

ENHANCED MANAGEMENT AND ENFORCEMENT OF ETHIOPIA'S PROTECTED AREA ESTATE PROJECT

REPORT ON CITES CAPACITY BUILDING TRAINING (October 5 -11, 2019)



Bishoftu, Ethiopia

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1. Introduction

The Convention on International Trade in Endangered Species aims to regulate and monitor the international trade in selected species of plants and animals to ensure that it does not endanger the survival of populations in the wild.

Ethiopia has been a party of CITES since the year 1989. The Ethiopian Wildlife Conservation Authority (EWCA) together with other partners has been designated as the CITES management and Scientific Authority. The wildlife research and monitoring directorate under EWCA together with the Addis Ababa University are particularly responsible for the Scientific Authority whereas the Wildlife Utilization and Market Development Directorate together with the Wildlife Illegal Trade and Trafficking Control Directorate under EWCA are responsible for the management authority. Ethiopia has about 185 animal species and 254 plant species are CITES listed appendix species.

Even if various drawbacks and capacity limitations exist, Ethiopia as a party of CITES has been implementing the convention. The Ethiopian Wildlife Conservation Authority together with its partners particularly with the GEF/UNDP project within the organization is striving to strengthen the institutional capacity. A number of gaps have been identified with regard to implementing CITES in an efficient manner. Some of the gaps include;

- Institutional capacity limitation in the overall working procedures of CITES
- Poor coordination and exchange of information between the management and scientific authorities
- Inconsistent reporting and communication on export permits
- Poor involvement of relevant stakeholders
- Lack of trust on quota setting and making of incorrect decisions

2. Objectives

- To create a general understanding of the overall global goals and implementation of CITES to the management authority (MA) and scientific authority (SA),
- To learn lessons how other better performing parties implement CITES and how that can be adopted by Ethiopia,
- To discuss the roles and responsibilities of both the MA and SA,

- To enhance the understanding and participation of other partners and key stakeholders on implementation of CITES in Ethiopia,
- To strengthen the coordination of the SA and MA,
- To discuss the gaps of implementing CITES in Ethiopia and advice to improve accordingly.

3. Deliverables and Expected Outcomes

- Clarity will be created on how CITES can be implemented in a proper manner in Ethiopia
- Both the SA and MA will have a clear understanding on how to coordinate through establishing a platform for exchange information and evaluating their achievements on timely basis
- A total of 15 staff from the MA and SA will be trained on basic capacity building of CITES implementation

Expected outcomes

- Improvement in the institutional capacity and enhanced coordination of the SA and MA will be achieved
- Overall implementation of CITES in Ethiopia will be improved significantly

4. The Training Approach

4.1 Training Participants

Total expected number of participants = 36

- *Representatives of CITES MA and SA (Ethiopian Wildlife Conservation Authority and other stakeholders)*
- *Representatives of relevant enforcement Authorities (Customs, police)*
- *Representatives from Illegal Wildlife Trafficking Steering Committee*
- *Representatives of the regional taskforces for illegal wildlife trafficking*
- *A representative from the Attorney General*
- *A representative from ministry of Foreign Affairs*

- *A representative from Ethiopian Biodiversity Institute*
- *A representative from Ethiopian Airlines*
- *Representatives from selected protected areas*

4.2 Training Outline

4.2.1 Opening ceremony

Most of the training participants arrived on the first day of the training on 7th October, 2019 to the training venue Bishoftu, Adulala Resort Hotel. The training has been officially opened by Mr Kumara Wakjira, the director general of the Ethiopian Wildlife Conservation Authority. On the opening remark he convened important points why we need this capacity building training. In general even if Ethiopia has ratified the convention since the year 1989, the capacity of the CITES authorities has been very weak to the extent that it has been implemented by one department only. Finally he stipulated his expectations from the training as capacity improvement of our organization and the relevant stakeholders who are participating on this training.

4.2.2 General introduction to CITES

CITES (the Convention on International Trade in Endangered Species of Wild Fauna and Flora) is an international agreement between governments. Its aim is to ensure that international trade in specimens of wild animals and plants does not threaten their survival.

Widespread information nowadays about the endangered status of many prominent species, such as the tiger and elephants, might make the need for such a convention seem obvious. But at the time when the ideas for CITES were first formed, in the 1960s, international discussion of the regulation of wildlife trade for conservation purposes was something relatively new. With hindsight, the need for CITES is clear. Annually, international wildlife trade is estimated to be worth billions of dollars and to include hundreds of millions of plant and animal specimens. The trade is diverse, ranging from live animals and plants to a vast array of wildlife products derived from them, including food products, exotic leather goods, wooden musical instruments, timber, tourist curios

and medicines. Levels of exploitation of some animal and plant species are high and the trade in them, together with other factors, such as habitat loss, is capable of heavily depleting their populations and even bringing some species close to extinction. Many wildlife species in trade are not endangered, but the existence of an agreement to ensure the sustainability of the trade is important in order to safeguard these resources for the future. Because the trade in wild animals and plants crosses borders between countries, the effort to regulate it requires international cooperation to safeguard certain species from over-exploitation. CITES was conceived in the spirit of such cooperation. Today, it accords varying degrees of protection to more than 35,000 species of animals and plants, whether they are traded as live specimens, fur coats or dried herbs.

CITES was drafted as a result of a resolution adopted in 1963 at a meeting of members of IUCN (The World Conservation Union). The text of the Convention was finally agreed at a meeting of representatives of 80 countries in Washington, D.C., the United States of America, on 3 March 1973, and on 1 July 1975 CITES entered in force. The original of the Convention was deposited with the Depositary Government in the Chinese, English, French, Russian and Spanish languages, each version being equally authentic. CITES is an international agreement to which States and regional economic integration organizations adhere voluntarily. States that have agreed to be bound by the Convention ('joined' CITES) are known as Parties. Although CITES is legally binding on the Parties – in other words they have to implement the Convention – it does not take the place of national laws. Rather it provides a framework to be respected by each Party, which has to adopt its own domestic legislation to ensure that CITES is implemented at the national level. For many years CITES has been among the conservation agreements with the largest membership, with now 183 Parties.

[4.2.3 How CITES works](#)

CITES works by subjecting international trade in specimens of selected species to certain controls. All import, export and re-export of species covered by the Convention has to be authorized through a licensing system. Each Party to the Convention must designate one or more Management Authorities in charge of administering that licensing

system and one or more Scientific Authorities to advise them on the effects of trade on the status of the species.

4.2.4 Illegal Wildlife trade and trafficking in Ethiopia

Both the wildlife illegal trade and trafficking are one of the major challenges of wildlife conservation in Ethiopia. A number of wildlife species (both fauna and flora) have been affected by illegal trade. Illegal trade on wildlife takes place in two forms. The first one is live trade such as Cheetah and Lion cubs. The second one is the trade on wildlife products and this is preceded by killing of live animals. This is particularly severe in the case of Elephants in all parts of the country.

On the other hand as part of the illegal trade, trafficking on wildlife and their products take place in all corners of the country. This is particularly a big challenge in the eastern and northern part of the country which the traffickers use these areas as an export hub. The source of the wildlife and products can also be from other countries such as Kenya, South Sudan and Uganda.

4.2.5 Implementation of CITES in Ethiopia

Ethiopia has been a party of CITES since the year 1989. The Ethiopian Wildlife Conservation Authority (EWCA) together with other partners has been designated as the CITES management and Scientific Authority. The wildlife research and monitoring directorate under EWCA together with the Addis Ababa University are particularly responsible for the Scientific Authority whereas the Wildlife Utilization and Market Development Directorate together with the Wildlife Illegal Trade and Trafficking Control Directorate under EWCA are responsible for the management authority. Ethiopia has about 185 animal species and 254 plant species are CITES listed appendix species.

4.2.6 Brief introduction to wildlife laws and policies in Ethiopia

Ethiopia's relatively vast land area of some 1.12 million km², boasts huge variation in topography and climate. Indeed her lands soar from the heights of 4543m asl on the peak Ras Dajen down to the hot baking plains of the Danakil depression, some 116m

below sea level. In between Ethiopia's Great Plains sit atop two massive highland plateaus cloven by the Great Rift Valley. These highland plateaux, cut by deep gorges and 12 major river valleys, dominate much of the interior of Ethiopia.

The differences in altitude, topography and distance from the ocean cause massive variation in rainfall, humidity and temperature and have created the ten ecosystem types of Ethiopia, from cool afroalpine to evergreen montane forests, to dry desert scrubland. Ethiopia is consequently endowed with a diverse suite of biological resources and the isolation of its mountain and desert areas has given rise to numerous endemic species of flora and fauna found nowhere else on Earth.

To support the conservation of this rich wildlife resource, over 70 Protected Areas (PAs) of different categories have been created over the last five decades. There are strong reasons to conserve these rich wildlife resources from many aspects, not just from ethical, moral and aesthetic perspectives, but also because they improve human wellbeing and contribute to Ethiopia's development through the provision of ecosystem services such as water and carbon storage, soil and natural resources. The mission of the Ethiopian Wildlife Conservation Authority (EWCA) is to scientifically conserve and manage Ethiopian wildlife and its' habitats in collaboration with communities and stakeholders for the ecological, economic and social benefits of the present generation, and pass to the next generation as a heritage. However, the government institution, EWCA, is now about a decade old and still has much institutional growth to attain.

On the other hand, there are a range of opportunities to improve wildlife Conservation in Ethiopia and pertinent wildlife related legal frameworks has been issued and implemented. Ethiopia is party to significant number of international conventions that are vital in ensuring global efforts in wildlife conservation. Some of the international conventions ratified by Ethiopia include Convention on Biological Diversity (CBD), World Heritage Convention (WHC), Nagoya Protocol, CITES, Agreement on the Conservation of African-Eurasian Migratory Waterbirds (AEWA), Convention on Migratory Species

(CMS) and United Nations Convention against Transnational Organized Crime (UNCTOC).

It has various policies and laws at Federal level that address wildlife protection and wildlife crime. There are several policies and strategies for biodiversity conservation in Ethiopia. Various conservation related policies and strategies adopted by the Federal Government include Conservation Strategy of Ethiopia (1997); the Environmental Policy (1997); the National Biodiversity Strategy and Action Plan (2005); the Tourism Development Policy (2009); the Forest Policy and Strategy (2006); and the Wildlife Policy and Strategy (2005). All these policies and strategies are integrated to contribute to the national vision of the country - *“To see Ethiopia become a country where democratic rule, good governance and social justice reign through the involvement and free will of its people thereby become a middle-income country and carbon-neutral economy by 2025”*.

According to the Constitution of the Federal Democratic Republic of Ethiopia (FDRE) 1/1995, Article 51/5, the mandate or power to promulgate laws regarding the conservation and utilization of land, natural resources and historical heritages was entrusted to House of People’s Representatives and included under the power and duties of the Federal Government, accordingly, Proclamation No. 541/2007 and Proclamation No. 575/2008 were proclaimed (Negaret Gazzeta, 2007 Proclamation No.541/2007; Negaret Gazzeta, 2008 Proclamation No.575/2007).

The existing legal regimes address significant focus areas of the sector. However, considerable gaps and challenges have encountered in the course of implementing the wildlife legal frameworks. It was therefore necessary to examine the potential barriers to effectively apply the wildlife legal regimes taking into account unfilled situation on the ground. In this sprit, this gap analysis study was undertaken and it is believed to address the main gaps as well as challenges associated with the existing legal framework. In turn, the findings of the study will be used as potential input to review the existing wildlife legal regimes. Moreover, the document will further motivate and help the decision makers and the wildlife law enforcement bodies of Ethiopia to provide an enabling environment for efficient review and execution of conservation related policies and laws.

4.2.7 Status of CITES Implementation and capacity needs in Ethiopia

As stated before, Ethiopia has been the party of CITES since the year 1989. The Ethiopian Wildlife Conservation Authority (EWCA) is the implementing agent for CITES. The management authority is in EWCA and it is the wildlife development and utilization directorate. This part of the training has been presented by Dr Fanuel and Mrs Elfines Woldeyes. Even if the Addis Ababa University has been assigned as the Scientific Authority of CITES, nothing was done so far. The tasks of both the management and scientific authority has been performed by one directorate in EWCA.

The wildlife development and utilization department is performing the following tasks in terms of implementing CITES;

- a) Issue permits and certificates :- Prior to Issuance of Certificate we make sure the fulfillment of health certificate and result of the analysis of the product (eg Civet Musk)

The image shows a CITES Permit/Certificate form from Ethiopia. The form is titled 'CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA' and 'PERMIT / CERTIFICATE No.'. It includes fields for '3. Importer (name and address)', '4. Exporter (name and address)', '5. Name, address, national authority and authority of Management Authority, ETHIOPIAN WILDLIFE CONSERVATION AUTHORITY', and '6. Species, scientific name, authority, date, sex, age, etc.'. The form also has a section for '7. Country of origin' and '8. Country of destination'. A large yellow star watermark is visible in the center of the form.

- b) Communicate with the CITES secretariate and other parties
 - We submit the yearly export report to the CITES Secretariat
 - Submit quota approval request for the coming year
 - We give response for verification requests from other parties for CITES listed species on the way to the destination/ Importing country
- CITES listed Animal and Plant species Identified for Exportation

SN	Taxonomic group	Appendix I	Appendix II	Appendix III	Total
1	Mammals	6	24	4	34
2	Birds	3	117	NA	120
3	Amphibians	2	21	NA	23
4	Reptiles	1	1	NA	2
5	Plants	0	127	NA	127
Total					306

i. Live animals and their products

- Live trade
- Trophy
- Musk



ii. Plants and their products

- Ornamental plants (eg Cactus spp.)
- Oil extracts from plants



4.2.8 Ethiopian CITES Authorities

- International wildlife/products trade is well regulated based on CITES rules
- Huntable species are hunted based on annual off take quota
- Hunting quota is set every three years, through field count and population estimate for all CITES and non-CITES species.
- Field survey and setting off take is performed based on quota setting guidelines
- Hunting of CITES species is done based on annual quota setting submitted to the secretariat and obtained approval and permission of CITES Secretariat to do so
- Concessionaires officially informed his annual off take and all CITES procedures while hunting and exporting
- Trophy Hunting is carried out with close follow up, hunters escorted by Federal and Regional wildlife rangers.
- Trophies and all wildlife products accompanied by health certificate and export permit
- Export permit is accompanied by CITES permit certificate (all indicate country of origin, destination, purpose of export,)
- Ethiopia is in an excellent position in the implementation of CITES
- Control of illegal wildlife trafficking
- Awareness creation, at all levels (customs, police at export gates, Judiciaries)
- Participation in CITES COP increased
- Become proponent of species proposals in listing under CITES appendix or up listing
- Actively participating being standing committee member, chair, developing documents, and voting on every matters on COP meeting, side events and working groups

4.2.9 Gaps in CITES implementation

- Weak coordination between scientific and management authorities
- High demand of international trade and Poaching of CITES species Lack of capacity
- Inadequate information and knowledge about CITES species and CITES convention
- Inadequate Skilled human resource
- Lack of proper updating of CITES species

- Lack of preparing own documents for listing, up listing or down listing of species prone to trade.
- Budget constraint and lack of logistics
- Lack of sectoral integration

4.3 Use of CITES Trade database

The CITES Trade Database, managed by the UNEP World Conservation Monitoring Centre (UNEP-WCMC) on behalf of the CITES Secretariat, is unique and currently holds over 13 million records of trade in wildlife and over 34,000 scientific names of taxa listed in the CITES Appendices. Around a million records of trade in CITES-listed species of wildlife are currently reported annually and these data are entered into the CITES Trade Database (an Oracle relational database) as soon as they are received by UNEP-WCMC. CITES annual reports are the only available means of monitoring the implementation of the Convention and the level of international trade in specimens of species included in the CITES Appendices.

The CITES Trade Database can be queried and data downloaded from the CITES website (www.cites.org) or the UNEP-WCMC website (<http://unep-wcmc.org/citestrade>).

Important note:

The CITES Secretariat has created on its website a forum for users of the CITES Trade Database. Any user is welcome to join this forum to exchange comments or queries on this tool. It is possible to register on this page: <http://www.cites.org/forum/forum.php>.

4.4 Overview of the roles of CITES Authorities

4.4.1 Two main roles of MA:

- National level: e.g. grant permits and certificates under the Convention;
- International level: Communicate with the Secretariat and the other Parties on behalf of the country

4.4.2 Tasks of the MA

- Representing the Party
- Education and Information
- Co-ordination with other government departments

- Communication with traders, NGOs and the public
- Co-ordination with the National Central Bureau of Interpol
- Issuance of permits and certificates
- Preparation of proposals for the Conference of the Parties
- Preparation and circulation of official information on CITES
- Training
- Enforcement
- Co-ordination with the CITES Secretariat
- Preparation of Annual and Biennial Reports
- Communication with the Scientific Authority

4.4.3 Roles of Scientific Authorities (SA)

The two main roles of the SA are;

- The Scientific Authority has an important role that is essential for the effective implementation of CITES, namely to advise the Management Authority whether export of specimens would be detrimental to the survival of the species in the wild
- The Scientific Authority also advises the Management Authority on any other scientific matters

4.4.4 Tasks of the Scientific Authority;

- Determination that the export of specimens of species included in Appendices I and II is not detrimental to their survival
- Determination that the purpose of the import of specimens of a species included in Appendix I is not detrimental to its survival
- Determination whether the intended recipient of live Appendix-I specimens is suitably equipped to house and care for them
- Determination whether introduction from the sea would be detrimental to the survival of the species involved

- Monitor export permits granted and actual exports to ensure that the species is maintained at a level consistent with its role in the ecosystems in which it occurs, and to avoid an Appendix-I listing
- Provide advice as to whether or not scientific institutions seeking registration meet the criteria established in the CITES resolution
- Review applications submitted under Article VII, paragraphs 4 or 5 (is the facility capable of captive breeding or artificial propagation?)
- Gather and analyze information on the biological status of species affected by trade to assist in the preparation of proposals to amend the Appendices
- Review proposals to amend the appendices submitted by other Parties
- Before making a decision on the disposal of confiscated live specimens, the Management Authority must consult with and obtain advice of its own Scientific Authority
- Interpretation of listings
- Consultation with the Animals or Plant Committees as appropriate
- Identification of nomenclatural issues that may warrant further review by the appropriate CITES committee and preparation of proposals to amend the Appendices if appropriate
- Support and cooperation in the development and maintenance of checklists
- Identification of specimens
- Determining the national status of CITES species
- Working with the Animals and Plants Committees of CITES

4.4.5 Enforcement-related authorities

The enforcement related authorities control the illegal trade through implementation of the national wildlife policies, strategies and legislations. They have the role to control illegal trade and trafficking within the country and the border points. They work from intelligence to arresting and then prosecution. The enforcement authorities usually work in collaboration with the management authority.

4.4.6 Responsibility of the Party

- Every Party should ensure that when a Scientific Authority is designated, it is in a position to carry out all of its tasks

- Every Party should provide logistical and financial support to enable its Scientific Authorities to do their work

4.5 Management of CITES (1) - CITES permit procedures

4.5.1 What are CITES Appendices?

Appendices I, II and III to the Convention are lists of species afforded different levels or types of protection from over-exploitation.

Appendix I lists species that are the most endangered among CITES-listed animals and plants. They are threatened with extinction and CITES prohibits international trade in specimens of these species except when the purpose of the import is not commercial, for instance for scientific research. In these exceptional cases, trade may take place provided it is authorized by the granting of both an import permit and an export permit (or re-export certificate).

Appendix II lists species that are not necessarily now threatened with extinction but that may become so unless trade is closely controlled. It also includes so-called "look-alike species", i.e. species whose specimens in trade look like those of species listed for conservation reasons. International trade in specimens of Appendix-II species may be authorized by the granting of an export permit or re-export certificate. No import permit is necessary for these species under CITES (although a permit is needed in some countries that have taken stricter measures than CITES requires). Permits or certificates should only be granted if the relevant authorities are satisfied that certain conditions are met, above all that trade will not be detrimental to the survival of the species in the wild.

Appendix III is a list of species included at the request of a Party that already regulates trade in the species and that needs the cooperation of other countries to prevent unsustainable or illegal exploitation. International trade in specimens of species listed in this Appendix is allowed only on presentation of the appropriate permits or certificates.

Species may be added to or removed from Appendix I and II, or moved between them, only by the Conference of the Parties, either at its regular meetings or by postal

procedures. But species may be added to or removed from Appendix III at any time and by any Party unilaterally.

The names of species in the Appendices may be annotated to qualify the listing. For example, separate populations of a species may have different conservation needs and be included in different Appendices. Such specifications can appear next to the species name or in the Interpretation section. For this reason, the Appendices should always be consulted alongside the Interpretation with which they are presented.

4.5.2 CITES Permit for Regulation of Trade

- CITES regulates international trade in specimens of species of wild fauna and flora listed in its Appendices on the basis of a system of permits and certificates which are issued only when certain conditions are met, and which must be presented when leaving and entering a country
 - For Appendix-II and –III listed species, international trade is permitted but regulated
 - For Appendix-I listed species, international trade is generally prohibited

What is a permit?

- A conditional authorization
- A tangible product, a result of decision-making
- A means to deliver information
- A record of trade
- A conservation tool (the permit system)
- A bureaucratic headache

4.5.3 National management of CITES - Regulation of Trade

The permit system

By Management and Scientific Authorities

- Export permit
- Import permit (Appendix I only)

By Management Authority

- Export permit (Appendix III)

- Re-export certificate
- Certificate of Origin (Appendix III)
- Pre-Convention certificate
- Captive-breeding certificate (for animals)
- Artificial propagation certificate (for plants)

Normal Procedures

- Appendix I import
 - For trade in specimens of Appendix I-listed species, an import permit must be issued before an export permit may be issued
 - This is to ensure that both the importing and exporting Parties agree on the proposed trade before it occurs, and that particular conditions, only to be determined by the importing country, have been met
 - This can be considered as a form of ‘prior informed consent’
 - In every case, the import permit may be issued only if:
 - The purpose of the import will not be detrimental to the survival of the species
 - The proposed recipient is suitably equipped to house and care for any live specimen
 - The specimen is not to be used for primarily commercial purposes
 - Once an import permit is obtained from the Management Authority of the country of import, only then may an export permit be issued by the Management Authority of the country of export
 - In every case, the export permit may be issued only upon presentation of the import permit, and only if:
 - the export will not be detrimental to the survival of the species

- the specimen was acquired in accordance with national wildlife protection laws
 - any live specimen will be shipped in a manner which will minimize the risk of injury, damage to health or cruel treatment
- Appendix I re-export
 - The re-export certificate may be issued only if the specimen was imported in accordance with the Convention
 - In the case of live specimens:
 - the preparation and shipment will minimize the risk of injury, damage to health or cruel treatment
 - a valid import permit was granted by the country of destination
- Appendix II export
 - For export of Appendix II specimens, the Convention requires an export permit only
 - The Convention does not require an import permit, and any requirement by a Party for an import permit for Appendix II specimens is a stricter domestic measure, allowed under the provisions of Article XIV
 - In every case, an export permit may be issued only if:
 - The export will not be detrimental to the survival of the species
 - The specimen was acquired in accordance with the national wildlife legislation
 - Any live specimen will be shipped in a manner which will minimize the risk of injury, damage to health or cruel treatment

- A re-export certificate may be issued only if:
 - The Management Authority of the country of re-export is satisfied that the specimen was imported in accordance with the Convention
 - Any live specimen will be shipped in a manner which will minimize the risk of injury, damage to health or cruel treatment
- Appendix III export
 - For export from the country that included the species in Appendix III, an export permit is required and may be issued only if:
 - The Management Authority is satisfied that the specimen was acquired in accordance with national wildlife laws
 - Any live specimen will be shipped in a manner which will minimize the risk of injury, damage to health or cruel treatment
 - For export from countries that did not include the species in Appendix III a certificate of origin is required
 - This may only be issued by a Management Authority of the country of origin
- Appendix III re-export
 - A re-export certificate may be issued only if:
 - The Management Authority is in possession of the valid original of the export permit or certificate of origin, or the previous re-export certificate
 - The import was in accordance with the Convention
 - The re-export certificate must clearly indicate whether the specimen was processed in the State which is issuing the document

4.6 How to use the online Checklist of CITES species?

4.6.1 The CITES species

Roughly 5,800 species of animals and 30,000 species of plants are protected by CITES against over-exploitation through international trade. They are listed in the three [CITES Appendices](#). The species are grouped in the Appendices according to how threatened they are by international trade. They include some whole groups, such as primates, cetaceans (whales, dolphins and porpoises), sea turtles, parrots, corals, cacti and orchids. But in some cases only a subspecies or geographically separate population of a species (for example the population of just one country) is listed. The table below shows the approximate numbers of species that are included in the CITES Appendices as of 2 January 2017*.

	Appendix I	Appendix II	Appendix III
FAUNA			
Mammals	318 spp. (incl. 13 popns) + 20 sspp. (incl. 4 popns)	513 spp. (incl. 17 popns) + 7 sspp. (incl. 2 popns)	52 spp. + 11 sspp
Birds	155 spp. (incl. 2 popns) + 8 sspp.	1278 spp. (incl. 1 popn) + 4 sspp.	27 spp.
Reptiles	87 spp. (incl. 7 popns) + 5 sspp	749 spp. (incl. 6 popns)	61 spp.
Amphibians	24 spp.	134 spp.	4 spp.
Fish	16 spp.	107 spp.	24 spp. (incl. 15 popns)
Invertebrates	69 spp. + 5 sspp.	2171 spp. + 1 sspp.	22 spp. + 3 sspp.
FAUNA TOTAL	669 spp. + 38 sspp.	4952 spp. + 12 sspp.	190 spp. + 14 sspp.
FLORA	334 spp. + 4 sspp.	29644 spp. (incl. 93 popns)	12 spp. (incl. 1 popns) + 1 var.
GRAND TOTAL	1003 spp. + 42 sspp.	34596 spp. + 12 sspp.	202 spp. + 14 sspp. + 1 var.

Any type of wild plant or animal may be included in the list of species protected by CITES and the range of wildlife species included in the Appendices extends from leeches to lions and from pine trees to pitcher plants. While the more charismatic creatures, such as bears and whales, may be the better known examples of CITES species, the most numerous groups include many less popularized plants and animals, such as aloes, corals, mussels and frogs.

This can be found in the CITES website: <https://www.cites.org/eng/disc/species.php>

4.7 What are the exemptions and special procedures?

- a. Transit and transshipment
- b. Preconvention Specimens
- c. Personal and household effects
- d. Captive breed animals and artificially propagated plants
- e. Exchange between registered scientific institutions
- f. Traveling exhibitions (circus, zoo, or plant exhibitions)
- g. Musical instruments
- h. Live animals

4.8 Sustainability of trade and species identification

4.8.1 The CITES Non-Detrimental Finding (NDF)

A scientific assessment or advice by a CITES Scientific Authority that international trade will not be detrimental to the survival of the species concerned.

“In accordance with Articles III and IV of the convention, export permits for specimens of species included in Appendices I and II shall be granted only when a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of the species (following a determination known as ‘non-detriment finding’).

There is no non-detriment requirement for Appendix III listed species (Article V). However, Parties can adopt stricter domestic measures that might entail NDFs for Appendix III.

When is a Non-Detriment Finding (NDF) required?

- Before an export permit or a certificate of introduction from the sea may be granted for a specimen of an Appendix I or an Appendix II-listed species.
- A Non-Detriment Finding on the purpose of import must also be made by the Scientific Authority of the State of import for an Appendix I-listed species.

Who makes a Non-Detriment Finding?

Parties are obligated under CITES to make Non-Detriment Findings. Scientific Authorities are responsible for undertaking a non-detriment finding and for advising Management Authorities of its conclusions. Disposal of Illegally Traded, Confiscated and Accumulated Specimens is the only instance where a NDF may be made by a Management Authority, rather than a Scientific Authority.

A non-detriment finding can take many forms:

- A written advice from the Scientific Authority
- A verbal advice from the Scientific Authority
- A quota agreed by the Scientific Authority for a specific time period
- Quotas may also be agreed by the Conference of the Parties (CoP)

Main considerations for NDFs

- a) Species biology and life history characteristics;
- b) Species range (historical and current);
- c) Population structure, status and trends (from national to international levels);
- d) Threats;
- e) Historical and current levels and patterns of harvest and mortality from all sources combined;
- f) Management measures in place;
- g) Population monitoring; and
- h) Conservation status

4.8.2 Management of export quotas

Quotas are a management tool, used to ensure that exports of specimens of a certain species are maintained at a level that has no detrimental effect on the population of the species; and When advised by a Scientific Authority, quotas effectively meet the requirement to make an NDF for an Appendix I or II-listed species. For Appendix II-listed species, there is also a requirement to ensure that the species is maintained throughout its range at a level consistent with its role in the ecosystems in which it occurs. Note that export quotas should be reviewed annually, in light of possible impacts on species.

4.8.3 Review of Significant Trade

- Failure to institute effective risk assessments and adaptive management schemes in support of non-detriment findings may lead to a process called the Review of Significant Trade – see Resolution Conf. 12.8 (Rev. CoP17).
- Reviews are initiated by the Animals and Plants Committees, who based on an analysis of the trade data, can recommend solutions that must be implemented by the Party concerned within specific timeframes.
- Non-compliance by any Party with the recommendations of these Committees may ultimately lead to a recommendation by the Standing Committee to suspend trade with that Party in specimens of the species concerned.

4.9 CITES Reports

Keeping record of CITES trade transactions (both legal and illegal) is important

There are 4 main types of reporting under CITES:

- i. Annual report
- ii. Illegal trade report
- iii. Implementation report
- iv. Ad hoc reports

Parties are required to maintain records of trade in specimens of species included in App. I, II and III.

- Names & addresses of exporters/importers

- Number and type of permits and certificates granted
- States trade occurred
- Numbers/quantities of specimens
- Types of specimens
- Species names
- Size/sex of the specimens (where appropriate)

Parties are required to prepare annual report containing a summary of the information.

CITES Annual Reports

- Contain records of trade in specimens of species included in App. I, II and III normally in data (table) format
- Deadline: 31 October every year for the previous year's records
- Submitted by the Management Authority
- Failure to submit 3 years in a row may lead to a recommendation to suspend trade (Resolution Conf. 11.17)

App	Species	Trade term code	Description of specimen	Quantity	Unit	Country of export or re export	No. of export permits or re export certificate	Country of origin of re export	No. of original export permit	No. of import permit	Purposes	Source

General principles of preparing annual reports:

- Data in the report should ideally record the actual trade that took place i.e. quantity of specimens that entered or left the country
- If it is not possible, report should record data on permit/certificate issued (exports and re-exports)
- The annual report should state clearly which data was used: permits/certificates issued or actual trade

Annual reports: what happens next?

- Data in the annual reports submitted by Parties are checked for basic errors

- Parties may be contacted for verification (UNEP-WCMC)
- The data are finally added to the CITES
- Trade Database, which is available to the public:
- Basic search on the web and can be downloaded

Recording Illegal (CITES) Trade

Parties are urged to submit an annual illegal trade report covering actions in the preceding year (Resolution Conf. 11.17 (Rev. CoP17))

- ✓ National reference (case) number
- ✓ Date of seizure
- ✓ Species names
- ✓ Description of specimens
- ✓ Numbers/quantities of specimens
- ✓ Location of incident
- ✓ Detection agency & method
- ✓ Reason for seizure
- ✓ Mode of transport
- ✓ Method of concealment
- ✓ Alleged country of origin/transit/destination
- ✓ Estimated value
- ✓ Nationality of offenders
- ✓ Applicable law
- ✓ Sanction(s)
- ✓ Disposal of confiscated specimens
- ✓ Contain seizures and confiscations in
- ✓ specimens of species included in App. I, II and III
- ✓ Normally in data (table) format
- ✓ Deadline: 31 October every year for the previous year's records
- ✓ No compliance measures for failure to submit at the moment
- ✓ Started in 2017

Ethiopia has not yet submitted an annual illegal trade report. Ethiopia's report is required from 2017 (was due 31 Oct. 2018)

- ✓ 2018 report due 31 Oct. 2019
- ✓ To date 56 Parties reported for 2018
- ✓ Submission status is available on the CITES Website

Other types of reports

Implementation report

- ✓ Every 3 years
- ✓ Format available online or in static form
- ✓ Purpose:

Ad hoc reports

- ✓ Usually species- or subject-oriented
- ✓ specified in Decisions

4.9 Control and compliance

4.9.1 Checking Permits

- Permits should be assessed if it is valid and legally acquired or fake
- Must be original with no alterations
- Valid for six months and one use only
- Checking the security stamp
- Should be prepared by management authority
- Permit documents must comply with standard requirements
- Assessment required to ensure if the right species, purpose and source described in the permit

4.9.2 Other CITES enforcement tools

- Handbooks and manuals
 - ICCWC Wildlife and Forest Crime Analytic toolkit

- Green Customs Guide
- Videos and fact sheets
 - International Illegal Trade in Asian Big Cats: A guide for enforcement officers
- Law enforcement material
 - Wildlife smuggling concealment - case study handbook.
 - Questioning Wildlife Smugglers - A technique for investigating wildlife crime
 - Controlled deliveries - A technique for investigating wildlife crime.

*Incase of suspicious permits border officers should seize the specimen, contact the management authority and then contact the CITES secretariat.

4.9.3 Tasks of the Border Agency

- Checking/validating permits
- Seizing unpermitted CITES Specimens
- Surveillance
- Outreach
- Dealing with live specimens
- Disposal
- Gathering intelligence, evidence, recording
- Cross-agency collaboration national/international

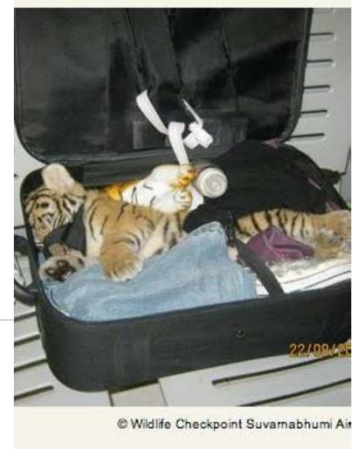


4.9.4 Border officers;

- Develop standard border procedures
- State powers of officers clearly in legislation
- Enable easy access to reference materials
- Conduct regular training

4.9.5 Search & Surveillance techniques

- ✓ X-ray
- ✓ Unusual, suspicious activity
- ✓ Border alerts



- ✓ INTERPOL notices
- ✓ Local intelligence source
- ✓ Random searches
- ✓ Knowledge base of border officers
- ✓ Planned inter-agency operations

4.9.6 Customs, police, border control

Role of Police;

- ✓ Support border agencies; member of enforcement group/task force
- ✓ Prepare prosecution cases
- ✓ Assist with search warrants and arrests
- ✓ Intelligence gathering
- ✓ Inter-country and inter-agency cooperation and intelligence-sharing

4.9.7 Judiciary and Prosecution

Roles of Judiciary;

- Importance of CITES and increasing levels of illegal wildlife trade
- Impose a sufficient level of fines and penalties to act as deterrent
 - Trade without permit
 - Possession of illegal import/export
 - Failure to comply with permit condition
 - False statement, Etc.

4.10 Disposal of confiscated specimens

4.10.1 For confiscated live specimens, Parties must take measures to:

- Return the specimen to the State of export, or
- Placed in a designated rescue centre
- MA must consult and obtain advice of SA (both own country and State of export or origin) and experts before making a decision on the disposal of confiscated live specimens
- SA must take note of guidelines in the Resolution
- Inform Secretariat (App. I or large quantities of App.II)
- priority to the care of wild-collected specimens of App.I/II

- Parties make legislative provision to require the importer and/or the carrier to meet the cost of
- confiscation, custody, storage, destruction or other disposal
- Returning, re-exporting , If no legislation, and if the country of origin or last re-export wishes to be returned, that country must cover the cost of return.

4.10.2 Disposal Planning

- MA, in consultation with SA and others, to develop action plans to deal with seized and confiscated live specimens.

Keeping updated

- Check or issue CITES Notifications for:
 - Change in permit format
 - Security stamps (omission of)
 - Fraudulent and stolen permit
- Check CITES online forum for example of permit (MA only)

4.11 Field Visit to the Holeta Wildlife Rescue Center managed by Born Free Foundation

On 9th October 2019 the training team went to the Holeta Confiscated Wildlife Rescue Center to learn lessons from the center regarding how animals are confiscated after seizure, reasons of trafficking, and how animals are handled after confiscation.

4.12 Cooperation and Integration for CITES Implementation

4.12.1 Cooperation and communication for improved CITES implementation (1): Internal coordination

- The CITES management, Scientific and enforcement authorities work in collaboration with several national agencies including police, customs, judiciary, defense, transport (e.g airlines). Conservation NGOs, media, relevant local authorities, etc.

4.12.2 Cooperation and communication for improved CITES implementation (2): cooperation with external stakeholders

Cooperation with CITES Secretariat, UN/IGOs, NGOs, transport sector, traders, donors, other governments, etc.

International Consortium for Combatting Wildlife Crime (ICCWC) mission is to strengthen criminal justice systems and provide coordinated support at national, regional and international level to combat wildlife and forest crime to ensure perpetrators of serious wildlife and forest crime will face a formidable and coordinated response.

- Complementary mandates
- Unique pool of knowledge and expertise
- Extensive national and regional law enforcement networks
- Coordinated enforcement support at national and regional levels
- Help authorities fight transnational organised criminal groups and defend their natural resources
- Apply the same tools and techniques used to combat other serious crimes
- Training courses, tools and services available
- Specific tailored training can be developed based on requests/requirements

4.13 Evaluation – next steps

- At the last day of the training the participants have been invited to evaluate the training. The average rate of evaluation has been very good and they commented that it has been more than their expectation. They also recommended continuous similar training to solve capacity limitation with regard to CITE implementation.
- Next to this a closed meeting has been conducted between the trainers from the CITES authority and the National Management, Scientific and Enforcement Authorities. During the discussion Ethiopia's drawback towards CITES implementation has been discussed in detail. The main issue is the weak involvement of the scientific authority (the Addis Ababa University that has been assigned as SA) in the implementation of CITES. On the other hand, the management authority has been doing everything from setting quotas to issuing permits and reporting. During the meeting, this has been considered as wrong modality and has to be corrected as soon as possible. After the brain storming, the CITES authorities and the members of the secretariat agreed up on the following key points;

- i. The Scientific authority is required to start its roles and responsibilities from now onwards
- ii. The management authority should only focus on its own mandates and should not be involved in quota setting,
- iii. Apart from the Addis Ababa university, it is very important to consider additional involvement of the Wildlife Research and Monitoring Directorate in EWCA
- iv. The Addis Ababa university has been advised to focus on long term studies of CITES species particularly on the flora side
- v. The Wildlife Research and Monitoring Directorate of EWCA will have to involve in the quota setting of CITES fauna species and in the regular advise of the management authority
- vi. An overall national assessment of CITES species (both fauna and flora) has been considered very important; to do this financial resources need to be secured.
- vii. Reporting and information exchange among the management, scientific and enforcement authorities, the different stakeholders and the CITES secretariat has been considered very crucial.

4.14 Closing Ceremony

On the 11th on October 2019 the training has been officially closed. Before the closing, all the participants were presented certificates of participation and quiz awards provided by the trainers. Finally words of thanks were conveyed by the members of the CITES secretariat and representatives of invited stakeholders. Lastly, Mr Kumara

acknowledged the different parties who were involved in successfully completing the training including the support by the CITES secretariat.



5. Conclusion

The training on strengthening CITES implementation in Ethiopia was planned by the Enhanced Management and Enforcement of Ethiopia's Protected Areas Estate Project to fill the knowledge gap to properly implement this convention. Ethiopia as a party country has been involved in international trade on wildlife and their products based on CITES resolutions. However, there was a capacity and knowledge gap of the CITES authorities in the country. The CITES secretariat was then communicated to provide the capacity building training and that has been formally requested by EWCA. Two trainers came from the secretariat and a participatory training successfully provide for five days.

The training has been considered highly important and provided useful lessons necessary to fill the existing knowledge gap. In addition to the CITES authorities of Ethiopia, a wide range of stakeholders have been invited to attend the training. Almost all the representatives of the invited institutions (customs, Ethiopian airlines, Federal police, ministry of defense, attorney general) availed to attend the training. The training was designed from the very general concepts of the convention to detailed issues of implementation. It has been structured in to presentations, questions and answers and exercises and quizzes. The participants were satisfied with the approach and content of the training and finally evaluated it as very good on average.

Finally, the training was concluded by agreement made among the CITES authorities and recommendations provided by the trainers from the CITES authorities. Therefore, EWCA is now expected to make a paradigm shift to implement the CITES conventions through rearrangement of the MA and SA, building their capacities and respecting their roles and responsibilities. Up on the renewed spirit and modality further capacities will be strengthened through trainings, improved communication among the authorities, stakeholders and the CITES secretariat.

6. References

1. CITES website
2. Lecture notes of the trainers from CITES secretariat
3. Presentations by national CITES authorities
4. Ethiopian Wildlife Policies, Strategies, Laws, regulations and directives
5. CITES resolution hand book