalties		1		0.5	1	1	1	1					1	0.5			1			1	1	1	1	1	0.5	1			1	15.5	
		Implementing Regulations	1	1		1	1	1	1	1						1			1			1	1	1	1	1	1	1			1	17.0	
		Coherence within legislation	1	1		1	1	1	1	1						1			0.5			1	1	1	1	1	1	1			1	16.5	
		Other							1																							1	
B8/8b	Review of legislation - implementation of CITES	Access to or ownership of natural resources																			1				1	1					3		
		Harvesting																			1		1	1								4	
		Transporting of live specimens																			1			1						1	3		
		Handling and housing of live specimens			1						1				1						1			1	1							6	
		Introduction of species that would threaten indigenous fauna/flora							1						1						1				1					1	5		
		Marking of specimens	1																		1		1		1	1						5	
C1	Compliance and monitoring operations undertaken	Review of reports provided by traders/ producers		1		1		1		1	1	1		1	1		1			1	1	1	1		1		1			1	16		
		Inspection of traders, producers, markets	1	1	1	1	1	1	1	1	1	1		1	1	1	1	1	1		1	1	1	1	1	1	1	1	1	1	1	25	
		Border Controls	1	1		1	1	1	1	1	1	1	1	1	1	1	1	1	1		1	1	1	1	1	1	1	1	1	1	1	1	25
		Other						1				1		1										1								4	
C10	Methods used to dispose of confiscated specimens	Return to country of export		1				1						1								1			1						5		
		Public zoos or botanical gardens	1	1	1		1	1	1			1		1	1	1	1	1					1	1	1	1	1	1	1	1	1	19	
		Designated rescue centres	1	1	1		1	1				1		1	1	1	1	1					1		1	1	1	1	1	1	1	17	
		Approved private facilities	1	1			1	1					1		1									1							1	8	
		Euthanasia		1																												1	
Other		1	1	1					1	1		1	1		1				1	1	1	1			1	1	1			16			

No.	Questions	Options	A T	BE	BG	CY	C Z	D E	D K	E E	E L	E S	F I	FR	HU	I E	I T	LT	LU	LV	M T	N L	P L	PT	RO	SE	S I	S K	U K	Totals
D1.5	No. of staff working in MA		8	9	4	2	5	26	12	1	31	24	5<	>40	4	3	>250	2	1	4	>3	365	4	11	3	6	4	2/3	38	
D1.6	% of time MA staff spend on CITES-related matters		50-100	80		25	30-100		25-100	50	15-100	≤100	5-90	50	25-90	40	80-100	50	15-20		50-80	0.3-100	100	10-90	10-80	80	50-65	90	85	
D1.7	Skills/expertise of MA staff	Administration	1	1	1	1		1	1		1	1	1	1	1	1	1		1		1	1	1	1		1	1		1	21
		Biology	1	1	1	1	1	1	1	1	1	1	1	1	1		1	1	1	1	1	1	1	1	1	1	1	1		25
		Economics/trade				1						1					1					1								4
		Law/policy	1	1	1	1	1	1	1			1	1	1	1		1	1	1	1	1	1	1			1			1	20
		Other		1			1	1			1				1		1			1			1	1			1			10
D2.4	Structure of SA	Government institution	1				1	1				1			1	1	1		1	1				1		1	1	1	1	14
		Academic/research institution			1				1				1	1				1		1					1	1			1	9
		Permanent committee			1	1																1	1							4
		Pool of individuals with expertise	1	1						1	1								1			1								6
D2.5	No. of staff working in SA		>9	20	15	>4	>4	8		6	>10	4	2	20	>1	1	22	>1		5	3	2	5	2	33	2	1	3	9	
D2.6	% of time SA staff spend on CITES-related matters		50-100	1-8			100	40		0-100		75	5	10-80	30	20-30	1-100				2>	5-100		5-20	10		50	100	30-100	
D2.7	Skills/expertise of SA staff	Botany	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	25
		Ecology	1	1	1	1	1	1	1	1		1	1	1	1	1	1	1	1	1	1	1	1		1	1	1		1	24
		Fisheries			1	1					1			1				1	1			1			1	1			1	10
		Forestry		1		1		1			1	1		1			1		1					1	1				1	11
		Welfare		1		1			1						1		1		1			1	1						1	9
		Zoology	1	1	1	1	1	1	1	1	1	1	1	1	1		1	1	1	1	1	1	1	1	1	1	1	1	1	26
		Other	1					1			1			1							1	1				1			1	8
D2.11	Number of SRG meetings attended		8	8	2	0	8	8	8	5	7	8	8	7	8	7	8	0	4	2	0	8	8	3	5	8	7	6	8	
D4.1	CITES Information computerised	Monitoring and reporting of data on legal trade	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1		1	1	1	1	1	1	1		1	1	1	25
		Monitoring and reporting of data on illegal trade	1	1	1	1	1	1	1	1	1	1	1			1	1		1	1	1	1	1	1			1	1	1	22
		Permit issuance	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1		1	1	1	24
		Other									1	1			1												1			4
D4.4	EIS provides information on	Legislation	1	1	1	1	1	1	1		1	1		1				1			1	1	1	1	1	1	1	1	1	21
		Conservation	1	1			1	1	1		1			1						1		1	1	1	1	1	1	1	1	16
		Other	1					1			1	1									1	1	1		1		1		1	10

No.	Questions	Options	A T	BE	BG	CY	CZ	DE	DK	EE	EL	ES	FI	FR	HU	IE	IT	LT	LU	LV	MT	NL	PL	PT	RO	SE	SI	SK	UK	Totals		
D4.8	Enforcement authorities reporting to MA on 3 issues	Mortality in transport	1	1	1		1	1	1				1					1				1	1				1	1	1	13		
		Seizures and confiscations	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1		1		1	1	1	1	1	1	1	1	1	1	1	25
		Permit discrepancies	1		1		1	1	1	1				1	1	1	1				1	1	1	1	1	1	1		1	1	1	16
D4.10	CITES authorities involved in public awareness activities	Press releases/conferences	1	1		1	1	1	1	1		1	1		1	1	1			1	1	1	1	1	1	1	1	1	1	1	22	
		Newspaper articles, radio/TV appearances	1	1			1	1	1	1	1	1	1		1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	23
		Brochures, leaflets		1		1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1			1	1	1	1	21
		Presentations		1		1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1		1	1	1	1	1	22
		Displays		1			1	1	1	1	1		1		1	1	1	1	1	1	1	1	1	1			1	1		1	1	16
		Information at border crossing points		1			1	1		1	1	1	1	1	1	1		1		1	1		1	1	1	1		1	1	1	1	19
		Telephone hotline					1														1	1	1	1				1		1	1	7
		Other				1		1				1		1		1						1				1			1	1	1	10
D5.2	Developed written permit procedures	Permit issuance/acceptance	1	1	1		1	1	1	1	1	1	1	1				1	1	1	1	1	1	1	1	1	1	1	1	1	22	
		Registration of traders		1	1	1	1	1				1	1	1	1				1	1					1	1	1	1		1	1	17
		Registration of producers			1		1	1		1	1	1	1	1	1	1			1	1					1			1		1	1	15
D5.6	Reasons for rejection of CITES documents from other countries	Technical violations		1	1		1	1	1		1	1		1								1			1	1				1	13	
		Suspected fraud	1	1			1					1	1		1								1	1						1	10	
		Insufficient basis for finding of non-detriment	1	1	1		1	1	1				1		1								1			1	1				1	13
		Insufficient basis for finding of legal acquisition		1				1					1			1	1						1			1						8
		Other										1	1	1									1									21
D5.9	MA charged fees for CITES-related matters/listed species	Issuance of CITES documents	1	1	1		1	1			1	1	1		1		1	1		1	1	1	1	1	1	1	1	1	1	1	21	
		Licensing or registration of operations			1		1	1						1												1			1		1	8
		Harvesting																								1				1		2
		Use					1														1							1				3
		Assignment of quotas																														0
		Importing					1											1			1							1				5
		Other	1				1		1		1		1	1		1		1					1				1					8
D5.13	Percentage of permits/certificates returned to MA		85	84		95	100			70	93	85	81		62		> 50		50	90	100	82	95	90	80	80	75	80	80			
D6.1	Activities to enhance effectiveness of CITES implementation	Increased budget for activities				1						1													1						3	
		Hiring of more staff		1	1							1		1																		4

No.	Questions	Options	A T	BE	BG	CY	CZ	DE	DK	EE	EL	ES	FI	FR	HU	IE	IT	LT	LU	LV	MT	NL	PL	PT	RO	SE	SI	SK	UK	Totals	
D6.1 cont.		Development of implementation tools				1	1			1	1			1			1			1			1					1	1	11	
		Improvement of national networks	1		1		1	1			1				1	1						1	1	1	1	1	1	1	1	1	16
		Purchase of technical equipment for monitoring/enforcement									1	1	1					1								1			1	1	7
		Computerisation		1		1	1	1				1			1		1	1					1		1	1		1			13
		Other						1				1				1								1							4
D7.4	Effort to collaborate with other agencies/authorities/persons	Agencies for development and trade						1			1						1			1	1	1		1		1			1	9	
		Provincial, state or territorial authorities	1	1	1		1	1			1	1	1	1	1	1		1	1		1		1	1				1	1	1	19
		Local authorities or communities					1					1	1			1		1			1	1	1	1			1		1		11
		Indigenous peoples																			1		1						1		3
		Trade or other private sector associations		1		1	1	1	1	1	1	1	1	1	1			1	1		1		1		1	1	1	1	1	1	20
		NGOS	1	1	1	1	1	1			1	1		1	1	1		1			1		1	1		1	1	1	1	1	20
		Other		1						1		1	1																1		5
D7.5	Formal agreements (MoUs) for co-operation between MA and other agencies	SA		1		1	1		1		1			1			1					1				1			1	10	
		Customs		1		1	1	1	1			1		1*	1	1	1	1			1*		1		1	1					13
		Police					1*					1		1*	1		1	1					1		1	1					6
		Other border authorities		1	1													1													3
		Other government agencies				1						1		1*				1					1		1	1				1	7
		Private sector bodies												1																	1
		NGOs																1								1					2
		Other			1																				1				1	3	

1- yes

0.5 – partial

* - under preparation

ANNEX 4: STRICTER DOMESTIC MEASURES

EU MS	Stricter conditions/prohibitions	Further information on key measures	Related legislation
AT	No stricter domestic measures		
BE	<ul style="list-style-type: none"> • Trade • Possession • Transport 	<ul style="list-style-type: none"> • Traders selling specimens of species listed in Annexes A and B to the EU Regulations are required to keep a record of their acquisitions and sales. Exemptions apply for certain categories of specimens. • The possession of specimens of species listed in CITES Appendix I is prohibited. Exemptions apply for persons and legal entities keeping live Annex A specimens, for which they have provided an inventory, according to the regulation. 	<ul style="list-style-type: none"> • Law implementing CITES (28/07/1981– Article 4) • Royal Decree (09/04/2003) • Royal Decree (16/07/09) – Article 2 (in force since 01/10/09)
BG	<ul style="list-style-type: none"> • Trade • Taking • Possession • Transport 	<ul style="list-style-type: none"> • The taking, possession and trade of protected native species listed in CITES Appendices I and II is prohibited. • Any commercial activities are prohibited for specimens of other species listed in CITES Appendix I. • The keeping of wild species of Felines and Primates outside zoos and rescue centres is prohibited. 	<ul style="list-style-type: none"> • <i>Animal Protection Act</i> (SG No. 13/2008)
CY	No stricter domestic measures		
CZ	<ul style="list-style-type: none"> • Trade • Taking • Possession • Transport 	<ul style="list-style-type: none"> • Most CITES-listed species which are indigenous to the Czech Republic are strictly protected. Taking from the wild, trade and possession are prohibited. Exemptions apply only under strict conditions, i.e. for captive-bred animals or artificially propagated plants. • The registration by State Authorities of live specimens of selected exotic mammals, birds and reptiles species listed in CITES Appendix I and II is required. 	<ul style="list-style-type: none"> • <i>Act No. 346/2009 Coll. on Protection of Nature and the Landscape (amending Act No. 100/2004 Coll.)</i>, known as the Act on trade in endangered species (in force since 01/01/10) • <i>Implementing Decree No. 210/2010 Coll.</i> (in force since 10/07/10)
DE	<ul style="list-style-type: none"> • Trade • Taking • Possession • Transport 	<ul style="list-style-type: none"> • For CITES-listed species stricter domestic measures refer to taking, possession and other restrictions. • Legal protection applies to species listed in Annexes A and B of the EU Regulations, species listed in Annex IV of the Habitats Directive, European bird species protected under the Birds Directive, native species, and specially protected species under national law. The selling and commercial use of other protected species not covered by the EU Regulations is banned. • The removal and disturbance of all native wild species is prohibited, as well as the possession of specially protected species. • The keeping of vertebrates belonging to specially protected species is only permitted for certain species and if the keeper is able to keep them in proper and safe conditions. • Anyone in possession of live or dead specimens of protected animal or plant species, or of their parts or derivatives, is required to provide evidence of legal acquisition. In addition, stricter reporting and book-keeping obligations apply for those who acquire, handle, process or trade animals or plants of specially protected species for commercial purposes. • Marking obligations apply to specially protected species. • Special provisions and restrictions apply to the breeding, keeping and training in the wild of hybrids of birds of prey and to the keeping, transfer and sale of live animals of certain alien invasive species. • There are a number of additional stricter measures for non-CITES listed species, including prohibitions on marketing and additional reporting and book-keeping obligations. 	<ul style="list-style-type: none"> • Revised version of the <i>Federal Nature Conservation Act</i> – Art. 44, 46, 54 (in force since 01/03/10) • <i>Federal Game Conservation Ordinance</i> – Art. 3 • <i>Federal Ordinance on the Conservation of Species</i> – Art. 3, 6, 7, 8 ff., 12 ff., Annex 1
DK	<ul style="list-style-type: none"> • Trade • Taking • Possession • Transport 	NA	

EU MS	Stricter conditions/prohibitions	Further information on key measures	Related legislation
EE	<ul style="list-style-type: none"> • Possession 	NA	
EL	<ul style="list-style-type: none"> • Trade • Taking • Possession 	<ul style="list-style-type: none"> • Endangered species of indigenous flora and endemic, migratory and sedentary wild fauna require permits under relevant acts of the Administration of “non-CITES species” • Greek Forestry legislation includes separate provisions for species found in protected areas - collection, eradication, removal or destruction of wild flora and fauna species is prohibited in these areas. • Import, export, possession and keeping of live animal species listed in Annex A and Appendix I are prohibited when the purpose of the aforementioned actions is either the trade or distribution in the Greek market for personal purposes, or the possession and keeping for personal purposes. 	
ES	<ul style="list-style-type: none"> • Trade • Taking • Possession • Transport 	<ul style="list-style-type: none"> • There are stricter regulations at the regional level (enacted by the Autonomous Communities) for the taking and possession of some native species. 	
FI	<ul style="list-style-type: none"> • Trade • Taking • Possession 	<ul style="list-style-type: none"> • Possession and trade of certain species listed in the EU Habitats and Bird Directives is prohibited (or strictly regulated). • Taking and possession of animal and plant species protected under the <i>Nature Conservation Act</i> is generally prohibited. • Taking and possession of dead animal specimens of species protected under the <i>Nature Conservation Act</i> is either prohibited or regulated by permits. • The import of whale meat products is prohibited by law, as well as the taking of whales, including for Finnish vessels. 	<ul style="list-style-type: none"> • <i>Nature Conservation Act</i>
FR	<ul style="list-style-type: none"> • Trade • Taking • Possession • Transport 	<ul style="list-style-type: none"> • Trade, taking, possession and transport of protected species native to France (including overseas territories) and the EU is prohibited. • Depending on the species (rare, protected, dangerous, CITES-listed), the activity (exhibit, sale, breeding) and the number of specimens, possession requires either simple or dual authorization at the prefectural level (the technical qualifications of the facility’s director as well as the suitability of the facility needs to be officially approved). Species listed in Annex A and protected by National Law must be marked. • Special requirements apply for the marking of skins of Crocodylia species. 	<ul style="list-style-type: none"> • <i>L411 Code of environment</i> • “<i>Arrêtés ministériels</i>” by zoological classes • <i>Arrêtés du 10/08/2004</i> • <i>Arrêté du 8/11/2010 relatif à la procédure de marquage des flancs entiers et des peaux de crocodiliens prévue par la convention sur le commerce international des espèces de faune et de flore sauvages menacées d’extinction</i>
HU	<ul style="list-style-type: none"> • Trade • Possession • Transport 	<ul style="list-style-type: none"> • Taking from the wild, possession of, and trade in specimens of native protected species is prohibited by the <i>Act on Nature Conservation</i>. • The marking, registration and documentation of all specimens from vertebrate species listed in Annex A of the EU Regulations and all live specimens of mammals, birds (with certain exemptions) and tortoises species listed in Annex B to the EU Regulations is required. These specimens must be individually marked and accompanied by a breeding certificate if the specimen was bred in captivity in Hungary or a document that verifies the origin for animals that were introduced from outside of Hungary. Keeping of specimens is prohibited without these documents. • Keeping of apes is prohibited for private persons. Those who keep other primates are required to fulfil the minimum keeping standards set by the relevant regulation on zoos and keeping of zoo animals. • Keeping of seal products of CITES-listed species is prohibited. 	<ul style="list-style-type: none"> • <i>Act on Nature Conservation</i> • <i>Government Decree No. 292/2008 (XII. 10.) on the specific rules of the enforcement of international and European Community legal acts regulating the international trade in endangered species of wild fauna and flora</i>
IE	<ul style="list-style-type: none"> • Trade • Taking • Possession 	NA	

EU MS	Stricter conditions/prohibitions	Further information on key measures	Related legislation
IT	<ul style="list-style-type: none"> Trade Taking Possession 	NA	
LT	<ul style="list-style-type: none"> Trade Possession 	<ul style="list-style-type: none"> The commercial use of species listed in Annex A to the EU Regulations is prohibited. Since 1 Sept 2009, it is prohibited to keep in captivity a number of species. Exemptions apply to zoos and scientific institutions which have a license. Trade in animal and plant specimens as well as their parts/derivatives listed in Lithuanian Red Data Book, CITES Appendices and Annexes to the EU Regulation is prohibited without a permit issued by the Regional Environmental Protection Departments. Permits are needed for all imported and exported wild animals (for non-CITES-listed species - simplified permit forms). 	<ul style="list-style-type: none"> <i>Rules on Trade in Protected Wild Flora Species and Rules on Trade in Wild Animals (amended in Jan 2010)</i> <i>Governmental Resolution No. 261 of 20 Feb 2002 on implementation of CITES convention and Council Regulation No 338/97 was amended: Governmental Resolution No. 68 of 20 Jan 2010</i>
LU	No stricter domestic measures		
LV	<ul style="list-style-type: none"> Trade Taking Possession Transport 	NA	
MT	<ul style="list-style-type: none"> Trade Possession 	<ul style="list-style-type: none"> Stricter measures apply for the conditions of trade and possession of CITES-listed and non-CITES-listed species, where the SA and/or MA can advise the Minister for the Environment to prohibit the trade (import, export and re-export) and the possession of any species, if in their opinion such trade and possession would endanger the species or related ecosystem or other species of flora and fauna. Anyone who wants to import live specimens of fauna (whether CITES-listed or non-CITES-listed) from outside the EU requires an import license. This license is issued by the Trade Services Directorate following consultation with the SA. 	<ul style="list-style-type: none"> <i>Trade in Species of Fauna and Flora Regulations, 2004</i>
NL	<ul style="list-style-type: none"> Trade Taking Possession Transport 	<ul style="list-style-type: none"> In general, stricter measures apply to the conditions for the trade, taking, possession and transport of specimens listed in Annex A of the EU Regulations (source W or F), primates and large felidae, hawks, wild specimens of species listed under the European Bird and Habitat Directive, as well as rhino horns and tiger bones. It is only possible to keep hawks with source code C if accompanied by DNA fingerprints and an exemption for prohibition of possession. There is an obligation to keep a register for all Annex A specimens from all sources; this also applies to birds of Annex B without a seamlessly closed foot ring. Birds listed in Annex A need to be marked conforming to the national law on foot rings, and other vertebrates of Annex A listed species need to be marked conforming to the EU Regulations. 	<ul style="list-style-type: none"> <i>Flora and Fauna Act 1998, amended in 2009 and 2010</i> <i>Animal and Plant Species Designation Order 2002</i> <i>Protected Animal and Plant Species Exemption Order 2002</i> <i>Order of 28 Nov 2000, designating species of flora and fauna under the Flora and Fauna Act</i> <i>Order of 28 Nov 2000 containing rules for the possession and transport of and trade in protected animal and plant species</i> <i>Protected Animal and Plant Species Order (Registration of Possession and Trade)</i> <i>Regulation on the issue and characteristics of closed leg rings and other marks.</i>

EU MS	Stricter conditions/prohibitions	Further information on key measures	Related legislation
PL	<ul style="list-style-type: none"> Trade Taking Possession Transport 	<ul style="list-style-type: none"> The submission of a written declaration of possession to the appropriate District Authority is required for live specimens of species listed in Annexes A and B of the EU Regulations including amphibians, reptiles, birds and mammals, to register the specimens. Zoological Gardens, wildlife traders (e.g. pet shops) and persons/facilities keeping the specimens temporarily for rehabilitation purposes are excluded from this obligation to register but are required to possess documents proving the legal origin of the specimens (e.g. copy of CITES import permit, permit for acquisition from nature, and in case of birth in captivity within Polish territory, a document issued by a district veterinary service, confirming this). Prohibitions referring to harvesting, possessing, transport, sale and purchase apply to all native protected species (including native CITES-listed species). Exemption from these prohibitions requires permission from the General Directorate for Environmental Protection. 	<ul style="list-style-type: none"> <i>Nature Conservation Act of 16 Apr 2004, with further amendments</i>
PT	<ul style="list-style-type: none"> Trade Taking Possession 	NA	
RO	<ul style="list-style-type: none"> Trade Taking Possession Transport 	<ul style="list-style-type: none"> The capture and killing of wild specimens of sturgeon species for commercial purposes was banned for a period of 10 years starting in 2006. (Note: <i>This ban was over-turned in September 2009 when new legislation, allowing sturgeon fishing for purposes other than restocking, was adopted by the Agriculture and Environment Committees of the Romanian Parliament. http://www.panda.org/?180441/Romanians-protestlift-of-sturgeon-fishing-ban.</i>) It is prohibited to possess strictly protected species and other species listed in the CITES Appendices 	<ul style="list-style-type: none"> <i>Order No. 262/330/2006 on conservation of wild sturgeon populations and development of sturgeon aquaculture in Romania</i> <i>Order of the Ministry of Environment no. 1798/2007 for approving the Procedure for issuing the environment authorization</i>
SE	<ul style="list-style-type: none"> Trade Taking Possession Transport 	NA	
SI	<ul style="list-style-type: none"> Trade Taking Possession Transport 	<ul style="list-style-type: none"> The relevant authority must be notified concerning the keeping of live specimens of large mammals, birds and reptiles listed in CITES Appendices I and II, and to guarantee adequate living conditions for them. Permits are required for captive-breeding of CITES-listed species. For the import of plants or animals of non-indigenous species for the purpose of (re-)introduction into the wild, captive breeding or artificial propagation, applicants are required to submit an 'assessment of risk to nature' document with the import application. Permits are required for keeping of indigenous or non-indigenous animal species in captivity with the purpose of public exhibition in zoos, aquariums, terrariums or similar facilities. It is prohibited to keep wild specimens of Falconiformes, Strigiformes and other protected species in captivity. Derogations generally apply to zoos and rescue centres and in exceptional cases. It is prohibited to keep cetaceans in captivity for commercial purposes, including for commercial Dolphinarium and therapeutic programs. Transport, sale, offer for sale and exchange of live or dead wild-taken specimens of protected species is prohibited. Derogations apply in certain cases (e.g. if specimens were legally taken from the wild, imported, seized and confiscated in accordance with the EU Regulations). Permits are required for the acquisition and keeping of confiscated live specimens for commercial purposes. The marking of wild species is required for mammals, birds and reptiles listed in Annex B and which are a) part of a breeding stock, b) protected by a regulation governing the protection of wild animal species and c) selected species of Psittaciformes. For Psittaciformes listed in Annex A, birds of prey and owls, a deposit of samples for molecular and genetic analyses is mandatory. It is prohibited to take, harm, kill or otherwise disturb protected animal or plant species (including some CITES-listed species) 	<ul style="list-style-type: none"> <i>Natural Conservation Act – Art. 17, 18, 19 and 21</i> <i>Order on the living conditions for and care of wild animals kept in captivity – Annex II</i> <i>Rules on the marking of animals of wild species kept in captivity – Art. 20</i> <i>Decree on the course of conduct and protection measures in the trade in animal and plant species – Art. 16 and 29</i> <i>Decree on zoos and similar facilities</i> <i>Decree on protected wild animal species</i>

EU MS	Stricter conditions/prohibitions	Further information on key measures	Related legislation
SI cont.		<ul style="list-style-type: none"> or their habitats and structures. Commercial activities involving specimens of certain protected native species are prohibited. Exemptions are foreseen for specimens which have been legally obtained, captive-bred or artificially propagated or are essential for the advancement of science. It is required to keep records of trade in live specimens of animal species listed in Annexes A or B to the EU Regulations and of other protected animal species. 	
SK	<ul style="list-style-type: none"> Trade Taking Possession Transport 	<ul style="list-style-type: none"> DNA tests are required for possession of the six following native endangered species: <i>Falco peregrinus</i>, <i>F. cherrug</i>, <i>Aquila heliaca</i>, <i>A. chrysaetos</i>, <i>A. pomarina</i> and <i>Accipiter gentilis</i>. Complete prohibition of possession of <i>Trachemys scripta elegans</i>. 	<ul style="list-style-type: none"> Decree No. 449/2009 Coll. amending and supplementing Decree No 110/2005
UK	<ul style="list-style-type: none"> Trade Taking Possession Transport 	<ul style="list-style-type: none"> Any commercial use of raw rhino horns is banned, according to a strict interpretation of the EU Regulations introduced in October 2010. Worked specimens of rhino horn must satisfy strict criteria before any commercial use is allowed. In addition, UK's stricter domestic measures include: <ul style="list-style-type: none"> the prohibition of intentionally killing, injuring, taking from the wild, possessing or having control of certain protected species including Bottle Nosed Dolphins, Common Dolphins and Harbour Porpoises; the prohibition of sale, offer for sale, possession or transport for the purpose of sale of certain protected live non-native species; the prohibition of transport, offer to sell or exchange of any (wild) live or dead cetacean. <p>The complete list of UK's stricter domestic measures can be found at http://animalhealth.defra.gov.uk/cites/cites-species/strictermeasures.html</p>	<ul style="list-style-type: none"> Wildlife and Countryside Act ,1981 Natural Environment and Rural Communities Act 2006 Conservation of Habitats and Species Regulations 2010

- 1) This table aims to provide an overview of domestic measures that are stricter than the EU Regulations.
- 2) In this table, "EU Regulations" refers to the EU Wildlife Trade Regulations as a whole (*Council Regulation (EC) No. 338/97* and *Commission Regulation (EC) No 865/2006*).
Abbreviations: MA – Management Authority, MS – Member States, NA – not available, SA - Scientific Authority
The column "stricter conditions/prohibitions" provides the list of issues selected by MS in question B5 of their Biennial Reports.

ANNEX 5: PERMITS ISSUES AND REFUSED

		Import	Export	Re-export	Other	Total
AT	Issued	4,030	309	6,824	7,390	18,553
BE	Issued	1,942	960	434	8,888	12,224
	<i>Refused</i>	4	0	0	0	4
BG	Issued	305	54	5	26	390
	<i>Refused</i>	4	0	1	2	7
CY	Issued	6	15	0	0	21
CZ	Issued	1,041	413	42	0	1,496
	<i>Refused</i>	0	0	0	21	21
DE	Issued	14,667	3,715	18,534	1,946	38,862
DK	Issued	1,872	551	409	0	2,832
EE	Issued	98	28	6	34	166
EL	Issued	1,634	45	1,997	56	3,732
ES	Issued	5,069	2,138	2,756	462	10,425
	<i>Refused</i>	118	5			123
FI	Issued	235	14	12	380	641
FR	Issued	51,680	3,791	77,898	14,962	148,331
	<i>Refused</i>	65	7	13	67	152
HU	Issued	407	67	9	0	483
IE	Issued	85	4	1	338	428
IT	Issued	12,920	305	84,355	3,914	101,494
	<i>Refused</i>	0	0	0	1	1
LT	Issued	180	31	0	41	252
	<i>Refused</i>	2	0	0	0	2
LU	Issued	0	0	0	0	0
LV	Issued	255	69	16	35	375
	<i>Refused</i>	0	1	0	0	1
MT	Issued	112	37	4	90	243
NL	Issued	4,100	1,086	1,187	3	6,376
	<i>Refused</i>	59	14	4	1	78
PL	Issued	816	26	11	228	1,081
PT	Issued	2,195	228	1,159	8,460	12,042
RO	Issued	348	70	6	0	424
SE	Issued	670	121	22	0	813
	<i>Refused</i>	6	1	1	0	8
SI	Issued	254	54	65	3	376
SK	Issued	380	49	35	584	1,048
	<i>Refused</i>	1	0	0	9	10
UK	Issued	143,809	3,974	14,889	54,891	217,563
	<i>Refused</i>	400	20	108	568	1,096
Total	Issued	249,110	18,154	210,676	102,731	580,671
	<i>Refused</i>	659	48	127	669	1,503

ANNEX 6: ABBREVIATIONS

COG	CITES Officers Group
COP	Conference of the Parties
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
DfID	Department for International Development
DEFRA	Department for Environment Food and Rural Affairs
EU	European Union
EC	European Community
EU-TWIX	EU Trade in Wildlife Information eXchange
HLG	High Level Group
ICPO	International Crime Police Organisation (Interpol)
IUCN	International Union for the Conservation of Nature
JLG	Joint Liaison Group
MA	Management Authority
NGO	Non-Governmental Organization
NWCU	National Wildlife Crime Unit
PAW	Partnership for Action against Wildlife Crime
SA	Scientific Authority
UKBA	United Kingdom Border Agency
WCO	Worlds Customs Organisation

Country codes

AT	Austria	IT	Italy
BE	Belgium	LT	Lithuania
BG	Bulgaria	LU	Luxembourg
CY	Cyprus	LV	Latvia
CZ	Czech Republic	MT	Malta
DE	Germany	NL	Netherlands
DK	Denmark	PL	Poland
EE	Estonia	PT	Portugal
EL	Greece	RO	Romania
ES	Spain	SE	Sweden
FI	Finland	SI	Slovenia
FR	France	SK	Slovakia
HU	Hungary	UK	United Kingdom
IE	Ireland		

ANNEX 7: BIENNIAL REPORT QUESTIONS RELATED TO IMPLEMENTATION OF THE EU ENFORCEMENT ACTION PLAN

EU EAP Recommendations		Related BR Question
<u>To increase enforcement capacity</u>		
II.a	Adopt national action plans for coordination of enforcement; these should have clearly defined objectives and time frames, and should be harmonised and reviewed on a regular basis	C20
II.b	Ensure that all relevant enforcement agencies have adequate financial and personnel resources for the enforcement of Regulations (EC) No 338/97 and that they have access to specialized equipment and relevant expertise	C21, D4.2, D4.6/4.7, D6.1, D8.1
II.c	Ensure that penalties for infringements of Regulation (EC) No 338/97 act as a deterrent against wildlife trade crime , in accordance with settled case law of the Court of Justice, are consistent as to their application and, in particular, that they take into account <i>inter alia</i> the market value of the specimens, the conservation value of the species involved in the offence and the costs incurred;	B9b, C2, C9b, C22
II.d	For the purpose of II.c, carry out training or awareness raising activities for enforcement agencies, prosecution services and the judiciary	C23, D6.2
II.e	Ensure that all relevant enforcement agencies have access to adequate training on Regulation (EC) No 338/97 and on identification of species	C23, D6.2
II.f	Ensure the provision of adequate information to the public and stakeholders with a view, in particular, to raising awareness about the negative impacts of illegal wildlife trade	D4.10
II.g	In addition to checks at border-crossing points required under Regulation (EC) No 338/97, ensure in-country enforcement , in particular through regular checks on traders and holders such as pet shops, breeders and nurseries	C1, C24
II.h	Use risk and intelligence assessments systematically in order to ensure thorough checks at border-crossing points, as well as in-country	C25
II.i	Ensure that facilities are available for the temporary care of seized or confiscated live specimens and mechanisms are in place for their long-term re-homing, where necessary	B8, C10, C19, C26
<u>To increase co-operation and information exchange</u>		
III.a	Establish procedures for co-ordinating enforcement among all relevant national authorities through, <i>inter alia</i> , the establishment of inter-agency committees as well as memoranda of understanding and other inter-institutional cooperation agreements	D7.1-D7.5
III.b	Facilitate access for relevant enforcement officers to existing resources, tools and channels of communication for the exchange of information relating to the enforcement of Regulation (EC) No 338/97 and CITES, so that all relevant information is made available to enforcement officers at all levels, including front line staff	C21, D4.2, D4.6/4.7, D6.1, D8.1
III.c	Appoint national focal points for the exchange of wildlife trade information and intelligence	D3.6
III.d	Share relevant information about significant trends, seizures and court cases at the regular meetings of the Enforcement Group as well as intersessionally	
III.e	Co-operate with relevant enforcement agencies in other Member States on investigations of offences under Regulation (EC) No 338/97	C12/13, C27
III.f	Use the means of communication, coordination and know-how of the European Anti-fraud Office in co-ordinating investigations at Community level	n/a
III.g	Exchange information on penalties for wildlife trade offences to ensure consistency in application	
III.h	Assist in capacity building for application of the Regulation (EC) No 338/97 in other Member States including through training programmes and by sharing training manuals and materials	D6.3
III.i	Make available to other Member States existing awareness-raising tools and material aimed at the public and stakeholders	n/a
III.j	Assist other Member States with the temporary care and long-term re-housing of seized and confiscated live specimens	C28
III.k	Liaise closely with CITES Management Authorities and law enforcement agencies in source, transit and consumer countries outside of the Community as well as the CITES Secretariat, ICPO Interpol and the World Customs Organisation to help detect, deter and prevent illegal trade in wildlife through exchange of information and intelligence	C11, C29
III.l	Provide advice and support to CITES Management Authorities and law enforcement agencies in source, transit and consumer countries outside of the Community to facilitate legal and sustainable trade through correct application of procedures	C30, D7.9/7.10
III.m	Support capacity-building programmes in third countries in order to improve implementation and enforcement of CITES, <i>inter alia</i> , through Development Co-operation funds and in the framework of a future "Aid for Trade Strategy".	n/a
III.n	Foster inter-regional collaboration to combat illegal wildlife trade <i>inter alia</i> by building links with other regional and subregional initiatives	n/a

