

**WILDLIFE TRADE
IN THE EURASIAN
CUSTOMS UNION AND
IN SELECTED CENTRAL
ASIAN COUNTRIES**

BY
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A TRAFFIC REPORT



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Wildlife trade in the Eurasian Customs Union and in selected Central Asian countries

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About the EU-CITES Capacity-building project

The project *Strengthening CITES implementation capacity of developing countries to ensure sustainable wildlife management and non-detrimental trade* was approved for funding by the European Union (EU) in 2009.

A major challenge for many countries is the difficulty in meeting the requirements for trade in CITES-listed species, ranging from legal sourcing and sustainability requirements, to the effective control of legal trade and deterrence of illegal trade. Mechanisms exist in CITES and in both exporting and importing countries that promote and facilitate compliance – although Parties are often hampered by a lack of capacity or a lack of current biological or trade information with respect to certain species. This can result in levels of trade which are unsustainable, which in turn can impact on economic growth and local livelihoods, and reduce options and incentives for conserving and managing wild resources effectively.

The overall aim of the EU's support is to strengthen capacities to implement the Convention and satisfy the CITES-related requirements of trading partners (such as the EU), to prevent overexploitation and to ensure legal international trade in wild fauna and flora does not exceed sustainable levels.

This publication is one of the reports and tools developed under this project, which provide information and guidance to Parties in a particular area of concern, based on needs identified by developing countries.

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Front cover photographs: Background photo: the Ukok Plateau natural park, Altai Republic; Other photos, from top to bottom: Saker Falcon *Falco cherrug*; Argali *Ovis ammon*; and Russian Sturgeon *Acipenser gueldenstaedtii*

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**Vaisman, A., Mundy-Taylor, V. and
Kecse-Nagy, K.**

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TABLE OF CONTENTS

ACKNOWLEDGEMENTS	1
EXECUTIVE SUMMARY	2
INTRODUCTION	6
METHODOLOGY	9
BACKGROUND ON THE EURASIAN CUSTOMS UNION (ECU)	11
Common ECU legislation.....	12
Future membership and preparations for accession.....	12
CITES in the ECU	14
OVERVIEW OF THE REPORTED TRADE IN CITES-LISTED SPECIES IN THE TARGET COUNTRIES	17
Live reptiles	19
Hunting trophies	22
Caviar (and other sturgeon products).....	26
Live birds	27
Trade in medicinal products derived from animals	30
Reptiles: Trade in non-medicinal bodies, parts and derivatives.....	32
Live plants	33
Live mammals	33
Timber	34
SUMMARIES OF COUNTRY VISITS	35
Belarus	35
Kazakhstan	38
Kyrgyzstan	41
Russia	44
Tajikistan	47
Uzbekistan.....	50
CITES IMPLEMENTATION IN OTHER CUSTOMS UNIONS AND REGIONAL ORGANISATIONS	54
ASEAN	54
European Union	55
North America.....	58
Southern African Customs Union.....	58
DISCUSSION.....	60
CONCLUSIONS AND RECOMMENDATIONS.....	67
REFERENCES	70
ANNEX I	73
List of authorities participating in meetings in the target countries in March-April 2013	73
ANNEX II	75

Stricter measures in the EU and the USA.....	75
ANNEX III	82
CITES export quotas for 2013*.....	82
ANNEX IV.....	83
Notable differences in numbers of live birds reported as (re-)exported by the target countries, according to exporters' and importers' reports (2000-2010).....	83
ANNEX V.....	84
Overview of national CITES/wildlife trade legislation in the target countries.....	84
ANNEX VI.....	90
The list of captive breeding facilities registered in Uzbekistan	90

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EXECUTIVE SUMMARY

This report examines the implementation of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) in the Eurasian Customs Union (ECU) and in selected Central Asian countries. The ECU is comprised of the Republic of Belarus, the Republic of Kazakhstan and the Russian Federation, hereafter referred to as “Belarus”, “Kazakhstan” and “Russia”, respectively. The Central Asian countries considered in this report are the Republic of Kyrgyzstan, the Republic of Tajikistan and the Republic of Uzbekistan, hereafter referred to as “Kyrgyzstan”, “Tajikistan” and “Uzbekistan”, respectively. These countries are collectively referred to as “the target countries” or “the region” in this report. The region is home to a rich fauna and flora, including species such as Snow Leopard, Tiger, Saiga Antelope, Musk Deer, Saker and Gyr Falcons, Argali and many endemic plant species in the Caucasus. The region collectively is also home to over 200 million people and comprises a vast territory that stretches from China in the East to the European Union (EU) in the West.

The Eurasian economic integration process started in 2000 with the creation of the Eurasian Economic Community (EurAsEC). The Eurasian Customs Union (ECU) was established by Belarus, Kazakhstan and Russia in 2007 and started to be implemented in July 2010, which resulted in the abolishment of internal border controls between the three countries. Kyrgyzstan’s accession to the ECU was agreed in 2010 and is expected to take place soon. The future is also likely to see further enlargement of the ECU to include participants such as Armenia and Tajikistan.

Based on the analysis of trade data collected under the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), the target countries are mainly important source countries for wildlife in trade, with some of them playing a transit (e.g. Kyrgyzstan) or a consumer role (Russia) as well. The most important commodities in terms of number of specimens legally exported from the region based on exporters’ reports for 2000-2010 included:

- i) Live reptiles (mainly Horsfield’s Tortoise *Testudo horsfieldii*) – with Uzbekistan as the leading (re-)exporter in the region;
- ii) Live birds (birds of prey and Psittacidae) – again with Uzbekistan as the leading (re-)exporter in the region, followed by Russia and Kazakhstan;
- iii) sturgeon caviar – with exports from Russia and Kazakhstan showing a declining trend over the period 2000-2010;
- iv) Medicinals (i.e. medicinal products and also parts and derivatives for medicinal use) – including exports of products consisting of/derived from Musk Deer *Moschus moschiferus* from Russia and Saiga Antelope *Saiga tatarica* horn from Kazakhstan;
- v) Hunting trophies (species including Brown Bear *Ursus arctos*, Grey Wolf *Canis lupus* and Argali *Ovis ammon*) – mainly exported from Russia, Tajikistan and Kyrgyzstan.

Overall, the trade data analysis found some large discrepancies between traded quantities as reported by the importers and the exporters. Some of these discrepancies are likely to be due to the poor communication and co-operation between CITES Management Authorities (MAs) and Customs.

With the exception of Tajikistan, all target countries are Parties to CITES and have been implementing and enforcing the provisions of the Convention for several years or even decades. However, there remain a number of areas that would benefit from further improvement according to the findings of this project. These areas include i) addressing gaps in national legislation, ii) enhancing the co-operation between the CITES MA and enforcement staff, iii) ensuring regular CITES training for enforcement staff, and iv) improved reporting to CITES (both on legal and illegal trade).

This baseline situation with its challenges has become more complex with the formation of the ECU in July 2010. While formally the ECU is not meant to affect CITES implementation and enforcement

in the target countries (i.e. according to the regulations in place, CITES-listed species are not covered by the ECU), it does have implications for wildlife trade. With the removal of controls at the internal ECU borders, CITES-listed wildlife can be moved freely within the ECU. To prevent this having negative impacts on the control of wildlife trade in the region, a highly organized and co-ordinated approach needs to be taken by ECU member countries. Co-ordination and information exchange at all levels of CITES implementation and enforcement will be necessary to ensure consistency across the ECU. An absence of such consistency could result in the exploitation of the weakest link in the chain (e.g. illegal trade entering the ECU by way of the route of least risk of detection) or permit shopping (e.g. when wildlife traders are refused an import permit by one ECU member country, the shipment may enter the ECU by way of a permit granted by another member country), which poses a threat to both native and exotic wildlife traded by the ECU members. Furthermore, the potential future enlargement of the ECU to include non-CITES Parties such as Tajikistan may create an additional layer of complexity for those addressing the implementation and enforcement of CITES in the ECU.

When the integration process in the EU reached a similar level to that of the ECU (i.e. when the Single Market came into effect resulting in the absence of systematic internal border controls), the EU decided that the provisions of CITES needed to be implemented in all EU Member States uniformly and in a co-ordinated manner through the adoption of a comprehensive set of EU regulations that apply to all EU Member States—the EU Wildlife Trade Regulations. These were introduced with three co-ordinating bodies established at the EU level to allow for regular and frequent information exchange and consistent decision-making for the different aspects of CITES implementation ranging from scientific issues (Scientific Review Group) to management (Committee) and enforcement issues (Enforcement Group). Other free trade agreements and regional economic integrations, such as the Association of Southeast Asian Nations (ASEAN) and the North American Free Trade Agreement (NAFTA), which represent a much smaller degree of co-operation among their member countries than that in the EU or the ECU, have also found it useful to establish formal mechanisms for co-operating on CITES enforcement, and thus have established wildlife enforcement networks, namely ASEAN-WEN and NAWEG, respectively.

The findings of this report suggest that CITES implementation and enforcement warrants further attention by current and future member countries of the ECU.

RECOMMENDATIONS

The following recommendations are put forward to address the issues identified above:

Strengthening national legislation in the region

- Where there are gaps in national legislation, these should be addressed by the adoption of new legislation or amendments to existing regulations (e.g. in Kyrgyzstan, Russia and Uzbekistan).
- Target countries are advised to consider adopting legislation that prescribes the registration and regular control of captive breeding facilities where this is not already required, and which makes the marking of certain CITES-listed species obligatory. This would be particularly important for Kyrgyzstan and Uzbekistan but also for other target countries.

Strengthening Enforcement of CITES controls in ECU members

- Customs are encouraged to provide copies of processed CITES documents to their respective CITES MA.

- Enforcement authorities are encouraged to improve their record keeping of detected cases of illegal trade to ensure that key information (e.g. scientific name of species, trade route, etc.) are recorded, stored centrally and shared with their respective CITES MA.
- When carrying out controls at external borders, risk assessments and targeted controls by enforcement authorities should take into account the trends in legal as well as in detected cases of illegal trade, preferably considering these at the ECU level (as opposed to focusing on the national level only).
- Notable discrepancies identified in legal trade reports should be monitored by CITES MAs and investigated by enforcement authorities, if warranted. For example, large discrepancies found in exporters' and importers' reported quantities, or trade partners reporting significant exports from a particular country that the country has not reported as exports.

Interagency co-operation among CITES authorities at the national level

- The different authorities responsible for CITES implementation at the national level should meet regularly to exchange information and co-ordinate activities. The signing of agreements or Memoranda of Understanding between the relevant authorities may help formalize such co-operation and ensure participation by the relevant agencies.
- The target countries are encouraged to establish National Environmental Security Task (NEST) Forces, as recommended by INTERPOL.

Training and capacity building

- Further CITES training is recommended in the target countries. Preferably, this should be held regularly to ensure continuity even for authorities with a high staff turnover. Train the trainer workshops are also encouraged.
- The holding of regional (or ECU) level training seminars is greatly encouraged to help improve regional co-operation.
- The CITES Secretariat is encouraged to assist target countries with training events, both through participation by CITES Secretariat staff and through assistance in obtaining financial resources for training.
- The target countries are encouraged to participate in all wider or regional training initiatives, such as those organized by the Green Customs or the Organization for Security and Co-operation in Europe (OSCE).
- Training materials developed by the target countries (e.g. those already developed in Belarus, Russia, Uzbekistan) should be used more widely in the region and adapted to national needs as necessary.

CITES in the ECU

- Current ECU members, plus Kyrgyzstan that is imminently joining the ECU, are encouraged to raise the urgent need for an organized and co-ordinated approach to CITES implementation and enforcement in the ECU in order to ensure consistency across the member countries.
- ECU member countries are encouraged to establish co-ordination mechanisms based on the best practice examples of existing regional economic integrations (e.g. those established by ASEAN, EU, NAFTA), which allow for regular and frequent information exchange and consistent decision-making for the different aspects of CITES implementation from scientific to management and enforcement issues. ECU member countries are encouraged to formalize these co-ordination mechanisms within ECU legislation. The discussions on co-ordination should also address the issues surrounding the implementation of nationally set export quotas in the ECU context.
- To this end, ECU member States are recommended to establish a Wildlife Enforcement Network.

- Additionally, the establishment of new or the wider use of existing (close to) real-time information-sharing mechanisms between authorities across the ECU are recommended.
- ECU member countries should consider regulating or monitoring internal trade in some CITES-listed species (e.g. those listed in Appendix I or a selection of these species).
- The intentions to harmonize sanctions across the ECU in general should be encouraged to include those for wildlife trafficking too.

International co-operation with other relevant institutions

- The target countries should inform the CITES Secretariat about changes in their national CITES legislation and provide a translation of the new legislative text (in one of the working languages of CITES).
- CITES authorities in the target countries who do not currently actively participate in the various international CITES fora or provide information as part of various CITES processes (e.g. Reviews of Significant Trade) are strongly encouraged to do so.

International accession to and co-operation with CITES

- In view of the developments under the ECU more generally and the above-mentioned challenges, further conscious of Tajikistan's own expression and desire to join the ECU, and mindful of the President of Tajikistan's recommendations to the Tajik Parliament regarding the ratification of CITES, the Government of Tajikistan should be further encouraged and supported to continue its plan to accede to CITES at the earliest opportunity.

INTRODUCTION

This report has been compiled in the framework of a project examining the implementation of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) in the Eurasian Customs Union (ECU). Overall, the project aimed at contributing to strengthening capacities to implement the Convention, to prevent overexploitation and to ensure that legal international trade in wild fauna and flora does not exceed sustainable levels. The project focuses on member countries of the ECU (comprised of the Republic of Belarus, Republic of Kazakhstan and the Russian Federation, hereafter “Belarus”, “Kazakhstan” and “Russia”, respectively) and on selected Central Asian countries (namely the Republic of Kyrgyzstan, the Republic of Tajikistan and the Republic of Uzbekistan, hereafter “Kyrgyzstan”, “Tajikistan” and “Uzbekistan”, respectively). These countries are collectively referred to as “the target countries” or “the region” in this report.

The region is home to a rich fauna and flora, some of which are sought-after in international wildlife trade, such as Snow Leopard, Tiger, Saiga Antelope, Musk Deer, Saker and Gyr Falcons, Argali and many endemic plant species in the Caucasus. Trophy hunting is an important activity in this region, with Russia and several Central Asian countries a popular destination for European hunters seeking trophies of various species of bird and mammal (Hofer, 2002, Knapp, 2007). The region collectively is also home to over 200 million people and comprises a vast territory which stretches from China in the East to the European Union (EU) in the West, and includes Russia, the world’s largest country in terms of area. From this, the ECU represents a population of 167 million, a GDP of USD 2 trillion and a goods turnover of USD 900 billion¹ (Krotov, 2011).

In the ECU, traditionally, a significant amount of Russian and Kazakh foreign trade has been oriented towards the European Union (EU). However, the People’s Republic of China (hereafter referred to as China) is rapidly emerging as an important trading partner for these two countries. With regard to trade routes, significant quantities of Russia-China trade pass through Kazakhstan, while Belarus is a key route for Russian trade with the EU (Silitski, 2010) (see **Figure 1**). Full use of the potential of the ECU can shorten the time required for transportation of goods from China to Europe by four times (Anon., 2010b). In terms of general development opportunities, it is estimated that the creation of the ECU will promote economic development, and can provide up to an additional 15% of the GDP of the participating countries by 2015. Russia alone can expect additional monetary income worth around USD 400 billion from the ECU, while Belarus and Kazakhstan can expect around USD 16 billion each by 2015 (Anon., 2009c).

¹ Figures in short scale: billion = 1 000 million; trillion = 1 000 billion.

Figure 1: Map of ECU depicting key international trade routes and neighbouring countries



Source: Map drawn on information after Silitski (2010), taken from TRAFFIC, 2012.

Abbreviations: AM – Armenia, AZ – Azerbaijan, BY – Belarus, CN- China, EE – Estonia, FI – Finland, GE – Georgia, JP – Japan, KG – Kyrgyzstan, KP – Democratic People’s Republic of Korea, KZ – Kazakhstan, LT – Lithuania, LV – Latvia, MN – Mongolia, PL – Poland, RU – Russia, TJ – Tajikistan, TM – Turkmenistan, UA – Ukraine, UZ – Uzbekistan.

The need for investigating implications of the ECU on CITES implementation has been raised for instance by the Green Customs Initiative² and by TRAFFIC. At the Green Customs Workshop held in Astana, Kazakhstan, 27-28 June, 2012, “participants highlighted the importance of strengthening monitoring and control of trade in environmentally sensitive commodities in the Region after the creation of a Customs Union between the Russian Federation, the Republics of Belarus and Kazakhstan” (Anon., 2012a). TRAFFIC noted that the removal of Customs controls at the internal borders of the member countries of ECU may have negative consequences on wildlife trade controls in the region and which would require further investigation (Taylor *et al.*, 2012).

In July 2011, internal physical border controls were eliminated in the ECU and in January 2012, the Common Economic Space (CES) came into effect ensuring the freedom of movement of goods. When a similar level of integration was reached in the EU in 1984 (i.e. when the European Single Market came into effect resulting in the absence of systematic border controls within the EU), the EU decided that the provisions of CITES needed to be implemented in all EU Member States uniformly and in a co-ordinated manner through the adoption of a comprehensive set of EU regulations that apply to all EU Member States. To date, the ECU has not paid a comparable level of attention to the complexities of implementing and enforcing the provisions of CITES in this new context.

The present report aims to undertake a scoping exercise concerning the implementation of CITES in the ECU and in selected countries in the region in order to establish the possible impact of the ECU on trade in CITES-listed species. The report provides a background to the past and expected future development of the ECU. It also presents an overview of CITES trade to/from the target countries. The report then looks at various aspects of CITES implementation and enforcement at the country level, (e.g. national wildlife trade legislation, training needs and illegal trade).

² Green Customs is the partnership of international organizations co-operating to prevent the illegal trade in environmentally-sensitive commodities and facilitation of the legal trade in these. CITES is one of the partners of this initiative. (<http://www.greencustoms.org/>)

METHODOLOGY

Trade data sources and analysis

CITES trade data (data provided by CITES Parties in their annual reports) were used to analyse reported international trade involving ECU member countries (Belarus, Kazakhstan and the Russian Federation (Russia)) and other Central Asian countries (Kyrgyzstan, Tajikistan and Uzbekistan) as either the country of origin, export or import. These countries are together referred to as the “target countries”. Data were extracted for the period 2000 to 2010, inclusive (as 2010 was the most recent year for which comprehensive data were available at the time of writing) and for all CITES species in Appendices I, II and III. The data were downloaded from the CITES Trade Database in January 2013. Comparative tabulations, which compare the imports and exports reported by individual CITES Parties, were used.

Although the trade records should be reported identically by the importer and exporter, in practice these often differ due to differences in reporting between the importing and exporting country. Where (re-)exports are referred to in this report, this includes both direct exports from a country and re-exports. In some cases total reported exports significantly exceed total reported imports. This can be caused by the fact that usually reporting is based on the export permits issued rather than the export permits actually used.

Both importing and exporting Parties’ reported data were considered in the present analysis. However, as trade was, in the majority of cases, only reported by exporting countries, it should be assumed that quantities being referred to are those reported by exporters, unless specifically stated otherwise. However, importing country reports were used where exporting country data were absent. The following considerations had to be taken into account when interpreting the trade data:

- Tajikistan is not a Party to CITES and therefore does not submit its trade data to the CITES Trade Database in the form of annual reports. The analysis of trade involving Tajikistan is therefore based on the reported exports/imports of its trading partners.
- Russia did not submit an annual report for 2006. Therefore trade involving Russia for this year is based on the reported exports/imports of its trading partners.
- Kyrgyzstan did not become a Party to CITES until 2 Sept 2007 and submitted its first annual report for trade that took place in 2009. Trade involving Kyrgyzstan for the years 2000 to 2008 is therefore based on the reported exports/imports of its trading partners.

Unless specified otherwise, all CITES trade descriptions and totals include all sources (e.g. wild, captive-bred) and purposes (e.g. commercial, personal or hunting) for data from 2000 to 2010. Where reference is made to “captive-bred” specimens, this includes trade records reported with source codes A (artificially propagated plants), C (animals bred in captivity), D (Appendix I animals bred in captivity and Appendix I artificially propagated plants) and F (animals born in captivity). Reference to “wild” specimens includes trade records reported with source codes I (confiscated or seized specimens), O (Pre-Convention specimens), R (ranchered specimens) and W (specimens taken from the wild). In addition, trade records for which the source is unknown (source code U and where no source code is specified) are likely to be of wild origin, therefore it is prudent to include them as wild specimens in any analysis.

All trade is reported as individual specimens unless a unit is specified (such as kg). Trade was analysed by reference to key commodity groups that were selected according to their importance in wildlife trade in the target countries (total number of trade records and/or total quantities of specimens in trade). The analysis also focused on CITES species or species groups that are native to the target countries and for which this is an important source region, e.g. Brown Bears, sturgeons,

birds of prey and leeches. The commodity groups selected for analysis were (in order of importance based on total number of records of trade involving the target countries, i.e. as countries of import, (re-)export or origin): (i) reptile bodies, parts and derivatives; (ii) live plants; (iii) live mammals; (iv) hunting trophies; (v) live birds; (vi) caviar; (vii) mammal bodies, parts and derivatives; (viii) live reptiles; and (ix) medicinals. When interpreting the results of the analysis, the following should be noted:

- For **reptile bodies, parts and derivatives**, trade reported in kg, m or m² was excluded as this represented a small proportion of overall records. Quantities reported using the unit “pairs” were converted to whole values to facilitate analysis (1 pair = 2 items).
- **Live plants** include trade records reported with the CITES terms *seeds* and *live*.
- For **caviar**, trade records reported without a unit or records reported with the CITES term *eggs (live)* were not included in the analysis as these usually refer to live eggs destined for aquaculture rather than for consumption as caviar. Caviar trade reported as *cans* or *flasks* was converted to kg with a weight of 0.1 kg chosen as the average weight³ of a caviar can or flask.
- **Hunting trophies** include mammal, reptile and bird trade records reported with the following CITES terms: *bodies, skulls, skins* or *trophies* (jointly referred to as “trophy items”). Other items, such as *claws, teeth* or *tails*, may also be trophies; however, it was assumed to be unlikely that a hunter would take only these items without the “primary” trophy (such as the body or skin). Restricting the analysis to the primary trophy items aims to avoid an exaggerated estimate of the actual trophy trade and is consistent with past studies on trophy hunting (Knapp, 2007). In addition, only shipments with the Purpose Code “Hunting” (H) or “Personal” (P) were selected. An exception was made for the term “Trophies”, for which shipments reported with the purpose “Commercial Trade” (T) were also included. Only shipments reported without units (i.e. reported as number of trophy items) were considered in the analysis.

Summaries of country visits

Visits were organized by TRAFFIC to each target country in March-April 2013 in order to meet and discuss with CITES authorities as well as with consultants, who gathered relevant information, (e.g. about CITES legislation). The list of authorities that attended the meetings is provided in **Annex I**.

The type of information gathered during the visits and interviews included:

- national CITES legislation,
- the structure and responsibilities of CITES agencies,
- the extent of interagency and cross-border collaboration among CITES authorities nationally and regionally,
- training needs,
- implications of the formation of the Eurasian Customs Union for CITES, and
- challenges in CITES implementation, also in light of the emerging Eurasian Customs Union.

This section also provides some general background information, such as area, government type and a map. This information was downloaded from the Central Intelligence Agency (CIA) World Factbook website (<https://www.cia.gov/library/publications/the-world-factbook/>) in August-September 2013.

³ The weight estimation of caviar flasks/cans is based on TRAFFIC’s experience and is likely to be a conservative estimate.

BACKGROUND ON THE EURASIAN CUSTOMS UNION (ECU)

The member countries of the ECU are the Republic of Belarus (hereafter Belarus), the Republic of Kazakhstan (hereafter Kazakhstan) and the Russian Federation (hereafter Russia). They form an integrated Customs area which is part of the Eurasian Economic Community (EurAsEC, Krotov, 2011). EurAsEC is an international economic organisation which is aimed at forming common external Customs borders and developing common external economic policy, tariffs, prices and other functioning parts of a common market, adapted from the European Union, the World Trade Organization and other international norms (Anon, 2013e). The Agreement to create the EurAsEC was signed on 10 October 2000 by Belarus, Kazakhstan, Kyrgyzstan, Russia and Tajikistan. Uzbekistan joined the EurAsEC in 2005 however, in 2008, Uzbekistan suspended participation in the work of EurAsEC bodies (Anon, 2013e). Moldova, Ukraine and Armenia are observers. In accordance with the statutory goals and objectives of EurAsEC and guided by the principle of multispeed integration, the ECU was formally created by Belarus, Kazakhstan and Russia in 2007 and it came into effect in January 2010. The next step in the integration process was the creation of the Common Economic Space (CES) in January 2012. Its full function work will begin in 2015, which is the planned start of the Eurasian Economic Union, implying an even greater level of integration. Other EurAsEC States will join the ECU and the CES when their economies and legislative systems are ready (Anon, 2013e).

The key stages in the development of the ECU are set out in **Table 1**. All current members of the ECU are Parties to CITES.

Table 1: Chronology of key developments in the establishment of the ECU

Date	Development
6 October 2007	ECU formally established by the signing of the Treaty on the Establishment of an Integrated Customs Area and Formation of a Customs Union in Dushanbe, Tajikistan.
28 November 2009	Meeting of the Presidents of Belarus, Kazakhstan and Russia in Minsk (Belarus). Following this meeting, a number of intergovernmental agreements were signed to implement the ECU in practice.
1 January 2010	ECU comes into effect with the implementation of a single Customs tariff . The ECU Commission, the ECU's permanent functioning regulatory body, formally begins work.
1 July 2010	<ul style="list-style-type: none"> - Existence of common Customs territory declared and ECU common Customs Code comes into effect, replacing domestic legislation in the ECU member countries. - Removal of internal border controls (with some transitional periods in relation to the Russia-Kazakhstan border) allows free circulation of imported goods within the ECU territory and for goods originating within the ECU.*
April 2011	<p>Start of negotiations with the Kyrgyz Republic (Kyrgyzstan) on future accession to the ECU:</p> <ul style="list-style-type: none"> - In October 2011 Kyrgyzstan receives the green light from the other ECU countries for accession. - Work is currently underway on a roadmap for Kyrgyzstan's accession, a process that Russia is encouraging to take place as quickly as possible.
July 2011	Elimination of internal physical border controls.
1 January 2012	Common Economic Space (CES) comes into effect - to ensure the freedom of movement of goods, services, capital, labour and equal treatment of economic entities.

Date	Development
1 July 2012	Eurasian Economic Commission (EEC, replacing the ECU Commission) becomes effective.
1 January 2015	Planned start of the Eurasian Economic Union - a greater level of integration based on the ECU and the CES among the ECU member countries.

Source: Anon. (2012b); Dragneva and Wolczuk (2012); Plekhanov (2012), taken from TRAFFIC, 2012

*Although Customs controls now occur only at external ECU borders, a number of non-tariff trade barriers (e.g. technical and sanitary regulations) are yet to be fully removed.

Note: On 6 March 2012, the “Republic of South Ossetia”, an internationally disputed territory that is adjacent to Russia, unilaterally declared the elimination of its Customs border with the ECU. South Ossetia is home to many species endemic to the Caucasus. Georgia has not recognized the existence of South Ossetia as a political entity and regards most of its territory as a part of the Shida Kartli region under Georgian sovereignty, occupied by the Russian army.

The ECU is a form of trade and economic integration between the Parties that envisages a common Customs territory in the framework of which goods exchanged in mutual trade that originated from the common Customs territory and also those originating from third countries and freely circulating in this Customs territory are exempt from Customs duties and economic restrictions. At the same time the member countries apply a unified Customs tariff and other unified measures for regulating commodity trading with third countries (Anon, 2013e).

A unified regulatory supranational standing body – The Customs Union Commission – started operating on 1 January, 2010. Its main objective is to provide conditions for the functioning and development of the ECU. From 1 July 2012, the Eurasian Economic Commission (EEC) replaced the ECU Commission. The EurAsEC Interstate Council is the supreme body of the Customs Union. (Anon, 2013e).

Common ECU legislation

Currently there is a single Customs Code of the ECU. All relevant provisions of other national legislative and regulatory enactments have had to be harmonized to this Code in all member countries.

Regarding CITES, there are special rules governing the procedure of wildlife trade across external borders. The ECU legal framework consists of *Decision of the Customs Union Commission of 18 June 2010 No. 311 ‘regulation on the procedure for Customs operations execution regarding personal use goods moved across the Customs border by a natural person and reflecting the fact of admitting such goods not supervised by the Customs’* and *EEC ruling of 16 Aug 2012 No. 134*. These establish the procedures for the export of endangered wildlife from the Customs territory of the ECU and when the species are listed in the Red Data Books⁴ of Belarus, Kazakhstan and Russia, they prescribe mandatory written declaration on export via the external Customs border even when the purpose of the export is personal (i.e. non-commercial).

Future membership and preparations for accession

Kyrgyzstan’s accession to ECU was agreed in April 2010, which was followed by a preparatory process for outlining the steps required before accession. In May 2013, ECU and Kyrgyzstan signed a memorandum on the development of co-operation in Minsk, Belarus. The document sets the timeline for the elaboration of a roadmap for Kyrgyzstan’s accession to the ECU, which is planned to be completed by the end of 2013. As part of the preparation for accession, the Kyrgyz government adopted *Government Decree No.269 Amendments to the Government Decree on the Inter-agency Negotiation Commission (under the Government of the Kyrgyzstan) on Kyrgyzstan’s accession to the Customs Union of the Republic of Belarus, the Republic of Kazakhstan and the Russian Federation and the Single Economic Area*. In addition to these, an action plan for the accession of Kyrgyzstan to

⁴ In the target countries, the so-called “Red Data Book” lists nationally protected species.

the ECU has also been adopted for 2012-2013 by the EEC's working group. The action plan comprises actions such as analysis of:

- Kyrgyzstan's trade regimes with third countries;
- The equipment and technical facilities (including buildings, premises and constructions), which are needed to organize border, Customs, sanitary, quarantine, phytosanitary and transport control at checkpoints at the Kyrgyz external borders of the ECU so that these meet the ECU *Common standard requirements* adopted by the ECU Committee on 22 June 2011 (No. 688);
- The national legislation and international treaties to ensure harmonization with the contractual legal framework of the ECU in the relevant areas.

Before joining the ECU, it is expected that Kyrgyzstan will need to enact or amend approximately 200 regulations in order to meet the requirements set by the ECU.

In preparation for the accession, Kyrgyzstan is radically changing its Customs legislation. The main directions set for the development of the Customs administration until 2015 include:

- Priority of electronic administration vs. paper based administration;
- Use of the integrated software and technical tools which automate State supervision functions at the Customs checkpoints;
- Ensuring access for Customs authorities in other ECU member countries to information systems of other State authorities, which centralize permit information relevant for the export/import of goods subject to supervision by other bodies;
- Implementation of a unique identifier (code) for every importer/exporter, which will allow the tracking of shipments;
- Creating special channels for quick processing of the ECU citizens at the main land, air and maritime border crossing points;
- Development of legislation:
 - Adoption of the new Customs Code of the ECU;
 - Signing of a treaty on standardisation of sanctions of criminal and administrative offences;
 - Joining (or implementation of provisions of) international treaties which facilitate, first of all, international transport (transit);
 - Ratification of international treaties, which form the contractual legal framework of the ECU and the Single Economic Area;
 - Increase co-operation and information exchange among the Customs authorities of the ECU member States regarding criminal and administrative cases;
 - Partnership and co-operation with economic entities to combat illegal trafficking and violation of Customs rules, and to prevent abuse of authority/contravention of ethical norms by Customs officers.

The future is also likely to see further enlargement of the ECU to include participants such as Armenia and Tajikistan.

Armenia has expressed its desire to join the ECU; however, it does not currently border an ECU member country – a precondition for membership. Its position is therefore dependent on future ECU developments (Dragneva and Wolczuk, 2012). In a September 2013 statement, jointly issued by the Armenian president (Serzh Sargsyan) and the Russian president (Vladimir Putin), the Armenian President voiced the country's decision to join the ECU and take the relevant required practical steps, and later participate in forming the Eurasian Economic Union (Anon., 2013b).

As early as 2007, when the ECU signature ceremony took place in its capital, Tajikistan (not a Party to CITES) expressed a desire to join the ECU. However, given that Tajikistan does not currently border an ECU member country – a precondition for membership – its position is dependent on developments with regard to Kyrgyzstan (Dragneva and Wolczuk, 2012). Tajikistan’s intention to join the ECU was officially announced by the Ministry of Economic Development and Trade in September 2012 (Anon., 2013l). The intention was confirmed during the round table “The Customs Union and Tajikistan: A new perspective of integration”, which was held in September 2012 in Dushanbe (Anon, 2013m). According to the statement of the general secretary of EurAsEC, Tair Mansurov, the Tajik President Emomali Rahmon said that Tajikistan not only wants to join the ECU, but is also eager to start preparing itself for accession (Anon., 2012f). More recently however, the process of convergence between Tajikistan and the ECU has slowed down due to several unresolved issues mainly related to illegal labour migration and narcotics trafficking (e.g. Anon, 2012g).

CITES in the ECU

When the first ECU agreements between Russia and Belarus were signed, both countries accepted to follow their obligations under CITES. The first document concerning this was *Resolution of the Government of Russian Federation No. 948 of 25 August 1999 On the adoption of rules (pharmaceutical, technical, medical, sanitary, veterinary and ecological) concerning the goods being imported to the countries of the ECU*. According to article 14, “the countries of the Customs Union must follow the rules of CITES during Customs control of animals, plants and their derivatives that are listed on the CITES Appendices”.

The consolidated list of goods that are prohibited or limited in trade between the countries of the ECU and the non-Customs union member countries of the EurAsEC was agreed by the *Decision of the Intergovernmental Council of EEC⁵ No. 19 of 27 Nov 2009* concerning unified non-tariff regulation in the ECU. The document lists various commodities (e.g. weapons, explosives, narcotics, etc.) for the cross-border movement of which, permits or other documents are still required. Chapter 2.7 of this decision also lists CITES-listed species. The species listed in this chapter have been agreed to be kept up to date in-line with the actual CITES Appendices by the CITES Management Authority (MA) of Russia. With this, the Russian CITES MA has been assigned a leading role among the CITES Management Authorities of ECU. The latest amendments to Chapter 2.7 were made by *EEC Resolution No.134 of 16 August 2012*.

The necessity to resolve the problem of transportation of CITES specimens between the ECU countries was discussed at the time of the establishment of the ECU. At the meeting of the expert group on “application of non-economic prohibitions and restrictions in trade between the ECU member countries”, held on 12 October 2010 in Moscow, it was decided that the procedure for moving goods of wild flora and fauna and the collection of wildlife from the wild within the common Customs area will be harmonized. The participants at the meeting agreed on the need for maintaining the licensing procedures for the movement of commodities between the member countries of the ECU. At the same meeting, it was also decided that Belarus would prepare proposals on harmonization of procedures for issuing documentation for species listed in the CITES Appendices and/or in the Red Data Books of the ECU member countries. According to the findings of this project, this decision has not been implemented or followed up on. It also became apparent during the country visits that the CITES authorities of the ECU member countries were not aware of this decision.

⁵ Eurasian Economic Commission (EEC) – the single permanent regulatory body (supranational governing body) of the ECU

However, in practice the CITES authorities (including Customs) in the current ECU member countries reported the complete lack of Customs control on internal trade, including of CITES-listed specimens. Therefore the above presented requirements regarding the control of internal trade for CITES are reported to be generally not implemented.

Even if CITES documents are still required for internal trade within the ECU, as before, there are a number of issues that need considering and to be dealt with. In the CES, goods are moved freely with fewer opportunities for control. Imaginary scenarios are provided below to help illustrate the potential implications of the ECU for CITES implementation.

Hypothetical example 1 – “permit shopping”: a trader applies for a CITES export permit in Kazakhstan for the export of a live Common Kestrel *Falco tinnunculus* that has been taken from the wild in Kazakhstan. The Kazakh Scientific Authority (SA) cannot make a non-detriment finding and the Management Authority (MA) thus does not issue the requested export permit. The same trader could take the specimen easily (but illegally) across the border to Russia (or Belarus) as there are no internal Customs controls. Then the trader could apply for an export permit from Russia, claiming that the specimen was taken from the wild in Russia. Without an agreed and formalized mechanism for sharing information on rejected CITES permit applications in the ECU member countries, would the MA in Russia exercise more care when determining that the specimen was indeed from Russia? And what can Kazakhstan do to protect its wildlife?

Hypothetical example 2 – “exploiting the weakest link in the chain”: illegal traders of sturgeon caviar willing to smuggle caviar into the European Union (EU) find that Customs officers at the external ECU borders in Belarus are less attentive to caviar trade than Customs officers in Kazakhstan or Russia. The smugglers therefore change their trade route and instead of using airlines from Russia to the EU for taking the caviar, they swap to the road and try to smuggle the caviar via Belarus. If there is not a mechanism to ensure that information on detected cases of illegal trade (species, specimens in trade, methods of concealment, etc.) is shared among ECU members, how would Belarus Customs know that more attention should be paid to illegal caviar trade to the EU?

Hypothetical example 3 – “assistance needed from fellow ECU members”: The demand for medicinal products containing Costus Root *Saussurea costus* (App. I) increases in Russia with products appearing on the market without CITES permits to prove their legal origin. The products enter Russia via Kazakhstan from China. What can Russia do alone to protect its market from illegal Costus Root products without co-operation and information sharing with its fellow ECU members?

Hypothetical example 4 – “concerns raised by the importer”: Russia has issued an export permit for the trophy of a Wolf *Canis lupus* for an EU hunter. The EU has stricter measures for Wolf and hunting trophies: i) the Wolf is treated in the EU as if it was listed in Appendix I and so the EU requires an import permit along with the export permit, ii) Kazakhstan and Russia have a Scientific Review Group positive opinion⁶ in place for Wolf trophies, however imports of Wolf trophies from Belarus have been suspended. When the EU evaluates the application for the import permit, it needs to be satisfied that the specimen was indeed taken in Russia and not in Belarus (due to the different opinions in place) and if this cannot be proven adequately, the EU may refuse to issue the import permit. Similarly, in the case of any nationally applied export quotas in ECU member countries, there may be questions by the importer regarding the exact country of origin within the ECU.

⁶ The Scientific Review Group (SRG) consists of representatives from EU Scientific Authorities. If the SRG can make a positive non-detriment finding and thus allow the import when an import application is being considered, the Positive Opinion remains valid for subsequent import permit requests for the given species/country combination as long as the conservation and trade status have not changed significantly. (See also **Annex II.**)

The EU has seen at least one actual example similar to hypothetical example 4 above, reported by Latvia. In December 2011, Latvia received an application for an import permit from Belarus for three stuffed specimens of Brown Bear⁷. The specimens were accompanied by an export permit (note not a re-export certificate) issued by Belarus along with hunting permits indicating that the specimens had been hunted in Russia (Kamchatka region). The Latvian MA contacted their counterparts in Belarus to inquire about the inconsistencies found but no answer was received. As a result, the application for the CITES import permit was refused (G. Strode, Latvian CITES MA *in litt.* to K. Kecse-Nagy, October 2013).

⁷ In the EU, Brown Bear is treated as if it was listed in App. I and thus an import permit is also required in addition to the export permit. (See also Annex II on EU stricter measures.)

OVERVIEW OF THE REPORTED TRADE IN CITES-LISTED SPECIES IN THE TARGET COUNTRIES

This section examines reported trade involving the target countries between 2000 and 2010, focusing on groups of CITES-listed species that are of particular relevance for this region.

Tables 2 and 3 provide an overview of total reported imports, exports and re-exports of selected CITES-listed animal and plant groups by the target countries during this period, in terms of numbers of specimens. Each of these commodity groups are discussed in more detail below, including information on trends between 2000 and 2010, the most important importers and exporters, trade routes and, where relevant, the most important taxa traded in each commodity group and the source of specimens traded.

For most commodity groups, it was generally the case that either imports into or exports from the target countries exhibited particularly noteworthy trends. Therefore, in such cases only the major trade direction (i.e. either imports or exports) are discussed in detail below. However, where the target countries were found to be important importers and exporters of a particular commodity group, both imports and exports are discussed under separate headings in the sections below.

Table 2 Reported imports of selected CITES-listed animal and plant groups by the target countries (2000-2010) (number of specimens, unless otherwise stated), ordered by number of trade records (all purposes and sources)

	BY		KZ		KG		RU		TJ		UZ		Total	
	Imp.	Exp.	Imp.	Exp.	Imp.	Exp.	Imp.	Exp.	Imp.	Exp.	Imp.	Exp.	Imp.	Exp.
Reptile bodies, parts and derivatives	0	6597	179	44 456	0	1693	131	1 041 395	N.R.	335	0	9545	310	1 104 021
Live plants	0	11 873	0	5090	0	12 221	0	342 133	N.R.	0	10	4742	10	376 059
Live birds	13	34	1244	1902	0	123	396	26 764	N.R.	0	3235	2890	4888	31 713
Live mammals	58	388	153	498	0	32	223	7867	N.R.	16	186	133	620	8934
Hunting trophies	1	38	0	41	0	4	298	4437	N.R.	0	0	8	299	4528
Coral	0	0	0	380 kg	0	0	0	166 019 kg	N.R.	0	0	0	0	166 399 kg
Live reptiles	7	104	4	173	0	2	77	74 234	N.R.	54	7049	3366	7137	77 933

Table 3 Reported exports of selected CITES-listed animal and plant groups by the target countries (2000-2010) (number of specimens, unless otherwise stated), ordered by number of trade records (all purposes and sources)

	BY		KZ		KG		RU		TJ		UZ		Total	
	Imp.	Exp.	Imp.	Exp.	Imp.	Exp.	Imp.	Exp.	Imp.	Exp.	Imp.	Exp.	Imp.	Exp.
Hunting trophies ⁸	53	167	100	126	430	668	5326	7369	655	701	11	13	6575	9044
Live mammals	61	204	60	116	7	9	1952	3360	3	0	33	240	2116	3929
Live birds	1	31	1030	787	1	0	4009	5540	7	0	4843	10971	9891	17 329
Live reptiles	112	355	13	41 036	0	0	33 894	40 378	21 054	0	362 953	385 465	418 026	467 234
Caviar	37 kg	0	108 847 kg	101 933 kg	3 kg	0	121 022 kg	84 687 kg	0	0	24 kg	0	229 933 kg	186 621 kg
Medicinals ⁹	6 kg	3 kg	3000 kg	26 500 kg	0	0	4772 kg	782 kg	0	0	0	0	7778 kg	27 285 kg
	1320	2512	0	0	0	0	1 017 044	1 477 700	0	0	0	0	1 018 364	1 480 212

Source: CITES trade statistics derived from the *CITES Trade Database*, UNEP-WCMC, Cambridge, UK.

Abbreviations: BY – Belarus, KZ – Kazakhstan, KG – Kyrgyzstan, N.R. – not relevant, RU – Russian Federation, TJ – Tajikistan, UZ – Uzbekistan. Imp. – Importers' Reports, Exp. – Exporters' Reports. Notes: Kyrgyzstan became a CITES Party in 2007 and submitted its first annual report for 2009, Russia did not submit an annual report for 2006, Tajikistan is not a CITES Party and so does not submit annual reports. Explanation on what the different commodity groups comprise is provided in the relevant sections below.

⁸ This includes both: (i) trophies reported as direct exports from the target countries (no country of origin reported); and (ii) trophies for which a target country was reported as the country of origin (country of origin taken to be the country of export). The latter were included in total exports, primarily to ensure that significant exports of *Argali Ovis ammon* trophy items from Kyrgyzstan and Tajikistan were accounted for in the totals (the majority of these trophy items were exported to RU, however trade was not reported until their subsequent re-export from Russia due to: (a) in general, a lack of reporting of imports by Russia; and (b) non-reporting by Kyrgyzstan (2000-2008) and Tajikistan (2000-2010) as non-Parties to CITES).

⁹ The term "medicinals" is used in this report to refer to medicinal products and also to parts and derivatives for medicinal use.

Live reptiles

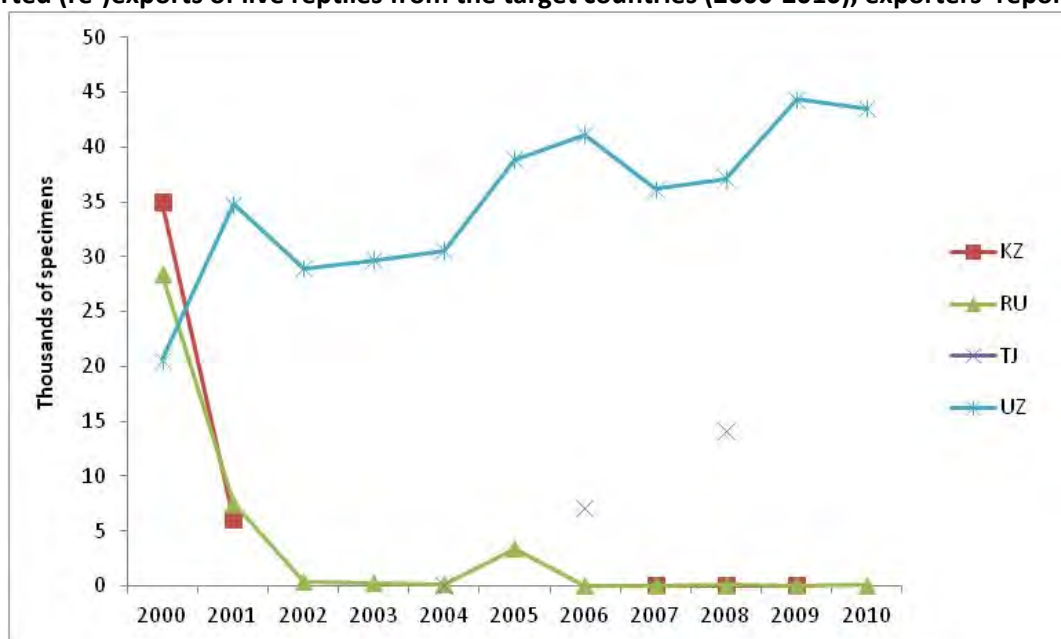
(Re-)exports of live reptiles

A total of 467 234 live reptiles were (re-)exported from the target countries during the period 2000-2010, according to exporters' reports. The leading (re-)exporter was Uzbekistan (385 465 specimens), followed by Kazakhstan (41 036 specimens) and Russia (40 378 specimens) and, when importers' reports are considered, Tajikistan (21 054 specimens).

The vast majority of (re-)exports of live reptiles from the target countries involved Testudinidae specimens (over 98% of total (re-)exports or 460 554 specimens, almost all of which were of wild origin). Of these, over 99% (458 856 specimens) were (re-)exports of Horsfield's Tortoise *Testudo horsfieldii*. Uzbekistan was responsible for the majority of Horsfield's Tortoise (re-)exports from the target countries during the period 2000-2010 (84% of total specimens (re-)exported), with smaller quantities (re-)exported from Russia, Kazakhstan and, when importers' reports were considered, Tajikistan (Figure 2). Tajikistan also featured as an important country of origin for live re-exports of Horsfield's Tortoise, with nearly 138 245 specimens re-exported during the period 2000-2010 reportedly originating in Tajikistan, according to exporters' reports. Live specimens of Horsfield's Tortoise were frequently exported to end consumer markets via Ukraine: Ukraine re-exported 126 628 specimens between 2000 and 2010, 85% of which originated in Tajikistan and 15% of which originated in Uzbekistan.

Figure 2

Reported (re-)exports of live reptiles from the target countries (2000-2010), exporters' reports



Source: CITES trade statistics derived from the *CITES Trade Database*, UNEP-WCMC, Cambridge, UK.

Abbreviations: BY – Belarus, KZ – Kazakhstan, RU – Russia, TJ – Tajikistan, UZ – Uzbekistan.

*Importers' reports are used for Russia (for 2006 only) and Tajikistan (all years) for the reasons outlined in the Methodology section (no Annual Reports submitted by these target countries for those years). No (re-)exports of live reptiles were reported from Kyrgyzstan during the period 2000-2010 (according to importers' and exporters' reports)

It is noted that, according to importers' reports, in 2000 Russia re-exported a particularly large commercial shipment of 10 000 wild specimens of Horsfield's Tortoise from Kazakhstan to China; however this was not reported as a re-export by Russia.

The main importers of Horsfield's Tortoise from the target countries were the USA (191 005 specimens), the EU (135 297 specimens) and Japan (78 700 specimens), according to exporters' reports. (Re-)exports of this species from Uzbekistan, the main (re-)exporter, to the EU increased during the period 2000-2010, despite a ban on the import of wild specimens of Horsfield's Tortoise into the EU from 2000 to 2006 (see also **Annex II** on EU stricter measures). The majority of these (re-)exports from Uzbekistan were reported as Ranched (source code R): the number of ranched specimens of Horsfield's Tortoise (re-)exported from Uzbekistan increased from zero in 2000, to 2000 specimens in 2001, to 16 904 specimens in 2010 (exporters' reports).

Currently the EU has an import suspension in place for Kazakhstan for the species, while imports of from Tajikistan (wild taken specimens) and from Uzbekistan (wild taken and ranched specimens) have Positive Opinions in place (see also **Annex II**). Uzbekistan has established export quotas for the species for 2013 both for ranched and wild-taken specimens, each set at 45 000 specimens per year (see **Annex III**).

Review of Significant Trade

The CITES Review of Significant Trade (RST) procedure (defined in Resolution Conf. 12.8 (Rev. CoP13)) was designed to identify species that may be subject to unsustainable levels of international trade, and to identify problems and solutions concerning effective implementation of the Convention.

Horsfield's Tortoise *Testudo horsfieldii*

At the 25th meeting of the CITES Animals Committee (AC25, in July 2011), as part of the RST process, Tajikistan and Uzbekistan were categorised as of possible concern for trading in Horsfield's Tortoise and were requested that information be provided on the following issues within 90 days:

Tajikistan:

- a) Information on population distribution, size and trends; and
- b) Justification for and details of the scientific basis by which it has been established that the current quota for wild specimens is not detrimental to the survival of the species and in compliance with Article IV, paragraphs 2 (a) and 3, taking into account any potential unregulated and/or illegal offtake and trade.

At SC62 (July 2012), it was concluded that although no response was received by the Secretariat in relation to the recommendations of the Animals Committee, in view of the absence of recent trade in this species, the Secretariat should liaise with Tajikistan to determine whether it is still exporting specimens of *T. horsfieldii*, and to report at the SC63¹⁰.

(According to information provided by Tajikistan as part of this project, a moratorium has been declared on the export of wild animals native to Tajikistan, unless a harvest quota is set. No quotas could be set for live tortoises (including *T. horsfieldii*) due to a lack of data on the number and status of populations in the wild. See section on Tajikistan.)

Uzbekistan:

- a) Justification for and details of, the scientific basis by which it has been established that the current quotas are not detrimental to the survival of the species and are in compliance with Article IV, paragraphs 2 (a) and 3, taking into account any potential unregulated and/or illegal offtake and trade; and

¹⁰ The summary records of the 63rd meeting of the Standing Committee was not available at the time of writing.

b) Additional information to demonstrate how the impact of ranching operations on the wild population is assessed, including an assessment of the survival rate of female specimens used in the ranching operation.

At SC62 (July 2012), it was concluded that Uzbekistan complied with the recommendations of the Animals Committee, the species/country were **removed from the review**. (See detailed response provided by Uzbekistan in SC62 Doc. 27.1 (Rev. 1).)

Source: Anon., 2012d, Anon., 2012c

Other live reptiles (re-)exported from the target countries included: i) lizards (3823 specimens in total, nearly all of captive-bred origin) of the families Agamidae (2050 specimens), Chamaeleonidae (1308 specimens) and Varanidae (450 specimens); and ii) snakes (2669 specimens, 53% of wild origin).

According to importers' reports, between 2003 and 2006, Lebanon (a non-Party to CITES at the time) re-exported 19 131 live specimens of lizard, turtle and tortoise to Thailand and Japan, all of which were declared as having been captive-bred with the country of origin reported as Kazakhstan. Of this total, the majority of specimens (re-)exported were tortoises (63%), particularly the Indian Star Tortoise *Geochelone elegans* (10 170 specimens), a species that has previously been identified as the subject of possible false claims of captive-breeding (TRAFFIC, 2011). Other live reptiles reported as (re-)exported from Lebanon during the period 2000 to 2010 with Kazakhstan as the country of origin included chameleons (4607 specimens or 24% of total (re-)exports) and turtles of the family Geoemydidae (1097 specimens or 6% of total (re-)exports). In addition, 2211 reportedly captive-bred live tortoises and chameleons were (re-)exported from Thailand and Japan between 2004 and 2010, with the country of origin reported as Kazakhstan (exporters' reports). This figure was higher when importer reported quantities were considered (3087 specimens), with Indian Star Tortoise accounting for 47% of specimens (re-)exported. However, it is noted that Kazakhstan did not report the export of any live captive-bred reptiles to Japan, Lebanon or Thailand during the period 2000 to 2010 (Todd, 2011).

In terms of longer-term trends, (re-)exports of live reptiles from Uzbekistan increased between 2000 and 2010, which is primarily a reflection of the above-described increase in (re-)exports of specimens of Horsfield's Tortoise to the EU during this period. (Re-)exports of live reptiles from Russia and Kazakhstan appeared to fall from highs in 2000 and 2001.

Imports of live reptiles

The target countries imported a total of 79 333 live reptiles during the period 2000-2010, according to exporters' reports. Russia was responsible for the majority of these imports (74 234 specimens, almost 94% of the total), with key aspects of trade including the following:

- (i) the import of captive-bred iguanas from El Salvador (18 716 specimens);
- (ii) the import of wild-sourced snakes (mainly species of the family Pythonidae), lizards (families: Chamaeleonidae, Varanidae) and tortoises from Benin, Ghana and Togo;
- (iii) the import of wild-sourced alligators, snakes (family: Boidae) and lizards (families Teiidae and Iguanidae) from Guyana and Suriname (4560 specimens); and
- (iv) the import of wild and captive-bred snakes (mainly species of the family Pythonidae), tortoises/turtles and lizards (family: Varanidae) from Indonesia (3803 specimens).

Imports of live reptiles into the target countries remained relatively constant during the period 2000-2010. An exception is a peak in imports into Russia in 2000, which is due to a single import of 35 000 live specimens of Horsfield's Tortoise of wild origin from Kazakhstan. Likewise, the peak in

imports into the target countries (excluding Russia) in 2005 also relates to intra-target country trade, reflecting the commercial import of 3327 live specimens of Horsfield's Tortoise (reportedly wild-origin) by Uzbekistan from Russia; country of origin Tajikistan.

Hunting trophies

A total of 9044¹¹ hunting trophies were exported from the target countries during the period 2000-2010, according to exporters' reports. This includes both: (i) trophies reported as direct exports from the target countries (no country of origin reported); and (ii) trophies for which a target country was reported as the country of origin (country of origin taken to be the country of export)¹². The latter were included in total exports, primarily to ensure that significant exports of Argali *Ovis ammon* trophy items from Kyrgyzstan and Tajikistan were accounted for in the totals (the majority of these trophy items were exported to Russia, however trade was not reported until their subsequent re-export from Russia due to: (a) in general, a lack of reporting of imports by Russia; and (b) non-reporting by Kyrgyzstan (2000-2008) and Tajikistan (2000-2010) as non-Parties to CITES.

The majority (81%) of trophy items were exported from Russia (7369 trophies), with smaller numbers exported from Tajikistan (701 trophies), Kyrgyzstan (668 trophies), Belarus (167 trophies) and Kazakhstan (126 trophies), according to exporters' reports. When importers' reports were considered, hunting trophy exports from these target countries were as follows: Russia (5326 trophies), Tajikistan (655 trophies), Kyrgyzstan (430 trophies), Kazakhstan (100 trophies) and Belarus (53 trophies). As would generally be expected, nearly all trophy items exported from the target countries were of reportedly wild origin.

Exports of hunting trophies from Russia showed a general decline over the period 2000-2010 (**Table 4**). Exports of hunting trophies from the other target countries peaked in 2000, following which exports fluctuated at between approx. 70 and 140 trophy items exported per year, with a second smaller peak in 2009 (**Table 4**). Exports from the target countries (excluding Russia) appeared slightly higher after 2007, primarily due to increased exports from Kyrgyzstan and Tajikistan (**Table 4**). However, exports from Tajikistan fell in 2010, with just 23 trophies exported (importers' reports). Exports of trophy items from Belarus appeared to cease after 2006, according to exporters' reports (**Table 4**).

¹¹ It is noted that a (re-)export of 3600 gall bladders from Russia to Lithuania in 2007 was excluded from the analysis of hunting trophies, despite it being reported with the Hunting (H) Purpose Code. This was assumed to be an error, and is analysed instead in the section on Medicinals.

¹² It is important to bear in mind that the initial import and subsequent re-export may have taken place in different years. Therefore, in this Section, where exports from the target countries are referred to have taken place in a particular year; this should be taken as an approximation based on the trade data available. However, the majority of re-exports to which this applies are of Argali *Ovis ammon* trophies that originated in Kyrgyzstan and Tajikistan and which were re-exported from Russia. It would seem unlikely for there to be a considerable time lag between import and re-export in such cases.

Table 4
Reported annual exports by the target countries of hunting trophies, exporters' reports (2000-2010)*

	Year										
	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010
BY	64	25	15	37	8	11	7	-	-	-	-
KZ	33	19	2	5	-	4	9	3	16	18	17
KG	<i>65</i>	<i>15</i>	<i>81</i>	<i>55</i>	<i>26</i>	<i>33</i>	<i>24</i>	<i>31</i>	<i>23</i>	60	88
RU	1050	1023	860	1060	638	763	423	663	500	419	384
TJ	<i>82</i>	<i>11</i>	<i>56</i>	<i>41</i>	<i>33</i>	<i>66</i>	<i>77</i>	<i>63</i>	<i>104</i>	<i>99</i>	<i>23</i>
UZ	8		1	2	-	2	-	-	-	-	-
Annual total	1302	1093	1015	1200	705	879	540	760	643	596	512

*Includes both: (i) trophies reported as direct exports from the target countries; and (ii) trophies for which a target country was reported as the country of origin.

**Numbers in italics are taken from importers' reports. Importers' reports are used for Russia (for 2006 only), for Kyrgyzstan (2000-2008) and for Tajikistan (all years) for the reasons outlined in the Methodology section (no Annual Reports submitted by these target countries for those years).

Abbreviations: BY – Belarus, KZ – Kazakhstan, KG – Kyrgyzstan, RU – Russia, TJ – Tajikistan, UZ – Uzbekistan.

Main taxonomic groups in trade

The main taxonomic groups represented in hunting trophies exported from the target countries were, according to exporter reported quantities:

- (i) Ursidae species (5020 trophies) - mainly Brown Bear *Ursus arctos* trophies (5014 trophies) exported from Russia. Exports of *U. arctos* trophies from Russia fluctuated between around 350 and 600 trophy items exported annually during the period 2000-2010, showing a declining trend after 2007. Exports of *U. arctos* trophies were also reported from Kazakhstan, but totalled only 14 trophy items between 2000 and 2010. The EU and the USA respectively imported 45% and 39% of total *U. arctos* trophy items exported from the target countries during the period 2000-2010. (See also **Annex II** for EU and USA stricter measures regarding the imports of trophies).
- (ii) Canidae species (682 trophies) – all Wolf *Canis lupus* trophies were exported from Russia, Belarus, Kazakhstan and Kyrgyzstan (exporters' reports). Exports of *C. lupus* trophies from Russia showed a declining trend during the period 2000-2010, while exports from Kazakhstan increased slightly after 2007 with between 11 and 15 trophy items exported per year in 2008, 2009 and 2010. No exports of *C. lupus* trophies were recorded from Belarus from 2007-2010, after peaks of 64 and 37 trophy items reportedly exported in 2000 and 2003, respectively (exporters' reports). This is likely due to the suspension of imports to the EU in 2003 (see **Annex II**). Over 75% of *C. lupus* trophy items exported from the target countries during the period 2000-2010 were imported by EU Member States, with the USA and Norway importing 8% and 5% of the total, respectively. (Again, see also **Annex II** for EU and USA stricter measures regarding the imports of trophies).
- iii) Anatidae species (1635 trophies) – all exported from Russia to Malta during the period 2000-2005 (exporters' reports). These exports all involved Appendix III-listed species, which were listed by Ghana under Anatidae spp. in 1976. The Appendix III listing for these species was subsequently deleted in 2007.
- iv) Bovidae species (1501 trophies) – mainly Argali *Ovis ammon* trophies (1364 trophies) exported primarily from Tajikistan and Kyrgyzstan (exporters' reports). Exports of *O. ammon* trophies from Tajikistan fluctuated quite widely during the period 2000-2010, with peaks in 2008 and 2009 and lows in 2001 and 2010 (**Figure 3**). Exports of *O. ammon* trophies from Tajikistan

totalled 687 items for the period 2000-2010 according to exporters' reports; 635 items according to importers' reports.¹³

Russia reported having re-exported 666 *O. ammon* trophy items originating from Tajikistan between 2000 and 2010, chiefly to the USA (371 items) and EU (165 items). However, it is noted that exports from Tajikistan were generally not reported as imports by Russia at the time of export: Russia reported the import of just seven *O. ammon* trophy items from Tajikistan during the period 1975-2010 (in 2003, 2009 and 2010).

Between 2000 and 2004, exports of *O. ammon* trophies from Kyrgyzstan appeared to mirror trends in exports from Tajikistan (**Figure 3**). However, these trends then appear to diverge, until after 2008, exports of *O. ammon* trophies from Kyrgyzstan begin to increase while exports from Tajikistan decline (**Figure 3**). This is due to a moratorium on hunting Marco Polo Sheep *O. ammon polii*, which was in effect from autumn 2008 to September 2010 (Mallon, 2013). Exports of *O. ammon* trophies from Kyrgyzstan totalled 614 items for the period 2000-2010 according to exporters' reports; 417 items according to importers' reports.¹⁴ Russia re-exported 488 trophy items from Kyrgyzstan between 2000 and 2010, chiefly to the USA (244 items) and EU (179 items). It is again noted that exports of *O. ammon* trophies were generally not reported as imports by Russia at the time of export: Russia reported the import of just seven *O. ammon* trophy items from Kyrgyzstan during the period 1975-2010 (in 2009 and 2010).

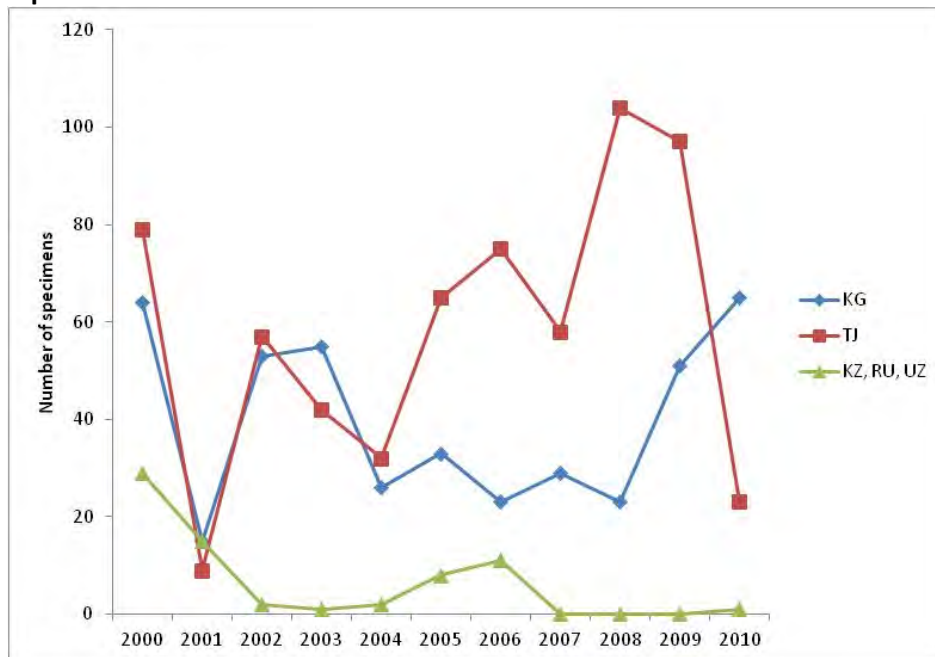
In Kyrgyzstan, Argali *O. ammon* hunting quotas in 2010 and 2011 were set at 70 per year, 10 allocated for scientific purposes and 60 for hunting. In 2010, 53 out of 70 trophies allowed were taken and in 2011 69 out of 70 (Mallon, 2013). In Tajikistan, following a moratorium on hunting Marco Polo Sheep *O. ammon polii*, in effect from autumn 2008 to September 2010, the hunting quotas for 2010/2011 and for 2011/2012 were set at 80 specimens for each hunting season. In both countries, hunting quotas are reported to be set based on the most recent population census (Mallon, 2013).

- v) Felidae species (167 trophies), nearly all of which were Eurasian Lynx *Lynx lynx* trophies exported by Russia, primarily to the EU (138 items) (exporters' reports).

¹³Tajikistan is not a party to CITES and, as such, does not submit Annual Reports of trade under the Convention. Therefore importer reported quantities, although lower overall than quantities reported by exporters, should be taken into consideration to account for direct exports of *Ovis ammon* trophy items from Tajikistan, i.e. where Tajikistan is the reported exporter, rather than the reported country of origin.

¹⁴Kyrgyzstan did not become a party to CITES until 2007, reporting trade in CITES species for the first time for the year 2009. Therefore importer reported quantities, although lower overall than quantities reported by exporters, should be taken into consideration to account for direct exports of *Ovis ammon* trophy items from Kyrgyzstan for the period 2000-2008, i.e. where Kyrgyzstan is the reported exporter, rather than the reported country of origin.

Figure 3
Reported exports* of *Ovis ammon* hunting trophy items from the target countries (2000-2010), exporters' reports**



Source: CITES trade statistics derived from the *CITES Trade Database*, UNEP-WCMC, Cambridge, UK.

*Includes both: (i) trophies reported as direct exports from the target countries; and (ii) trophies for which a target country was reported as the country of origin.

**Importers' reports are used for Russia (for 2006 only), for Kyrgyzstan (2000-2008) and for Tajikistan (all years) for the reasons outlined in the Methodology section (no Annual Reports submitted by these target countries for those years).

Abbreviations: BY – Belarus, KZ – Kazakhstan, KG – Kyrgyzstan, RU – Russia, TJ – Tajikistan, UZ – Uzbekistan.

Destinations of trophies

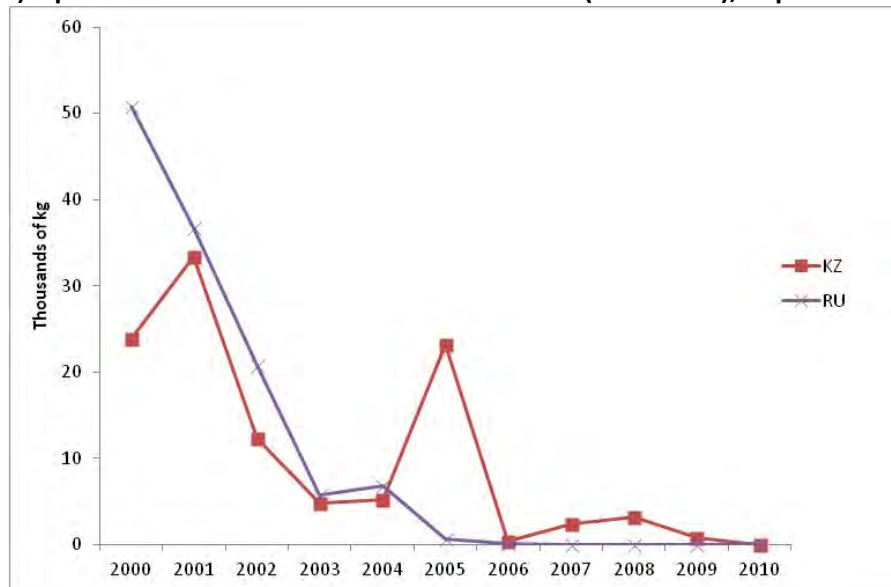
The EU was an important destination for hunting trophies exported from the target countries during the period 2000-2010. According to exporter reported quantities, 5005 trophies were imported into the EU between 2000 and 2010, the leading importers being Malta (1635 trophies – all Anatidae trophies), Germany (752 trophies), Spain (431 trophies) and France (353 trophies). The USA was the leading non-EU importer of hunting trophies exported from the target countries, importing 2850 trophies between 2000 and 2010 (exporters' reports). Norway, Mexico and Canada imported smaller numbers of trophies from the target countries, importing 326, 242 and 146 trophies, respectively, according to exporter reports. Given that the EU and the USA are key destinations for hunting trophies from the region, **Annex II** provides details of the stricter import measures these countries have introduced.

Caviar (and other sturgeon products)

Reported caviar (re-)exports from the target countries totalled 231 292 kg between 2000 and 2010, according to importers' reports (186 621 kg according to exporters' reports), and exhibited a general declining trend during this period (Figure 4).

Figure 4

Reported (re-)exports of caviar from Kazakhstan and Russia (2000-2010), importers' reports*



Source: CITES trade statistics derived from the *CITES Trade Database*, UNEP-WCMC, Cambridge, UK.

Abbreviations: KZ – Kazakhstan, RU – Russia.

*Importer reported quantities were used to analyse exports of caviar during the period 2000-2010. Russia only reported exports of caviar in 2000 and 2001 and not for the period 2002-2010 therefore importer reported quantities were consulted to reveal trends.

Kazakhstan and Russia were responsible for the majority of (re-)exports from the target countries (108 847 kg and 121 875 kg, respectively, according to importers' reports), nearly all of which originated from wild sources. Importer reports were considered in the present analysis due to gaps in reporting by Russia and Kazakhstan: Russia did not report any exports of caviar after 2001; Kazakhstan did not report any exports of caviar in 2005 and 2006.

Key importers of caviar from the target countries were the USA (127 130 kg), the EU (70 897 kg), Japan (10 389 kg), Switzerland (8235 kg), Turkey (7885 kg) and the UAE (4031 kg), according to importers' reports. Russia and Kazakhstan were also reported as the countries of origin for 95 091 kg of caviar re-exported from other countries between the years 2000 and 2010 (according to importers' reports), a key re-exporter being the UAE, which re-exported 38 841 kg or 41% of this total.

Export quotas for sturgeon caviar from the wild were not communicated by Kazakhstan and Russia to the CITES Secretariat and thus these are zero for the quota year 2013 (1 March 2013 - 28 February 2014). The EU has had a negative opinion in place since 2010 for imports of wild taken caviar from the Caspian range States (see **Annex II**).

Beluga Sturgeon *Huso huso* in the Review of Significant Trade process

Huso huso was previously included in the CITES Review of Significant Trade 2001-2006 (actions summarised in SC54 Doc. 30.1). The species was discussed again at the 23rd meeting of the Animals Committee, when it was recommended that the Secretariat and the range States provide a document at AC24, with detailed scientific information on which to base a decision (AC23 Summary Record). A questionnaire was subsequently sent to the range States of *H. huso* requesting a response by 31 October 2008. At AC24, *H. huso* was selected for inclusion in the Review of Significant Trade process (AC24 Summary Record). At AC25, the working group decided to retain Bulgaria, Georgia, Hungary, the Islamic Republic of Iran, **Kazakhstan**, **Russia** and Turkmenistan in the Review of Significant Trade.

At AC26 (March 2012) the following range States of *H. huso* were identified as of possible concern: the Islamic Republic of Iran, **Kazakhstan** and **Russia**; and the following recommendations were made to them:

Within 90 days, the Management Authority should:

a) Provide the Secretariat with written confirmation that the commercial catch of *H. huso* is prohibited during 2012.

Within two years, the Management Authority should:

b) If planning to resume the commercial catch and export of wild *H. huso* in 2013, provide to the Secretariat with a justification for, and details of, the scientific basis by which it has been established that any proposed export quota for *H. huso* will not be detrimental to the survival of the species and is in compliance with Article IV, paragraphs 2 (a) and 3.

At SC63 (March 2013), it was determined that recommendation a) had not been complied with by any of the countries and the Standing Committee recommended that all Parties suspend trade of *Huso huso* with, among others, Kazakhstan, Russia (and Iran). The Standing Committee decided that this recommendation would remain in effect until Kazakhstan and Russia demonstrated compliance with Article IV, paragraphs 2 (a) and 3 for the species concerned and provided full information to the Secretariat regarding compliance with the recommendations of the Animals Committee. The trade suspensions are still in effect at the time of writing.

Source: Anon, 2013j; Anon, 2012e; and Anon, 2013d.

Export of sturgeon meat and eggs

A total of 498 301 kg of sturgeon meat was exported from the target countries during the period 2000-2010, according to exporters' reports. Kazakhstan (436 973 kg) and Russia (61 328 kg) were responsible for 100% of these exports: Kazakhstan exports were primarily destined for Russia (424 591 kg), while Russia exports were primarily destined for the USA (54 942 kg) (exporters' reports). In terms of exports of live sturgeon eggs, Russia exported 520 005 specimens and 558 kg of eggs during the period 2000-2010 (exporters' reports), with the EU (110 kg) and China (390 kg) the leading importers during this period.

Live birds

(Re-)exports of live birds

During the period 2000-2010, 17 329 live birds were (re-)exported from the target countries, according to exporters' reports. The main families represented in (re-)exports of live birds from the target countries were: (i) Strigidae (5031 specimens, almost all of wild origin); (ii) Falconidae (4890 specimens, 72% of captive-bred origin); (iii) Psittacidae (3967 specimens, 97% of captive-bred origin);

(iv) Accipitridae (2476 specimens, 87% of wild origin); and (v) Gruidae (458 specimens, 75% of wild origin).

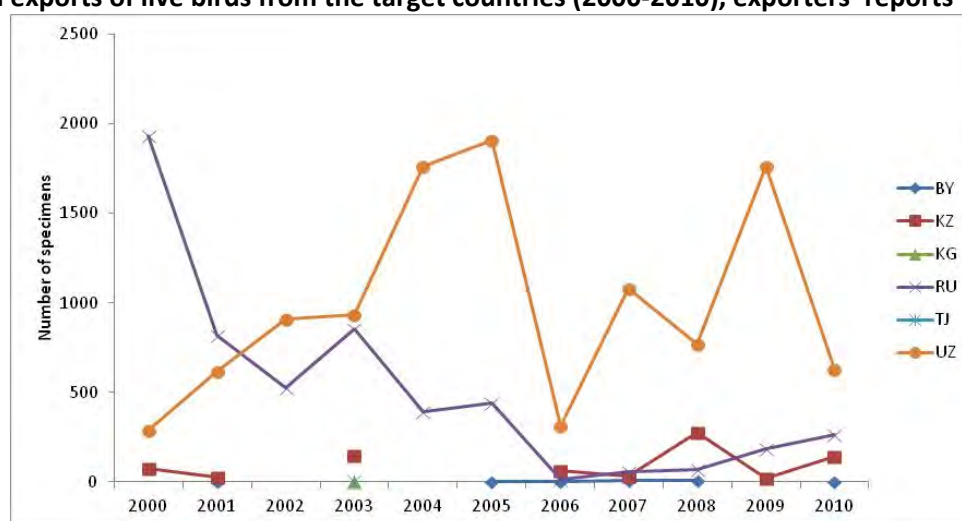
Uzbekistan was the leading (re-)exporter of live birds among the target countries, exporting 10 971 specimens (or 63% of the total) between 2000 and 2010 (**Figure 5**). (Re-)exports of captive-bred birds from Uzbekistan primarily involved Psittacidae and Falconidae specimens: exports of Psittacidae specimens fluctuated considerably during the period 2004 to 2009, from around 100 specimens in some years to over 1000 specimens in others, but declining to close to zero in 2010 (exporters' reports). (Re-)exports of wild-sourced birds from Uzbekistan primarily involved birds of prey, particularly specimens of the families Accipitridae, Falconidae and Strigidae. (Re-)exports of wild specimens from Uzbekistan peaked in 2004, before declining sharply to zero across all taxa in 2006 (according to both importer and exporter reports). For live birds of the family Falconidae, (re-)exports of wild specimens fluctuated at low levels after 2006, while (re-)exports of captive-bred specimens exhibited a slightly increasing trend from 2006 onwards. (See **Annex III** for 2013 CITES export quotas for live birds for Uzbekistan.)

Russia exported 5540 live birds during the period 2000-2010 (or 32% of total exports from the target countries), with Kazakhstan accounting for just over 4% of the total (787 specimens). (Re-)exports of live birds from Russia appeared to decline during the period 2000-2006 (**Figure 5**), beginning to increase again in 2009 and 2010 but not to the levels seen earlier in the decade. (Re-)exports of live birds from Kazakhstan appeared to peak in 2008 (277 specimens (re-)exported, according to exporters' reports), which was primarily due to a single commercial export of 220 captive-bred Saker *Falco cherrug* specimens to the United Arab Emirates (UAE).

It is noted that Tajikistan was the reported country of origin for 1028 live birds re-exported from Russia (625 specimens) and Ukraine (403 specimens) to Japan during the period 2000-2010 (exporters' reports). Nearly all of these commercial shipments involved wild-taken specimens of the families Falconidae and Strigidae, and took place in 2000 and 2001. However, the original exports of the specimens from Tajikistan to Russia and Ukraine were not reported (according to importer and exporter reports). Only two exports of live birds, involving a total of seven specimens, were reported from Tajikistan after 2001 (importers' reports).

The main importers of live birds exported from the target countries were Japan (7702 specimens), the UAE (3164 specimens), the EU (1037 specimens) and the Ukraine (658 specimens), according to exporters' reports.

Figure 5
Reported exports of live birds from the target countries (2000-2010), exporters' reports



Source: CITES trade statistics derived from the *CITES Trade Database*, UNEP-WCMC, Cambridge, UK.

*Importers' reports are used for Russia (for 2006 only), Kyrgyzstan (for 2000-2008) and Tajikistan (all years) for the reasons outlined in the Methodology section (no Annual Reports submitted by these target countries for those years).

Abbreviations: BY – Belarus, KZ – Kazakhstan, KG – Kyrgyzstan, RU – Russian Federation, TJ – Tajikistan, UZ – Uzbekistan.

A number of notable discrepancies were detected between numbers of live birds reported as (re-)exported from the target countries, according to importers' and exporters' reports (**Annex IV**). In particular:

- Between 2002 and 2004, the numbers of live (captive-bred) Falconidae specimens reported by the UAE as imported from Kazakhstan were higher than the exporter reported quantities (in 2002 and 2004, no (re-)exports were reported by Kazakhstan). This was also the case for imports of *Falco cherrug* from Kazakhstan by Saudi Arabia (**Annex IV**).
- Uzbekistan reported the (re-)export of a significant number of captive-bred Falconidae specimens to the UAE during the period 2001 to 2010 but, for most of these years, no equivalent imports of such specimens were reported by the UAE (**Annex IV 5**).

Trade in live birds between the target countries was significant during the period 2000-2010: 3800 specimens were (re-)exported from the target countries to Russia, according to exporters' reports. A large proportion of these (re-)exports concerned captive-bred specimens of the family Psittacidae (re-)exported from Uzbekistan under purpose codes P (personal use) (813 specimens) and T (commercial use) (2912 specimens). It is noted that a large proportion of these (re-)exports were reported by Uzbekistan as exporter but not also reported by Russia as importer (**Annex IV**). There were also discrepancies in the numbers of live birds reported as (re-)exported from Russia to Uzbekistan during the period 2000-2010 (see **Annex IV**).

Imports of live birds

The target countries imported 31 713 live birds during the period 2000 to 2010, according to exporters' reports. Over 90% of these imports concerned birds of the families Psittacidae (86% of the total, 56% of which were of wild origin) and Falconidae (7% of the total, 85% of which were of captive-bred origin). Russia was the leading importer of live birds among the target countries (26 764 specimens imported), followed by Uzbekistan (2890 specimens) and Kazakhstan (1902 specimens).

The main exporters to the target countries were (according to exporters' reports): (i) with respect to Psittacidae species, Suriname (5619 specimens), the Czech Republic (5155 specimens), Guyana (3299

specimens) and Guinea (2946 specimens); and (ii) with respect to Falconidae species, the UAE (2785 specimens). Exports of live Falconidae specimens from the UAE to the target countries generally involved reportedly captive-bred specimens for personal use, typically originating in EU Member States. Imports of live birds into the target countries have remained relatively stable since 2003, according to exporters' reports.

Saker Falcon *Falco cherrug* in the Review of Significant Trade process

At its 21st meeting (AC21, May 2005), the Animals Committee categorized Saker *Falco cherrug* as “of urgent concern” in nine range States and “of possible concern” in a further 26 range States. In consultation with the Secretariat, it formulated recommendations directed to the range States concerned with deadlines for their implementation.

As recommended by the Animals Committee, all range States of urgent concern (the Islamic Republic of Iran, **Kazakhstan**, **Kyrgyzstan**, Mongolia, Pakistan, **Russia**, Saudi Arabia, Turkmenistan and **Uzbekistan**) suspended the issuance of export permits for *F. cherrug* in November 2006 (Notification No. 2006/061). (The case of Mongolia was dealt with at SC58).

Concerning the remaining range States of urgent concern, the Animals Committee recommended at AC21 that those range States wishing to resume the exportation of *F. cherrug* from the wild should, by August 2007:

- i) conduct a survey of the status of *F. cherrug* in the country, including an assessment of distribution and abundance, population trends, threats to populations and other relevant factors to provide the basis for the making of non-detriment findings as required under the provisions of Article IV, paragraphs 2 (a); and
- ii) develop a science-based population monitoring system, and establish adaptive management programmes for harvesting of and trade in *F. cherrug*, taking into consideration the results of the survey referred to under i).

None of the eight range States concerned (Iran, Kazakhstan, Kyrgyzstan, Pakistan, Russia, Saudi Arabia, Turkmenistan and Uzbekistan) provided this information to the Secretariat or expressed a wish to resume authorizing exports of wild specimens of *F. cherrug* by SC59, March 2010.

At SC59 (March, 2010), it was agreed that for Iran (Islamic Republic of), Kazakhstan, Kyrgyzstan, Pakistan, Russia, Saudi Arabia, Turkmenistan and Uzbekistan:

- a) the Secretariat shall include a zero export quota for wild specimens of *Falco cherrug* from these range States;
- b) any State wishing to resume trade shall advise the Secretariat of measures taken to comply with the recommendations in sub-paragraph c); and
- c) the Secretariat, in consultation with the Chair of the Animals Committee, shall determine whether they have been implemented and report to the Standing Committee accordingly.

Source: Anon, 2012d

Trade in medicinal products derived from animals

The term “medicinals” is used in this report to refer to medicinal products and also to parts and derivatives for medicinal use. During the period 2000-2010, the majority of trade in medicinals involving the target countries consisted of (re-)exports from Russia.

Medicinal Leech

According to exporters' reports, 169 236 dead specimens and 774 341 live (mainly captive bred) specimens of Medicinal Leech *Hirudo medicinalis*, were (re-)exported, primarily from Russia to the EU for commercial purposes during the period 2000-2010.

Musk Deer

According to exporters' reports, a total of 429 kg of products consisting of/derived from Musk Deer *Moschus moschiferus* (reported under the CITES term "musk") were (re-)exported from Russia during the period 2000-2010. Importers' reports, however, show 1561 kg of "musk" were (re-)exported from Russia during the same period. The discrepancy is mainly related to (re-)exports of "musk" from Russia to the Republic of Korea, Hong Kong SAR and China. According to exporters'/importers' reports, the leading importers of "musk" from Russia during the period 2000-2010 were the Republic of Korea (244 kg/1340 kg), Hong Kong SAR (87 kg/200 kg) and China (86 kg/0 kg).

During the same period, 127 408 kg of products consisting of/derived from Musk Deer (reported under the CITES terms "derivatives", "extract" and "musk"), whose origin was given as Russia, were re-exported primarily from Hong Kong (SAR) (126 932 kg) and the Republic of Korea (462 kg) (according to exporters' reports).

Further background information on trade in "musk" can be found in reports published by TRAFFIC, available at <http://www.traffic.org/mammals/>, e.g. *No Licence to Kill: The Population and Harvest of Musk Deer and Trade in Musk in the Russian Federation and Mongolia* (Homes, 2004).

Brown Bear

Just over 100 kg of Brown Bear *Ursus arctos* gall/gall bladders were (re-)exported from Russia during the period 2000-2010 according to exporters' reports, although importers' reports show a much larger quantity of 3197 kg. Similar to "musk", the discrepancy is mainly attributable to differences in the quantities reported as imported by the Republic of Korea. According to exporters' reports, the leading importers of Brown Bear gall from Russia during the period 2000-2010 were Hong Kong SAR (62 kg), followed by China (24 kg) and the Republic of Korea (16 kg). However, the Republic of Korea reported imports of 3139 kg over the period.

In addition to (re-)exports of Brown Bear gall/gall bladders reported in kg, over 13 000 "specimens" were (re-)exported according to data from Russia (with almost none of this trade featuring in the reports of the countries of import – only 69 specimens according to importers' reports). This total was dominated by two particularly large (re-)exports in 2007: one of 3600 specimens of gall (re-)exported to Lithuania (reported under Purpose Code H, which is likely to be a reporting error); another 10 000 specimens of gall were (re-)exported to Latvia for commercial purposes.

Saiga Antelope

Kazakhstan was the only target country (re-)exporting Saiga Antelope *Saiga tatarica* horn¹⁵ during the period 2000-2010 according to exporters' reports. 26 500 kg of this commodity were (re-)exported to China in two commercial shipments (in 2001 and 2003). Hong Kong SAR also reported the import of 3000 kg of Saiga horn from Kazakhstan in 2002; however this commercial import was not reported as a (re-)export by Kazakhstan. It is noted that, as part of the Significant Trade Review process, in June 2001, the CITES Standing Committee recommended that CITES Parties suspend all imports of Saiga Antelope specimens from Kazakhstan and Russia until the two range States had complied with certain recommendations, including with regard to the implementation of a regional conservation strategy for the species. Since then, several steps have been taken to improve the

¹⁵ Reported with the CITES terms "horns" and "horn products".

conservation status of Saiga Antelope. These include the development of Medium-Term International Work Programmes for the Saiga Antelope (2007-2011 and 2011-2015) in support of a Memorandum of Understanding concerning the *Conservation, Restoration and Sustainable Use of the Saiga Antelope* (Anon., 2010a) and implementation of a *Saiga Action Plan* under the Convention on Migratory Species (CMS).

Russia and Kazakhstan were also the reported countries of origin for 6952 kg of Saiga Antelope horn re-exported by Singapore (4049 kg), China (2340 kg) and Hong Kong SAR (563 kg) between 2001 and 2010, according to exporters' reports. China has previously been identified as the largest importer and consumer of Saiga horn, with Singapore and Hong Kong SAR identified as important hubs for the Saiga horn trade in South-East Asia and East Asia respectively (von Meibom *et al.*, 2010).

Reptiles: Trade in non-medicinal bodies, parts and derivatives

Imports of reptile products

According to exporters' reports, a total of 1 104 021 specimens were imported into the target countries during the period 2000 to 2010. The vast majority (94%) were destined for Russia (1 041 395 specimens), with most of the remainder going to Kazakhstan (44 456 specimens, 4%). Imports of reptile bodies, parts and derivatives into Russia peaked in 2007, before declining slightly by the end of the decade (**Table 5**). There was a large discrepancy in the number of specimens reported as imported into the target countries: importers' reports showed just 310 specimens during the period.

The EU was the most important (re-)exporter of reptile bodies, parts and derivatives to the target countries between 2000 and 2010 (794 400 specimens, 72% of reported imports), with Italy, Germany and France the leading exporting EU Member States. Switzerland exported 278 126 specimens to the target countries during this period.

Over 90% of the specimens imported by the target countries were bodies, parts and derivatives of snakes (particularly *Python* spp.) and crocodiles (*Alligatoridae* and *Crocodylidae*), of which 65% and 53% respectively were of wild origin. Nearly all of the remaining imports involved lizard specimens, particularly *Varanus* spp. and *Tupinambis* spp., with over 99% of these specimens sourced from the wild. The majority of specimens imported by the target countries were small leather products (79%), with shoes and garments together comprising 14% of the total.

Table 5

Reported annual imports by the target countries of reptile bodies, parts and derivatives, exporters' reports (2000-2010)

	Year										
	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010
BY	381	215	364	367	546	507	1454	748	1015	460	540
KZ	370	545	653	1213	2281	7075	6289	8475	6810	5592	5153
KG					281	1	598	215	183	296	119
RU	28 457	28 062	40 108	54 427	69 714	127 243	154 263	164 148	157 130	105 411	112 432
TJ					62	1	56	56	133	26	1
UZ	374	88	178	196	367	757	1453	1429	1950	1512	1241
<i>Yearly total</i>	<i>29 582</i>	<i>28 910</i>	<i>41 303</i>	<i>56 203</i>	<i>73 251</i>	<i>135 584</i>	<i>164 113</i>	<i>175 071</i>	<i>167 221</i>	<i>113 297</i>	<i>121 496</i>

Source: CITES trade statistics derived from the *CITES Trade Database*, UNEP-WCMC, Cambridge, UK.

Abbreviations: BY – Belarus, KZ – Kazakhstan, KG – Kyrgyzstan, RU – Russian Federation, TJ – Tajikistan, UZ – Uzbekistan.

Live plants

According to exporters' reports, most of the trade in CITES-listed live plants (including seeds) involving the target countries consisted of imports into Russia (342 133 specimens) and, to a lesser extent, Belarus, Kyrgyzstan, Kazakhstan and Uzbekistan (together accounting for the import of 33 926 specimens). A total of 376 059 specimens were (re-)exported to the target countries during the period 2000-2010, of which the majority (91%) were artificially-propagated.

There was a very large discrepancy in the number of specimens reported as imported into the target countries: importers' reports showed just 10 specimens during the period.

The main taxa in trade were species in the following families: Amaryllidaceae (143 987 specimens, particularly *Galanthus* spp.), Cactaceae (117 248 specimens), Orchidaceae (70 324 specimens) and Primulaceae (33 952 specimens, all *Cyclamen* spp.).

The main (re-)exporters to the target countries were the Netherlands, the USA, Thailand and the Republic of Korea, which together accounted for 92% of (re-)exports during the period 2000 to 2010. Trends in (re-)exports to the target countries remained relatively constant between 2000 and 2010, with the exception of a peak in (re-)exports to Russia in 2007 (**Table 6**). This peak was chiefly related to several relatively large imports of wild and artificially-propagated specimens of *Galanthus* spp. and *Cyclamen* spp. from the Netherlands, a number of which originated from Turkey (exporters' reports). None of these live plant imports were reported by Russia.

Table 6

Reported annual imports by the target countries of live plants, exporters' reports (2000-2010)

	Year										
	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010
BY	0	0	0	0	0	0	371	2112	9338	52	0
KZ	0	0	12	0	49	5	0	560	4243	186	35
KG	0	0	0	0	0	0	0	12 200	21	0	0
RU	12 273	11 779	6907	22 425	29 625	22 439	41 534	167 126	5367	10 973	11 685
UZ	0	0	0	0	700	262	923	24	2071	2	760
<i>Yearly total</i>	<i>12 273</i>	<i>11 779</i>	<i>6919</i>	<i>22 425</i>	<i>30 374</i>	<i>22 706</i>	<i>42 828</i>	<i>182 022</i>	<i>21 040</i>	<i>11 213</i>	<i>12 480</i>

Source: CITES trade statistics derived from the *CITES Trade Database*, UNEP-WCMC, Cambridge, UK.

Abbreviations: BY – Belarus, KZ – Kazakhstan, KG – Kyrgyzstan, RU – Russian Federation, UZ – Uzbekistan.

Note: Tajikistan is not included as no trade recorded.

Live mammals

(Re-)exports of live mammals

A total of 3929 live mammal specimens were (re-)exported by the target countries during the period 2000 to 2010, according to exporters' reports. Taxa most commonly exported were: (i) Ursidae species (1210 specimens), primarily *Ursus arctos* (1056 specimens); (ii) Felidae species (892 specimens), particularly *Panthera tigris* (429 specimens) and, to a lesser extent, *P. leo* (232 specimens); and (iii) Cercopithecidae species (867 specimens), particularly *Macaca* spp. (688 specimens). The majority (77%) of live mammal specimens (re-)exported from the target countries were of captive-bred origin (3036 specimens). Most (wild and captive-bred) specimens (re-)exported from the target countries were (re-)exported for the purpose of circuses and travelling exhibitions (76%) and zoos (11%).

Imports of live mammals

A total of 8934 live mammal specimens were imported into the target countries during the period 2000 to 2010, according to exporters' reports. Taxa most commonly imported were: (i) Cercopithecidae species (6336 specimens), particularly *Chlorocebus* spp. (5380 specimens) and *Macaca* spp. (789 specimens); (ii) Felidae species (837 specimens), particularly *Panthera tigris* (362 specimens) and *P. leo* (260 specimens); and (iii) Ursidae species (816 specimens), particularly *Ursus arctos* (722 specimens). There was a discrepancy in the number of specimens reported as imported into the target countries: importers' reports showed just 620 specimens during the period.

The majority (69%) of live mammal specimens imported by the target countries were of wild origin (6142 specimens), however this total mainly reflects two particularly large imports of *Chlorocebus aethiops* by Russia from Tanzania in 2000 and 2001 for commercial/bio-medical research purposes (4460 specimens). These imports were not reported by Russia.

Timber

Although the number of trade records involving timber species in the CITES Trade database for 2000-2010 was relatively low, (a total of 58 records reported for this period) the target countries collectively imported a total of 2614 m³ of CITES-listed timber between 2000 and 2010, based on exporters' reports (taking into account transactions reported in m³ only). The main species in trade during this period was ramin *Gonystylus* spp. (2572 m³), most of which was imported by Russia (2348 m³).

SUMMARIES OF COUNTRY VISITS

This section aims to provide a snapshot of the status of CITES implementation and enforcement in the target countries with a focus on the following issues:

- national CITES legislation,
- compliance with CITES,
- national CITES authorities and their co-operation,
- CITES training and capacity building, and
- reported illegal trade.

Further information on issues such as registration and marking, and raising public awareness are also provided where available.

CITES National Legislation Project

CITES has an initiative to analyse national CITES legislation, which is conducted under the CITES National Legislation Project. The assessment places the national CITES legislation into one of three categories:

- **Category 1:** legislation that is believed generally to meet the requirements for implementation of CITES;
- **Category 2:** legislation that is believed generally not to meet all of the requirements for the implementation of CITES;
- **Category 3:** legislation that is believed generally not to meet the requirements for the implementation of CITES.

The legislative analysis focuses on four aspects: i) designation of national CITES authorities, ii) prohibition of trade in violation of the Convention, iii) penalization of illegal trade, iv) authorization to confiscate specimens illegally traded or possessed (see document CoP12 Doc. 28 for more details).

BELARUS

Population: 9.5 million

Area: 207 600 km²

Official languages: Belarusian and Russian

Capital: Minsk

CITES accession date: 10/08/1995

CITES legislation: category 2 according to CITES national legislation project (Anon, 2013k)

CITES export quotas: none published

CITES MA: Ministry of Natural Resources and Environmental Protection

CITES SA: National Academy of Science



Source: CIA World Factbook

<https://www.cia.gov/library/publications/the-world-factbook/geos/bo.html> (downloaded 1 Sept 2013)

National CITES legislation

An overview of the national CITES legislation of Belarus is provided in **Annex V**. As part of the national legislation project, in January 2013, the CITES Secretariat sent reminders on behalf of the Standing Committee to Parties that had not submitted updated information to the Secretariat on the progress made for the submission of legislation for parliamentary, cabinet or ministerial approval, among them to Belarus (Anon., 2013g). During the visit to the country, the Belarusian MA noted to TRAFFIC that legislation text had been submitted to the CITES Secretariat in Russian. TRAFFIC encouraged the translation of these legal texts into English. The MA of Belarus reported that the translated texts were sent to the Secretariat in June 2013.

Compliance with CITES provisions

Belarus submitted annual reports for the years 2008, 2009 and 2010 with a delay in April/May 2012. The annual report for 2012 was submitted in Jan 2013 (Anon., 2013a). Belarus submitted all four biennial reports to the CITES Secretariat required for the period 2003-2010 (Anon., 2013c).

National CITES authorities and interagency co-operation on CITES

Changes in the staff of the MA were reported to be frequent during the country visit. Communication with the CITES Secretariat, different CITES committees and with the EU Scientific Review Group (SRG) has been reported to be limited. The latter led to the formation of a negative opinion by the SRG in 2003, which resulted in a suspension of imports into the EU of Grey Wolf *Canis lupus* hunting trophies from Belarus in 2004 (see **Annex II** for further information on EU stricter measures).

During the meeting with the CITES authorities in Belarus, co-operation between the Customs authority and the MA were described as weak: when CITES specimens are imported with permits, the MA does not receive copies of the permits, leading to poor reporting of actual imports in annual reports.

Registration and captive breeding

According to existing regulations, CITES-listed species bred in captivity in Belarus must be registered by the MA. The registration is the responsibility of the owner of the specimen within one month of purchase or entrapment. Registration of offspring must take place no later than five days after they reach three months of age. It is not permitted to keep unregistered wild animals in captivity. The register is held centrally by the CITES MA and is said to be in the process of being transferred from paper based administration to an electronic database.

According to the Belarusian CITES authorities, the demand for exotic animals and plants appears to be very low in Belarus. In 2008-2012, 18 registration certificates (13 for App. II-listed species, five for App. I-listed species) were issued by the CITES MA to captive breeding facilities.

At the time of writing, no requirements were in place for the marking of CITES-listed species in Belarus.

Training and capacity building

According to the CITES authorities in Belarus, there is no specialized training course on CITES available in educational institutions or training centres of enforcement agencies, such as Customs. No CITES training workshops or other events took place in Belarus in the period 2005-2012. However, in December 2011, the Scientific Authority (SA), Customs and veterinary specialists took part in a training seminar in Tbilisi, Georgia, sponsored by IFAW and WWF. According to TRAFFIC's research and the Belarusian CITES MA, training is particularly needed for Customs. Customs offices

have computer and internet access and therefore could make use of capacity building materials available online.

At the time of writing, the following field guides to CITES specimens were being used:

- *Concise Field Guide to Animals and Plants included in the CITES Appendices* by V. Ilyashenko (ed) (1999). WWF Russia.
- *An illustrated field guide to the animals and plants listed in the CITES Appendices most frequently encountered in Belarus*. (“BelNITs Ekologiya” 2005-2006, research advisor – Novitsky, R.V.)

Reported illegal trade

Belarusian Customs detected eight cases of illegal movement of CITES-listed specimens across the border during the period 2009-2011, resulting in the confiscation of 145 specimens. All the cases took place on the Ukraine-Belarus border and involved insect chrysalises. Exact species names were not recorded by the authorities.

Public awareness

The Ministry of Natural resources and Environmental Protection website (www.minpriroda.gov.by) has all the information necessary for the correct application of CITES requirements in Belarus. Public awareness about CITES is perceived to be low according to CITES authorities in the country.

KAZAKHSTAN

Population: 17.7 million

Area: 2 724 900 km² (the largest landlocked country in the world)

Languages: Russian (official),
Kazakh (State)

Capital: Astana (former capital:
Almaty)

Government type: presidential
republic

CITES accession date:
20/01/2000



Source: World Factbook, CIA (<https://www.cia.gov/library/publications/the-world-factbook/geos/kz.html>)

CITES legislation: category 2 according to CITES national legislation project (Anon, 2013k)

CITES MA: Committee of Forestry and Hunting of the Ministry of Environment Protection (before 2013: Forestry and Hunting Committee of the Ministry of Agriculture); **For fish and other aquatic animals:** Ministry of Agriculture, Fish Industry Committee

CITES SA: Zoological Institute of Ministry of Education and Science

National CITES legislation

An overview of the national CITES legislation of Kazakhstan is provided in **Annex V**. CoP16 Doc. 28 on National laws for implementation of the Convention (Annex 2) lists Kazakhstan among “Parties requiring attention as a priority” (Anon., 2013k). Kazakhstan has informed the Secretariat that the national law on the protection, reproduction and use of animals was amended in January 2012 and now includes additional clauses concerning CITES, including on functions and competencies of the relevant government authorities. At the time of TRAFFIC’s visit to Kazakhstan, the head of the MA explained that all necessary documents had been sent to the Secretariat. According to Kazakh authorities, the current legislation fulfils the obligations under the Convention and should therefore be placed in Category 1. The Secretariat is in the process of reviewing the new information and consulting bilaterally with the CITES Management Authority of Kazakhstan as well as with other national authorities on the matter.

National CITES authorities and interagency co-operation on CITES

CITES is not regarded as a priority issue by Customs and more widely by the government, which results in low staff capacities, especially at the MA. The frequent changes in government structure (ministries, agencies) make stable and continuous work difficult, including communication with the CITES Secretariat. Co-operation between some authorities is made difficult by territorial disconnection: the MA is located in the new capital Astana, while the SA has remained in the former capital Almaty along with all the scientific institutes/universities. While there is co-operation between the MA and Customs, it is not regular or institutionalized by a formal agreement or MoU.

Regarding enforcement, it is worth noting that Flora and Fauna International (FFI) provided financial support in February 2013 for a week-long exchange trip to the World Customs Organization’s Canine Training Centre in the Czech Republic by a delegation of four officers from the regional dog training centre and regional Customs departments from Kazakhstan (M. Karlstetter, FFI *in litt.* to K. Kecse-Nagy, March 2013). FFI also reported that Kazakhstan is very interested in developing its own dog

training for implementing CITES. According to FFI, the dog training centre in Kazakhstan appears to be very experienced and it is hoped that once a training programme for implementing CITES has been developed there, the centre could function as a training hub for the region. The centre has already trained officials from Uzbekistan, Turkmenistan, Tajikistan, Mongolia, Afghanistan and Kyrgyzstan (M. Karlstetter, FFI *in litt.* to K. Kecse-Nagy, March 2013). Kazakhstan plans to purchase and train wildlife detector dogs in early 2014 (M. Karlstetter, FFI *in litt.* to K. Kecse-Nagy, August 2013). FFI also reported discussions with Nazarbayev University on the use of gas-chromatography to determine the specific odour composition of a pair of confiscated Saiga Antelope horn. It is a legal requirement to ensure Saiga Antelope horn can be discriminated from other ungulate horns (M. Karlstetter, FFI *in litt.* to K. Kecse-Nagy, August 2013).

Compliance with CITES provisions

Kazakhstan submitted annual reports for 2008, 2009 and 2010 with a delay in July 2012 (Anon., 2013a). Kazakhstan did not submit biennial reports in the period 2003-2010 (Anon., 2013c).

A trade suspension for Beluga Sturgeon *Huso huso* from Kazakhstan has been in place since 2 May 2013 (see also the section on caviar in the trade chapter). Some other CITES-listed species for which Kazakhstan is a range State, have been in the Review of Significant Trade process, for instance, Saiga Antelope (trade suspended in 2001) and Saker Falcon (zero quota set by the relevant CITES committees from 2007, see also the relevant sections of the trade chapter).

Training and capacity building

Staff training for the Kazakh Customs Control Committee is carried out in the Russian Customs Academy as well as via training courses held in Kazakhstan. Customs officers are required to take training courses regularly, which focus on specialized issues.

According to Kazakh Customs, staff are generally aware of CITES. There are identification and information materials in all Customs border offices, which are based on materials developed in Russia. All officers know where to report seized CITES specimens and where to seek expert advice for species identification. Samples of blank CITES permits, stamps and signatures are also said to be available at all Customs border offices.

A training-seminar was organized by the Ministry of Finance (Customs Control Committee) with support from the United Nations' Food and Agricultural Organization (FAO) in Almaty in 2012. A brief overview lecture on CITES was given as part of the seminar.

All Customs checkpoints are equipped with computers and have access to the Internet and to the restricted information networks and databases. Customs have focused a great deal on changing to electronic processes (vs. paper based administration).

FFI has developed Russian language CITES training materials for the region and is currently discussing with the Kazakh authorities whether there would be interest and need to adapt these for Kazakhstan (M. Karlstetter, FFI *in litt.* to K. Kecse-Nagy, August 2013).

Illegal trade

Neither the MA, nor the employees of the Customs Control Committee had any specific information regarding seizures of CITES specimens at the borders of Kazakhstan. Searching Russian language websites brought no results either. However, according to interviews conducted as part of this project, there are illegal exports of CITES-listed species, involving:

- Saiga Antelope *Saiga tatarica* horns to China;
- Saker Falcon *Falco cherrug* to the Middle East and Pakistan;

- Commercial volumes of Horsfield’s Tortoise *Testudo horsfieldi* to Russia and Uzbekistan;
- Illegal trophy hunting for mountain sheep (e.g. Argali *Ovis ammon*), for example using permits issued for hunting for scientific purposes. The main customers of these “black outfitters” are said to be wealthy hunters from Russia. The trophies are then said to be exported within the Customs Union without any registration.
- According to Kazakh hunting legislation, it is permitted to shoot Grey Wolf *Canis lupus* during any legal hunt without a licence. Many outfitters include Grey Wolf hunts as an add-on to trophy hunts targeting mountain sheep. Hunters from Russia and to a lesser extent from Belarus are believed to be involved in the export of Wolf trophies without the necessary CITES documentation.

Regional co-operation on CITES

A consultative meeting on “Development of international co-operation for the realization of CITES in the Altai-Sayan Ecoregion” took place in 2007 in Novosibirs. Participants included CITES authorities (MA, SA as well as Customs) from Russia, Kazakhstan and Mongolia, as well as international non-governmental organizations. The main target of the meeting was to establish working relations between Customs of the invited countries, as well as agencies and institutions involved in CITES implementation. Special attention was drawn to the development of active co-operation. Preventing trafficking of certain key species was discussed, with detailed discussions on Saiga Antelope, Argali, Saker and Gyr Falcons. The meeting was organized under the framework of a United Nations Development Programme, Global Environment Facility project on “Biodiversity Conservation in the Russian Section of the Altai-Sayan Ecoregion” in support of a project on “Conservation and Sustainable Use of Biodiversity in the Kazakhstani Sector of the Altai-Sayan Ecoregion”.

KYRGYZSTAN

Area: 199 951 km²

Population: 5.5 million

Government type: republic

Languages: Kyrgyz and Russian (both official)

Capital: Bishkek

CITES accession: 04/06/2007

CITES legislation: category 2 according to CITES national legislation project (Anon, 2013k)

CITES MA: Government Agency of Environmental protection and forestry

CITES SA: Biological and Soils Institute of the National Academy of Science



Source: World Factbook, CIA

<https://www.cia.gov/library/publications/the-world-factbook/geos/kg.html> (downloaded 24 August 2013)

National CITES legislation

An overview of the national CITES legislation of Kazakhstan is provided in **Annex V**. There were two periods of political instability, sometimes referred to as ‘revolutions’ in Kyrgyzstan in 2005¹⁶ and in 2010¹⁷, which have caused delays in the development of the country’s legal framework in general.

Background, national CITES authorities and interagency co-operation on CITES

The above-mentioned revolutions also brought about changes of governments as well as significant staff changes in the various management authorities. Some paper documents were lost during the turmoil, in particular a formal co-operation agreement between the Academy of Science (SA) and Environmental Agency (MA) as well as between the Environmental Agency (MA) and Customs. According to the CITES authorities, although these agreements were not implemented in practice, they provided a framework for co-operation, which has now been lost as the agreements have not yet been renewed.

There were said to be few staff working on wildlife protection and control of trade in wildlife at the time of the country visit. Authorities spoke about a lack of equipment and insufficient training of both Customs officers and nature conservation agency employees. At the time of writing, all databases, both at the MA and Customs, were largely still on paper, making their practical use difficult.

It was said that information about imported specimens was not being passed on by Customs to the MA.

¹⁶ http://en.wikipedia.org/wiki/Tulip_Revolution

¹⁷ http://en.wikipedia.org/wiki/Kyrgyz_Revolution_of_2010

Kyrgyzstan has been setting hunting quotas for Argali, one of the most valuable CITES-listed hunting species in the country. The hunting quotas are based on data obtained from regular monitoring of the populations (Mallon, 2013).

Compliance with CITES provisions

Kyrgyzstan became a CITES Party in June 2007 and submitted its first annual reports for 2009, delayed until July 2012. The annual report for 2010 was also submitted at the same time (Anon., 2013a). At the time of writing, Kyrgyzstan has not submitted any biennial reports (Anon., 2013c).

Kyrgyzstan has been implicated in the Review of Significant Trade process for Saker Falcon, as a result of which, a zero export quota was set by the relevant CITES committees from 2007 (see also relevant sections of the trade chapter).

Training and capacity building

According to the MA and SA, Kyrgyz CITES authorities lack knowledge about CITES. There are no educational materials or CITES identification guides aimed at Customs officers. There is no regular training for Customs or for the inspectorate of the Government Agency of Environmental Protection and Forestry. The SA reported not being familiar with international CITES processes and thus raised the need for more active involvement in international CITES meetings to build capacity in this regard. The lack of knowledge of official CITES languages among CITES staff was also noted, which hampers communication with the CITES Secretariat, some CITES Parties and at the same time hinders active involvement in international meetings.

Customs officers are trained at the National Law Academy, and in the Russian Customs Academy (there is a yearly quota of 10 officers) as well as in the Customs Academy in the Ukraine. Most of those working in Customs have a variety of backgrounds and training. The key requirement is to have some form of higher education and once selected during the recruitment process, candidates are trained at the Centre of Professional and Canine Training for 1.5 months.

MA employees organized training seminars for Customs officers in 2009 and 2012. The MA took part in several international seminars on CITES implementation.

According to MA, SA and Customs staff, there is an urgent need for organizing training seminars on a regular basis, as well as for providing CITES training, reference and identification materials.

According to the German CITES Biennial Report for 2010-2011, following an invitation of the CITES MA in Kyrgyzstan, co-organized by the German Society for International Cooperation (Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH, GIZ), a representative from the German CITES MA (Federal Agency for Nature Conservation) took part in a fact-finding mission to Kyrgyzstan on 14-18 May 2012, looking into different aspects of CITES implementation. The mission helped to improve the implementation and enforcement of CITES in Kyrgyzstan and to promote a better representation of interests of Kyrgyzstan as a Party to the Convention. A report with several recommendations to increase the effectiveness of CITES implementation was prepared by the German MA and officially transmitted to the Kyrgyz CITES MA as well as to the CITES Secretariat.

Reported illegal trade

No seizures of CITES specimens have been made at the Kyrgyz borders since the country's accession to the Convention in 2007. The most recent seizure found during internet research dates back to 2004 and involved Saker Falcons at a Russian air base in Kyrgyzstan. (No specific details could be obtained.)

Nevertheless, based on discussions with the MA and SA employees, some information on illegal trade of wildlife was obtained:

- Kyrgyzstan is thought to be a transit country for illegal trade in live parrots and exotic ornamental plants (mainly orchids) going from China to Russia and Kazakhstan;
- The collection of medicinal and aromatic wild plants, their seeds and bulbs is reported to be significant in Kyrgyzstan. Large amounts (tonnes) of these raw materials are processed in the country. The processed materials are then exported to China (sometimes via Kazakhstan).
- The chrysalises of butterflies and beetles are also said to be collected on a large scale;
- Kyrgyzstan is said to play a transit role in the illegal trade of falcons to the Middle East. The falcons are thought to originate from Kazakhstan and Russia (e.g. Gyr Falcons from the Altai and Kamchatka). To a lesser extent, falcons are also wild caught in Kyrgyzstan. Unregistered breeding facilities, claimed to be financed from the Middle East, so that illegally caught and imported falcons can be exported with CITES documents claiming the specimens were captive bred;
- Increased demand for Snow Leopard *Uncia uncia* skins in the early 2000s led to a poaching boom, which later declined significantly. However, currently in Kyrgyzstan and neighbouring Tajikistan (Gorno-Badakhshansky region) there are rumours of demand for Snow Leopard bones for traditional Asian medicine, with prices said to be in the region of USD500-600 per kilogramme;
- Significant numbers of Horsefield's Tortoise are exported to Russia, China, Turkey and the UAE;
- Frogs, bear fat and bile (of the App. I-listed subspecies *Ursus arctos isabellinus* obtained by local hunters) are said to be exported to China without permits.

Public awareness

The Department of Hunting of the Government Agency of Environmental Protection and Forestry maintains a specialized website, which contains information about CITES and describes the procedure for obtaining CITES documents (www.nature.kg). The Customs website is available at www.customs.gov.kg.

RUSSIA



Source: CIA World Factbook <https://www.cia.gov/library/publications/the-world-factbook/geos/rs.html> (downloaded 9 September 2013)

Population: 143 million

Area: 17 098 242km² (the largest country in the world)

Languages: Russian (official), many minority languages

Capital: Moscow

Government type: presidential republic

Administrative divisions: 83 subordinate entities: 46 regions, 21 republics, 9 territories, 2 cities of federal subordination, 4 autonomous districts, and 1 autonomous region

CITES accession date: 13/01/1992 (a continuator of the USSR, joined in 1976)

CITES legislation: category 1 according to CITES national legislation project (Anon, 2013k)

CITES MA: the Federal Supervisory Natural Resources Management Service (Ministry of Natural Resources and Environment);
For sturgeons: Federal Agency for Fisheries

CITES SA: Russian Institute of Nature Protection; Severtsov Institute of Ecology and Evolution of the Russian Academy of Science;

For Sturgeons: Russian Federal Research Institute of Fisheries and Oceanography

National CITES legislation

The legislation in Russia sets out clearly the roles and responsibilities of government agencies regarding CITES implementation and enforcement. However, there are some gaps, inaccuracies and contradictions, which hamper implementation of the regulations. This is partly due to the fact that current laws and regulations were adopted in different time periods when the country had a different form of government. New laws were sometimes approved without formal cancellation of old ones or without examining previously approved legislation (Vaisman, 2012).

In June 2013, the Russian State Duma (parliament) approved amendments to the legislation that mean tougher punishments for poaching and trafficking of rare species. Amendments were made to the Criminal Code and the Code of Administrative Offences. Regarding the latter, penalties have been increased for the illegal hunting, storing, transportation, collection, management and purchase of any specimens of rare species to around USD157 for natural/physical persons and around

USD31 373 for legal persons/entities. Even more significant changes have been introduced to the Criminal Code for the illegal trafficking of “especially valuable wild animal and aquatic biological resources, included in the Russian Red Data Book and (or) protected by international treaties (live specimens, as well as their parts and derivatives). The penalty for someone committing the crime alone is a fine of around USD31 373, imprisonment for one year as well as confiscation of the specimens; and for a member of a criminal group, the fine is the same with up to two years imprisonment.

There is now also a separate article on “illegal hunting, storage, purchasing, keeping, transportation, shipping and selling of especially valuable wild animal and aquatic biological resources, protected according to the Russian Red Data Book and/or protected by international treaties to which Russia is a Party”, (also covering parts and derivatives as well as live specimens). The penalty is now a fine of around USD 31 000 and imprisonment for one year for someone acting alone, or around USD 62 000 and imprisonment for up to seven years, for members of criminal gangs.

Due to gaps in national legislation, currently there is no agency responsible for controlling wildlife trade within Russia. Only specimens of species that can be legally hunted are required to be controlled internally although there are no specific legal requirements for police and other authorities to carry out these duties.

National CITES authorities and interagency co-operation on CITES

There is a transparent system governing the issuance of CITES permits in Russia. Decisions are made by a special Committee, which also includes NGO representatives.

There is poor co-operation between Customs and the MA, with copies of CITES permits seldom passed on.

Compliance with CITES provisions

Russia did not submit an annual report for 2006 during the period 2006- 2012 (Anon., 2013a). Between 2003-2010, Russia submitted one biennial report covering the period 2005-2006 (Anon., 2013c).

Since 2 May 2013 a trade suspension for Beluga Sturgeon *Huso huso* from Russia has been in place (see also section on caviar in the trade chapter). Some other CITES-listed species for which Russia is a range State have been in the Review of Significant Trade process. For instance, Saiga Antelope (trade suspended in 2001) and Saker Falcon (zero quota set by the relevant CITES committees from 2007, see also relevant sections of the trade chapter).

Training and capacity building

The formal training of Customs officers in Russia takes place at the Russian Customs Academy and its branches located in Vladivostok, Rostov-on-Don and Saint-Petersburg. The re-training of specialists, such as lawyers, economists, and retired officers from the police or army, is also widespread. Specialists in other fields, such as biologists, geologists, humanitarians, who can provide expertise on specific issues, are also actively hired. The re-training is carried out by special departments of the Customs Academy and its branches as well as in scientific and training centres of the territorial offices of the Federal Customs Service.

For the officers of the Federal Customs Service, it is obligatory to undertake further training at least once every five years. In addition to these, brief training courses are also organized if there are changes to regulations or if new equipment is introduced.

The Federal Customs Service also hosts a well-developed detector dog service, which has been especially active from 2005 onwards in the detection of wildlife goods, especially, CITES-listed species. A number of illegal shipments have been detected with the help of detector dogs. For example, in June 2011, a specially trained sniffer dog in the Russian city of Blagoveschensk on the border with China, led Customs Officers to a haul of more than 1000 Brown Bear paws in the back of a lorry (Anon., 2011).

The first CITES field guides were compiled in 1998 by TRAFFIC and WWF in Russia. In 2005, a specialized course for the Customs Academy was developed by TRAFFIC entitled “Customs regulation and the prevention of the international illegal trade in CITES-listed species”. The course textbook and a CITES field guide were published on a CD-ROM. The course has been in the curriculum of the Customs Academy since 2006. A special course on prevention of smuggling of biological resources has been developed by the Vladivostok branch of the Customs Academy. There is also a specialized course adapted to the local conditions in the Russian Far East. Updated information materials, textbooks and new field guides on CDs have been published many times.

Reported illegal trade

Information on detected cases of illegal trade involving CITES species are not recorded centrally in Russia, only regionally. Therefore, this section is based on information obtained during the interviews conducted as part of this project as well as on previous research carried out by TRAFFIC. Illegal imports into Russia mainly involve live reptiles, amphibians, primates and parrots used as pets or for captive breeding. Some of these illicit imports are destined for “home zoos” of wealthy people. Although this trade involves small numbers of specimens, it is reported to be a persistent phenomenon. Reptile skins are illegally imported to be manufactured into various leather products. Hunting trophies are also imported illegally, including, Argali *Ovis ammon* trophies from Kyrgyzstan and Tajikistan (see relevant country profiles). Seasonally (usually in the spring), large quantities (several million) of snowdrops, *Galanthus* spp. and *Cyclamen* spp., are illegally imported into Russia from the Ukraine and Georgia.

Illegal export is mainly to the Middle East and China. Falcons (primarily, Saker Falcon and Gyr Falcon) are destined for the Middle East. In 2008 the total number of illegal falcon exports from Russia was estimated as between 1000 to 1500 specimens a year. Live falcons are seized by Customs at borders on a regular basis. Many parts and derivatives, used in traditional Asian medicine, are illegally exported to China, estimated as follows:

- Musk from Musk Deer: 400-420 kg per year (equivalent to approximately 20 000 adult males);
- Brown Bear: bile and paws – no estimate of volume available (though note the seizure reported in the section above);
- Ginseng *Panax ginseng*: 2 tonnes per year;
- Tiger: approximately 30 specimens are poached a year. It is estimated about half of these are smuggled to China as bones;
- Saiga Antelope: there are reports of illegal hunting of male Saiga Antelopes for their horns, which are used in traditional Asian medicine. No estimates are available on the levels of this illegal trade.

TAJKISTAN

Area: 143 100 km²

Population: 7.9 million

Government type: republic

Languages: Tajik (official), Russian widely used in government and business

Capital: Dushanbe

CITES accession: Non-Party

Authority competent to issue comparable CITES

documentation: Committee on Environmental Protection



Source: World Factbook, CIA, <https://www.cia.gov/library/publications/the-world-factbook/geos/ti.html> (downloaded 4 September 2013)

Scientific institution capable of advising that an export is not detrimental to the survival of the species concerned: Committee on Environmental Protection

National CITES legislation

See Annex V. for an overview of the Tajik national legislation relevant to CITES. Current legislation focuses on the protection of native wildlife and not on exotic species. Tajikistan is not a Party to CITES and thus its national legislation has not been assessed as part of the CITES National Legislation Project.

National authorities and interagency co-operation

Following the collapse of the Soviet Union in 1992, it was officially communicated to the CITES Secretariat that the Russian MA would assist former USSR States in issuing CITES permits until they joined CITES. Accordingly, during the last two decades Tajikistan has received CITES re-export permits from the Russian MA.

The Tajik authorities said, during the country visit in April 2013, that they were very close to joining CITES. In preparation for CITES accession, the Committee on Environment Conservation of the Government of Tajikistan informed the CITES Secretariat that Tajikistan started to issue national export permits for CITES-listed species in 2010 and stopped obtaining CITES permits from the Russian MA from September 2011 onwards. Samples of permits, seals and signatures have been sent to the CITES Secretariat.

The Tajik Authorities met during the country visit reported in April 2013, that the President of Tajikistan has made strong recommendations to the Tajik Parliament regarding the ratification of CITES before the start of the next parliamentary vacations in July 2013. However, no information about further progress has been received.

Currently the authority competent to issue Tajik export permits and other comparable documents (the Committee on Environmental Protection) is the agency planned to be appointed as the CITES MA on accession to the Convention. The Zoological and Parasitological Institute and the Forest Institute of the National Academy of Science will possibly be appointed as SA.

Information exchange and co-operation between Customs and the environmental-protection authorities is required by law. However, in practice it is rare and sporadic.

Tajikistan has been setting hunting quotas for Argali, one of the most valuable CITES-listed hunting species in the country. The hunting quotas are based on data obtained from regular monitoring of the populations (Mallon, 2013).

Compliance with CITES

Tajikistan is not required to submit annual or biennial reports to CITES. However, the country has been implicated in the Review of Significant Trade process as a range State for Horsfield's Tortoise¹⁸.

Legal trade

According to the Head of the Division for the Protection of Flora and Fauna, Abdukadir Maskaev, in accordance with a decree of the President of Tajikistan, a moratorium has been declared on the export of wild animals native to Tajikistan, unless a harvest quota is set. Quotas have been set for huntable species, such as Argali (see also section on hunting trophies in the trade chapter), but not for live tortoises (e.g. *Testudo horsfieldii*) due to a lack of information on the number and status of wild populations.

Training and capacity building

Customs officers are trained at the faculty of Tourism and Customs services, of the Institute of Business and Service and in the Customs Department of the Institute of Economics. Several economic departments of a number of higher education institutions also offer a degree in Customs matters. The Russian Customs Academy provides an annual quota for the free education of specialists from Tajikistan. Economists and lawyers can also take on positions within Customs without specialized education due to a shortage of staff.

CITES training materials are not yet available in the country. There are materials to prevent poaching of native wildlife designed for hunting inspectors.

Trainings on CITES were held in Dushanbe in November 2012 and February 2013 as part of an Organization for Security and Co-operation in Europe (OSCE) education programme focusing more on theoretical than practical implementation.

In order to prepare for CITES accession, the MA and Customs will need training, both to be future trainers as well as for front-line officers.

Illegal trade

According to information obtained during the country visit in April 2013, trophy hunting of mountain ungulates involves high revenues, corruption and illegal trade. There are several official hunters and hunting associations in Tajikistan, who organize trophy hunting and tend to accuse their competitors of organizing "black" hunts, exceeding quotas and being involved in illegal export. It is likely that there is illegal trophy hunting and that the illegal export of trophies occurs too. A former TRAFFIC staff member was an expert witness to the seizure of hunting trophies (skulls, skins and horns) arriving on a Dushanbe-Moscow flight at Moscow's Domodedovo International Airport in 2009. The case involved five Marco Polo Sheep *Ovis ammon polii* (App. II) and two Markhor *Capra falconeri*

¹⁸ The outcome of the process is likely to be positive for Tajikistan, as the country has not allowed the export of Horsfield's Tortoise in recent times. It is noted that the summary records of the 63rd meeting of the Standing Committee had not yet been published at the time of writing.

(App. I) trophies. The shipment was accompanied by false Russian MA CITES permits. The quality of the falsified permits was so good that at first it did not arouse suspicion and only comparison of the permits' details with information logged by the Russian MA revealed the fraud (Anon., 2009a).

According to information obtained during interviews with people involved in trophy-hunting tourism, the hunting of two animals per permit is also quite common even though the permit is for one specimen only. This usually happens after, having shot one animal, the hunter encounters another one with better trophy properties. The organizers of the hunt may decide to overlook the shooting of the second specimen for an additional (unofficial) fee. According to interviews conducted as part of this project, trophies are mostly taken to Kyrgyzstan, from where they are exported illegally.

There are also reports of several butterfly (Lepidoptera), mainly endemic species, being caught in Tajikistan and then exported (Alikhon Latifi, advisor of Tajik Hunting Association pers. comm. to A. Vaisman, 2013). There was also mention of illegal falcon trade, but the scale of this appears to be insignificant. Among the people living in remote villages in the Gorno-Badakhshan region of Tajikistan, there are rumours of Chinese traders buying Snow Leopard *Uncia uncia* (App. I) bones at a price of USD500-600 per kilogramme.

Public awareness

Public awareness raising will also be required upon accession to CITES.

UZBEKISTAN



Source: World Factbook, CIA, <https://www.cia.gov/library/publications/the-world-factbook/geos/uz.html> (downloaded 7 September 2013)

Population: 28.6 million

Area: 447 400 km²

Languages: Uzbek (official), Russian, Tajik

Capital: Tashkent

Government type: republic

CITES accession date: 10/07/1997

CITES legislation: category 2 according to CITES national legislation project (Anon, 2013k)

CITES MA: State Inspectorate on Wildlife Conservation (Gosbiocontrol), State Committee on Nature Protection

CITES SA: Zoological Institute of Academy of Science and Institute of Botany of the Academy of Sciences

National CITES legislation

An overview of the national CITES legislation of Uzbekistan is provided in **Annex V**.

The following are banned from import/export to/from Uzbekistan:

- rare and endangered species of animals, wild drugs, food and ornamental plants that are listed in the Red Data Book, without the permission of the State Committee for Nature Protection;
- products of wild origin without the permission of the Sanitary and Epidemiological Service.

The legislation also refers to a document called “the list of biological objects banned for export from the Republic of Uzbekistan”, but there is no such document in any database and the MA has no information about it so it is assumed that this document was planned but never written.

The *Criminal Code* has a section (Chapter XIV) on the protection of environmental and natural resources, in particular Article 200 “Violation of veterinary rules” and Article 202 “Violation of use of animal and plant resources”, however these do not directly concern CITES.

In accordance with the Rules, all use of wildlife included in the Red Data Book of Uzbekistan, including the import or export of flora and fauna (animals and plants, their parts, derivatives) across the countries’ borders can only take place under special permits issued by the Cabinet of Ministers

of Uzbekistan on the proposal of the State Committee for Nature Protection and the consent of the Academy of Sciences.

Import and export of wildlife species not listed in the Red Data Book of Uzbekistan across State borders can be authorized by special permission from the State Committee for Nature Protection of Uzbekistan.

Permissions for the export and import of plant species listed in Appendices I, II and III of CITES, are given by the MA with a prior agreement from the SA, with the exception of those listed in the Red Data Book of Uzbekistan. Export should take place only through certain border crossing points stated on the permit.

When importing CITES-species to Uzbekistan, the original CITES permit should be provided to the MA for registration straight after Customs formalities.

The MA prepared a new draft law in 2013 "On the International Trade of Endangered Species of Wild Fauna and Flora, Endangered Species (CITES) in the territory of the Republic of Uzbekistan." However, this legislation has not been discussed or adopted yet.

Almost all the existing Uzbek regulations concerning the protection and regulation of wild fauna and flora, including the trade in CITES-listed species require the adoption of sub-ordinate implementation regulations, some of which are missing. This results in easily avoidable or minimal sanctions for violations of CITES rules. In most cases, the offender faces the forfeiture of the illegally transported CITES specimen as a maximum penalty, with the only significant exception being the commercial movement of large numbers of live specimens. The scale of punishment for breaking the rules of import/export of CITES specimens are not clearly set out in the legislation. While the confiscation of illegal goods is clearly laid down, further preventive measures are required to be carried out "in accordance with applicable laws," the norms of which have not yet been developed. The scale of sanctions has been set and published for illegal hunting, which has had a deterrent effect.

National CITES authorities and inter-agency co-operation on CITES

Co-operation between the MA and Customs developed actively after the country became independent, with the MA conducting seminars for Customs officers. Joint actions at Tashkent airport also took place. However, with the number of staff decreasing at the MA, less time became available for keeping the co-operation active and thus the relationship with Customs weakened. The priority for dealing with wildlife trade within Customs also appears to have reduced during that time. In spite of attempts by the MA to renew the relationship with Customs, collaboration was said to be non-existent for about a decade. More recently co-operation resumed, resulting in an increasing number of seizures at borders. Training conducted by the MA has gradually resumed from 2011 both for front-line Customs officers and for officers working in the central office.

The country consultant reported that Customs and law enforcement in general have little awareness of the legal framework regulating wildlife trade. According to the consultant, Customs checks at borders take place randomly unless some illegal trade patterns are known, for example, trafficking of Saiga Antelope horns: the MA reported the seizure of a total of 557 horns during the period 2010-2012. Between 2009-2012, there was no cases of criminal procedure/prosecutions for the smuggling of animals or plants (in general or of CITES specimens).

Registration and captive breeding

There are several officially registered captive breeding facilities in Uzbekistan, which breed CITES-listed wildlife. According to the legislation, breeding facilities have to be registered even if they breed non-CITES-listed species. The large commercial breeding facilities are officially registered by the MA. There is no requirement for nurseries of plants to be registered. The list of captive breeding facilities registered in Uzbekistan is provided in **Annex VI**, which also lists some very rare Appendix I-listed species, such as Spix's Macaw *Cyanopsitta spixii*. The marking of captive bred animals is not required by law and thus is not practiced.

There is also a large number of unregistered breeding facilities and collections that keep and breed CITES species. Live pet markets and pet shops often offer different species of tortoises and turtles, parrots, the origin of which is unknown. The rules for carrying out environmental control inspections at markets or shops require the involvement of the local police and the mandatory prior notification of the markets, which makes any checks meaningless.

Compliance with CITES provisions

Uzbekistan submitted annual reports for 2006-2011. The 2010 report was received after a delay, in January 2012 (Anon., 2013a). For the years 2003-2010, Uzbekistan submitted one biennial report covering the period 2009-2010 (Anon., 2013c).

Uzbekistan has been in the Review of Significant Trade process as a range State for Horsfield's Tortoise (review concluded in July 2012 as Uzbekistan complied with the recommendations of the relevant CITES committees) and for Saker Falcon, with a zero export quota established by the relevant CITES committees. Uzbekistan has provided export quotas to the CITES Secretariat to be published on the CITES website (see **Annex III**).

Training and capacity building

Customs officers are trained at the Customs Supreme Military Institute, where there are also further training courses for employees of the State Customs Committee. After a period of weaker co-operation, training conducted by the MA has gradually resumed from 2011 onwards, both for front-line Customs officers, and for officers working in the central office. Training seminars on CITES have been consistently organised for Customs officers by the MA. In 2013, such seminars were planned to be conducted in all regions and Customs offices.

Customs in Uzbekistan have access to an illustrated list of CITES-listed animals and their parts: "A short guide to CITES-listed species – A guide for officers of the Customs Committee and the State Committee for Nature Protection". A new version of the manual has been prepared by the MA, which has not yet been published owing to a lack of funds.

In 2013, Flora & Fauna International (FFI) published a training manual for Customs, rangers, and other law enforcement personnel in Uzbekistan with a special emphasis on tackling the regional trade in Saiga Antelope on the Ustyurt Plateau (Byukova and Grigoryants, 2013). This has extensive information about CITES and is available in Russian. In addition, FFI have also developed a horn identification poster for ungulate species found in Uzbekistan, published in both Uzbek and Russian languages (M. Karlstetter, FFI *in litt.* to K. Kecse-Nagy).

Reported illegal trade

From 2005-2012, 18 cases of seizures of smuggled animals and animal derivatives were reported by the MA (**Table 7**). Fourteen of these concerned CITES-listed species, all of which were made by Customs. No additional details about the seizures could be obtained from the CITES authorities in

Uzbekistan. According to the CITES MA, tortoises and Saiga Antelope horns appear mainly in illegal trade in Uzbekistan.

Table 7
Seizures reported by Uzbekistan for 2007-2012

Date of seizure	No. of specimens	Species	Type of specimen
23/05/2007	1100	Steppe Tortoise	live
2008	3	Tiger	skins
	2	Gibbon	live
2008	40	Falcon spp.	live
February 2009	11	Cockatoo	live
	4	Marmoset	live
	1	Thick Loris	live
	2	White Handed Gibbon	live
8/04/2009	2	Saker Falcon	live
21/08/2009	1500	Steppe Tortoise	live
5/11/2009	280	Steppe Tortoise	live
February 2010	2	Clouded Leopard <i>Neofelis nebulosa</i>	live
	3	<i>Nycticebus pygmaeus</i>	live
	4	Cockatoo	live
	2	Marmoset	live
April 2010	119	Saiga	horn
July 2010	254	Turtle	live
3/10/2010	350	Turtle	live
September 2011	2	Saiga	horn
29/12/2011	134	Saiga	horn
23/02/2012	302	Saiga	horn
2011	2000	<i>Testudo horsfieldii</i>	live
2011	850	<i>Testudo horsfieldii</i>	live
2010	1	<i>Cervus nippon</i>	horn
2010	10	<i>Gracula religiosa</i>	live
2010	7	<i>Cacatua galerita</i>	live

Source: Uzbek MA, 2013 and Uzbek Biennial Report for 2010-2011.

Note: seizures with a grey background were reported in the Uzbek Biennial Report for 2010-2011. The other seizures were provided by the MA during the country visit. All dates and species names have been included in the table as provided by the MA/in the Biennial Report.

CITES IMPLEMENTATION IN OTHER CUSTOMS UNIONS AND REGIONAL ORGANISATIONS

The following section presents selected examples of how CITES is implemented and enforced in different forms of trade agreements, Customs unions or other economic integrations. The aim of this section is to provide best practice examples of existing co-operation and co-ordination mechanisms in such formations, which may assist the ECU in deciding how to deal with CITES implementation and enforcement across its borders.

ASEAN

The Association of Southeast Asian Nations (ASEAN) was established in 1967 in Bangkok, Thailand, with the signing of the ASEAN Declaration by Indonesia, Malaysia, Philippines, Singapore and Thailand. At the time of writing, ASEAN has ten Member States, with Brunei Darussalam joining in 1984; Viet Nam in 1995; Lao PDR and Myanmar in 1997, and Cambodia in 1999.

At the 12th ASEAN Summit in January 2007, the Member States signed the Cebu Declaration, affirming their commitment to establish an ASEAN Community by 2015. To this end, the Member States agreed to hasten the establishment of the ASEAN Economic Community by 2015, transforming ASEAN into a region characterised by the free movement of goods, services, investment, skilled labour and freer flow of capital and requiring *inter alia* the removal of non-tariff barriers as well as trade facilitation measures such as the integration of Customs structures and procedures (Anon., 2009b).

The implications of future regional economic integration for CITES implementation in the ASEAN region are yet to be fully elucidated. At present, CITES continues to be implemented at the level of each individual Member State, with CITES permits issued by national authorities for trade in CITES-listed species and their products within the region. In addition, controls remain in place at borders between Member States, at which endorsement of CITES permits can be carried out and goods may be inspected by Customs.

Although still in the preparatory stages of economic integration, ASEAN has established a large inter-governmental wildlife law enforcement network, bringing together law enforcement, Customs and environment agencies of all ten ASEAN Member States to address illegal exploitation and trade in CITES-listed species within the ASEAN region. Launched on 1 December 2005, the Association of Southeast Asian Nations' Wildlife Enforcement Network (ASEAN-WEN) facilitates cross-border collaboration in the fight against illegal wildlife trade, enabling countries to share information and best practices, while increasing capacity and improving co-ordination through annual meetings, workshops and trainings.

ASEAN-WEN operates at the national and regional levels. Each country is expected to establish and sustain a national inter-agency task force comprised of police, Customs and environmental officers, with focal points from each agency sharing information across the region. To improve the capacity of the network, law enforcement officers in national task forces receive training in patrolling, investigations, species identification and wildlife regulation/legislation. Seminars and workshops are also aimed at building the capacity of border officers, prosecutors and the judiciary in the area of wildlife crime, for example, the Judiciary Workshop on Wildlife Crime held in November 2009 for representatives from the Malaysian, Indonesian and Bruneian Courts and Attorney General's Offices. ASEAN-WEN Judiciary Workshops were also held in 2010 to raise awareness of Wildlife Crime in Thailand and Cambodia and a Wildlife Trade Regulation Course conducted in Medan, Indonesia.

At the global level, ASEAN-WEN co-operates with the USA, China, the South Asia Wildlife Enforcement Network (SAWEN) and the Lusaka Agreement Task Force (LATF), having also developed links *inter alia* to INTERPOL, the World Customs Organization, and the United Nations Office on Drugs and Crime (UNODC).

The new ASEAN Regional Action Plan on Trade in CITES Wild Fauna and Flora (2011-2015) was agreed in May 2011 at a Special Meeting of the ASEAN Experts Group on CITES in Manila and aims to sustain earlier efforts and successes of ASEAN-WEN. The ASEAN-WEN Program Coordination Unit (PCU) has been established to co-ordinate technical support for ASEAN-WEN and assist in the organisation of meetings, seminars, workshops exchanges and training programs, with support from the ASEAN Secretariat.

European Union

Regulation of trade in wild flora and fauna into, from and within the EU

Due to the establishment of the European Union (EU) Single Market and the absence of border controls within the EU, the provisions of CITES must be implemented uniformly in all EU Member States¹⁹. CITES is implemented in the EU through a set of Regulations known as the EU Wildlife Trade Regulations. Currently these are *Council Regulation (EC) No 338/97 on the protection of species of wild fauna and flora by regulating trade therein* (the **Basic Regulation**), *Commission Regulation (EC) No 865/2006 (as amended) laying down detailed rules concerning the implementation of Council Regulation (EC) No 338/97* (the **Implementing Regulation**), and *Commission Implementing Regulation (EU) No 792/2012 laying down rules for the design of permits, certificates and other documents provided for in Council Regulation (EC) No 338/97 on the protection of species of wild fauna and flora by regulating the trade therein and amending Regulation (EC) No 865/2006* (the **Permit Regulation**). A Suspensions Regulation is also in place to suspend the introduction into the EU of particular species from certain countries.

The Basic Regulation applies to species listed in its four Annexes. Annexes A to C are broadly equivalent to CITES Appendices I to III, while Annex D includes *inter alia* certain non-CITES species for the purposes of consistency with other EU regulations on the protection of native species. The introduction into the EU of specimens of species listed in Annex A or B requires the prior issue of a CITES import permit, while an import notification form must be completed by the importer for the introduction of specimens into the EU of species listed in Annex C or D. The import permit/notification must then be presented to the Customs office at the first point of introduction into the EU.

CITES goods can generally be moved and traded freely within the EU, again owing to the establishment of a Single Market and removal of border controls. However, wild specimens of species listed in Annex A (and any others that do not meet the formal definitions of captive-bred or artificially propagated) are generally not allowed to be used for commercial purposes and their movement inside the EU is also regulated. As a general rule, no permits or certificates are needed for keeping or moving a specimen of a species listed in Annex B, C or D inside the EU; nor are permits generally required for commercial activities inside the EU involving specimens of species listed in Annex B (if they have been legally acquired and imported into the EU), C or D.

¹⁹ At the time of writing, the 28 Member States of the EU are: Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Ireland, Italy, Hungary, Latvia, Lithuania, Luxemburg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden and the UK

Member States are obliged to designate Customs offices for carrying out the checks and formalities required under the EU Wildlife Trade Regulations, a list of which must be communicated to and published by the European Commission in the Official Journal. In general, checks on shipments of CITES goods introduced into the EU must take place at the first point of introduction, irrespective of the shipment's final destination within the EU. An exception to this rule is where a shipment arrives at a border Customs office by sea, air or rail, and is to be dispatched by the same mode of transport and without intermediate storage to another designated Customs office. In such circumstances, the completion of the necessary checks and the presentation of import documentation shall take place at the second Customs office. In addition, shipments are frequently dispatched from a first Customs office at the outside EU border to another Customs office where the scope for physical inspection of the goods is greater. In these cases the second Customs office shall require presentation of the import permit/notification and may carry out any checks it deems necessary in order to establish compliance with the Regulations.

Regional co-operation on CITES implementation in the EU

The European Commission monitors the implementation of the EU Wildlife Trade Regulations in co-operation with the EU Member States. It also prepares proposals for CITES legislation and adopts CITES implementing measures, in addition to ensuring that the EU Member States act on the basis of a common position at meetings of the CITES Conference of the Parties.

EU Member States and the European Commission are required by law to communicate to one another the information necessary to implement the EU Wildlife Trade Regulations. In addition, the Commission must communicate with the CITES Secretariat to ensure that CITES is effectively implemented throughout the territory to which the Regulations apply.

To facilitate co-ordination and co-operation between EU Member States on wildlife trade issues, the Basic Regulation establishes a Committee on Trade in Wild Fauna and Flora consisting of representatives of Member States' competent authorities (generally the CITES Management Authorities) and chaired by a representative of the Commission. The Committee meets three to four times a year in Brussels to discuss and provide guidance on the implementation of the EU Wildlife Trade Regulations, as well as to approve the necessary implementing measures to be adopted by the Commission.

The Basic Regulation also establishes a Scientific Review Group (SRG) consisting of representatives of each Member State's CITES Scientific Authority and chaired by a representative of the Commission. The SRG meets three to four times a year in Brussels to examine all scientific questions related to the application of the EU Wildlife Trade Regulations, including assessing whether trade is detrimental to the conservation status of species. The SRG can form opinions on whether or not imports of certain species from particular countries of origin comply with the conditions set out in the Regulations: where a **Negative Opinion** is established by the Commission based on the advice of the SRG, import of the particular specimens from a certain country of origin will not be allowed. Opinions of the SRG are conveyed to the Committee by the Commission. (See also **Annex II** for further information on EU stricter measures.)

Enforcement of the EU Wildlife Trade Regulations

Although the EU Wildlife Trade Regulations are directly applicable in all EU Member States, matters relating to enforcement remain under the sovereignty of each Member State and necessary provisions must therefore be transposed into, and supplemented by, national legislation. Member State competent authorities are responsible for monitoring compliance with the provisions of the Regulations and must take appropriate steps to ensure compliance with these provisions, or to initiate legal action where there is reason to believe the provisions have been infringed. In the event of significant infringements of the Regulations, the Commission and (where CITES-listed species are concerned) the CITES Secretariat must be informed of any steps taken, include seizures and confiscations. The Commission may also draw the attention of Member State competent authorities to matters where it considers investigation necessary. The result of any subsequent investigation must be provided to the Commission and, where appropriate, to the CITES Secretariat.

In addition to the core legislation described above, the Commission has issued a non-binding recommendation (*Commission Recommendation No 2007/425/EC identifying a set of actions for the enforcement of Regulation (EC) No 338/97 on the protection of species of wild fauna and flora by regulating trade therein*, commonly referred to as the **EU Enforcement Action Plan**), which sets out a number of actions to be taken by EU Member States for more effective enforcement of the EU Wildlife Trade Regulations. These include adopting national action plans for enforcement, imposing penalties for wildlife trade offences that are effective, dissuasive and proportionate, and using risk and intelligence assessments to detect illegal and smuggled wildlife products. The Action Plan also recommends that Member States take action to increase public awareness about the negative impacts of illegal wildlife trade and to increase co-operation and exchange of information within and between Member States as well as with third countries and relevant international organizations (e.g. Interpol, World Customs Organization).

As regards co-operation in the area of enforcement, the Basic Regulation establishes the Enforcement Group, consisting of representatives of Member State authorities charged with monitoring compliance with the EU Wildlife Trade Regulations, such as Customs, police and wildlife inspectorates. The Enforcement Group meets on average twice a year in Brussels and is chaired by a representative of the Commission. It is responsible for monitoring enforcement policy and practice in the EU Member States and making recommendations to improve the enforcement of wildlife trade legislation. It also facilitates the exchange of information, experience and expertise on enforcement issues between the Member States, including sharing of intelligence information and establishing and maintaining databases. Opinions of the Enforcement Group are to be conveyed to the Committee by the Commission.

In addition, EU-TWIX (the European Union Trade in Wildlife Information eXchange) functions as an important tool for information-sharing and co-operation between law enforcement officials and authorities across the EU. Its database component, to which access is restricted to designated enforcement officials, centralises information on wildlife trade seizures submitted by EU enforcement agencies. This helps to monitor trends in illegal trade and enhance the efficiency of enforcement actions. The mailing list component, meanwhile, facilitates the efficient sharing of information between designated enforcement officials on seizures, and exchange experience and expertise on matters related to illegal wildlife trade.

North America

The North American Free Trade Agreement (NAFTA) is a comprehensive economic and trade agreement that establishes a free-trade area encompassing Canada, Mexico and the United States of America (USA). Since the agreement entered into force on 1 January 1994, NAFTA has systematically eliminated most tariff and non-tariff barriers to free trade between the three countries (Anon., 2013h).

Mexico's accession to CITES was a pre-requisite for its inclusion in NAFTA. This occurred in 1991, securing the necessary improvements in the country's wildlife trade regulations for entry into force of the free trade agreement (P. Mosig Reidl, *TRAFFIC, in litt.*, 2013).

The relationship between the provisions of NAFTA and CITES is clarified by NAFTA's Article 104. This Article states that the trade obligations of CITES prevail over NAFTA's provisions to the extent of any inconsistency between them. Trade in specimens of CITES-listed species between the three NAFTA countries is regulated in the usual way as between other CITES Parties, with permits issued by national competent authorities for import and export, in accordance with the requirements of the Convention. Border controls remain in place between the USA and Canada and between the USA and Mexico allowing for the inspection of CITES shipments and endorsement of permits as required. Shipments of wildlife between the three NAFTA countries are dealt with in the same way as trade with any other country.

While trade in CITES species is not directly impacted by the free trade provisions of NAFTA, Canada, Mexico and the USA have nevertheless taken various steps to co-operate on environmental matters, including on illegal wildlife trade. Since 1994, the three countries have collaborated in protecting North America's environment through the North American Agreement on Environmental Cooperation (NAAEC), establishing an intergovernmental organization - the Commission for Environmental Cooperation (CEC) - to support co-operation to address environmental issues of continental concern. Through its Law Enforcement and Compliance Cooperation program, the CEC supports the work of the North American Wildlife Enforcement Group (NAWEG), an organisation formed in 1995 with the aim of improving North America's capacity to enforce wildlife trade laws, including by (Anon., 2013i):

- improving the training of wildlife enforcement officers;
- co-ordinating the exchange of wildlife enforcement information at both the regional and global levels;
- expanding access to forensic resources and technologies; and
- establishing partnerships with international and regional enforcement agencies.

NAWEG works with other enforcement and compliance programmes to provide guidance in developing priorities for regional co-operation on wildlife enforcement and develops strategies and proposals for co-operative enforcement activities.

Southern African Customs Union

The Southern African Customs Union (SACU) is the world's oldest Customs union (<http://www.sacu.int>). It was established in 1910 with the primary goal of promoting economic development through regional co-ordination of trade. The SACU currently consists of five member countries, namely Botswana, Lesotho, Namibia, South Africa and Swaziland which have entered into a number of trade agreements since the Custom union's inception. The most recent SACU

agreement was concluded in 2002 to address issues including joint-decision making processes and questions of external trade.

The terms of the SACU make clear that the agreement does not suspend or supersede the provisions of national legislation in its member countries regarding prohibitions and restrictions on import and export. This is set out in Article 25(2) of the 2002 SACU Agreement which provides that:

“Except in so far as may be agreed upon between the Member States from time to time, the provisions of this Agreement shall not be deemed to suspend or supersede the provisions of any law within any part of the Common Customs Area which prohibits or restricts the importation or exportation of goods.”

As a result of this provision, CITES must still be applied in the SACU member countries even though certain Customs barriers have been dropped (D. Newton, TRAFFIC, *in litt.*, 2013). This means, for example, that permits must be issued for CITES trade between the member countries as required by the Convention.

DISCUSSION

The Eurasian Customs Union (ECU) and CITES

The Eurasian economic integration process started in 2000 with the creation of the Eurasian Economic Community (EurAsEC). The Eurasian Customs Union (ECU) was established by Belarus, Kazakhstan and Russia in 2007 and started to be implemented in July 2010. In January 2012, the Common Economic Space (CES) of these three countries started operating. Kyrgyzstan's accession to the ECU was agreed in 2010 and is planned for 2013. The future is also likely to see further enlargement of the ECU to include participants such as Armenia and Tajikistan.

The ECU has a common Customs Code, which has replaced domestic Customs legislation in the ECU member countries. Regarding CITES implementation in the ECU, all current member countries have accepted to follow their obligations under CITES. Legally, CITES-listed species cannot be moved freely within the ECU. However, due to the elimination of physical border controls at the internal borders of the ECU in July 2011, these requirements have not been implemented in practice. In other words, while CITES documents are theoretically still required, there is no border control to check the shipments or to process the CITES documents even if these are granted.

The existing legal framework seemingly maintained the status quo of CITES implementation and left the relevant authorities in the ECU countries with the impression that there is no need to address the issue of CITES implementation and enforcement in the context of the emerging ECU and EEC. However, this impression is misleading as the removal of Customs controls at borders between Russia and Kazakhstan and between Russia and Belarus has created a vast Customs territory and the opening up of these borders has effectively removed a number of barriers to the legal and illegal trade of wildlife between the EU, ECU member countries and the Far East, with reduced opportunities for control and enforcement at borders. Once a specimen of a CITES-listed species has been illegally introduced into the ECU (e.g. by way of the route of least risk of detection) transport throughout the ECU can now effectively continue unhindered. Native species can likewise be traded freely within the ECU, with fewer borders to cross between range areas and consumers in Western Europe and East Asia.

To address this, a highly organized and co-ordinated approach would need to be taken by ECU member countries. As in the EU, co-ordination and information exchange at all levels of CITES implementation and enforcement would be necessary to ensure consistency across the ECU. An absence of such consistency could result, for example, in wildlife traders being refused an import permit by one ECU member country, only for the shipment to enter the ECU by way of a permit granted by another member country. Enforcement capacity must also be at a similar level across the ECU so that smugglers are not able to exploit the weakest link in the chain. It is cause for concern that according to the findings of this project, the ECU have not considered these issues or taken the co-ordinated monitoring and enforcement actions necessary for effective wildlife trade regulation either within member countries or between member countries within the single Customs area. Furthermore, the potential future enlargement of the ECU to include CITES non-Parties such as Tajikistan will create an additional layer of complexity for those addressing the implementation and enforcement of CITES in the ECU.

When a similar level of integration was reached in the EU in 1984 (i.e. when the European Single Market came into effect resulting in the absence of systematic border controls within the EU), the EU decided that the provisions of CITES needed to be implemented in all EU Member States uniformly and in a co-ordinated manner through the adoption of a comprehensive set of EU regulations that apply to all EU Member States. The EU Wildlife Trade Regulations establish three co-ordinating bodies, which allow for regular and frequent information exchange and consistent decision-making for the different aspects of CITES implementation from scientific issues (Scientific

Review Group) to management (Committee) and enforcement issues (Enforcement Group). In addition, EU-TWIX²⁰ functions as an important tool for the near real-time information-sharing between enforcement officials and authorities across the EU. Whereas the EU also regulates internal trade in Annex-A listed species²¹, internal trade in CITES-listed species in the ECU is only regulated on paper but not in practice.

Other free trade agreements and regional economic integrations, for example ASEAN, NAFTA and the South Asian Association for Regional Cooperation (SAARC), which represent a much smaller degree of co-operation among their member countries than that in the EU, have also found it useful to establish formal mechanisms for co-operating on CITES enforcement, and thus have established wildlife enforcement networks, namely ASEAN-WEN, NAWEG and SAWEN, respectively.

Trade in CITES listed species in the target countries

Based on CITES trade data analysis, Russia reported the largest amount of trade from the target countries for the period 2000-2010 both in terms of overall imports and exports of CITES-listed species. This is in line with the size of the country (both in terms of territory and population), being significantly bigger than any of the other target countries.

Imports to the region

Regarding imports, the most important commodities in terms of number of specimens imported based on exporters' reports for 2000-2010 included: i) **reptile bodies, parts and derivatives** from the EU; ii) **live plants** from the Netherlands, the USA and Thailand; iii) **live reptiles** such as Horsfield's Tortoise traded between the target countries (e.g. from Kazakhstan to Russia and from Tajikistan via Russia to Uzbekistan); and iv) **live birds** (mainly parrots and cockatoos) from Suriname, the Czech Republic, Guyana and Guinea. Russia was the leading importer for all of these commodity groups.

(Re-) exports from the region

Regarding exports, the most important commodities in terms of number of specimens exported based on exporters' reports for 2000-2010 included:

- i) **Live reptiles** – Uzbekistan was by far the leading (re-)exporter. The vast majority of (re-)exports of live reptiles from the target countries involved tortoises, almost exclusively Horsfield's Tortoise (in total 460 554 tortoise specimens during 2000-2010), practically all of which were of wild origin. The main importers of Horsfield's Tortoise were (in order of importance) the USA, the EU and Japan. (Re-)exports of this species from Uzbekistan, the main (re-)exporter, to the EU increased during the period 2000-2010, despite a ban on the import of wild specimens of Horsfield's Tortoise into the EU from 2000 to 2006. The majority of these (re-)exports from Uzbekistan were reported as Ranched (source code R).

The trade in Horsfield's Tortoise from the region has received attention as part of the CITES Review of Significant Trade process from July 2011, with Tajikistan and Uzbekistan categorized as range States of concern. For Uzbekistan, the review was concluded in July 2012 as the country complied with all recommendations of the process. According to information provided by Tajikistan, a moratorium has been declared on the export of wild animals native to Tajikistan, unless a harvest quota is set. No quotas could be set for any species of live tortoise (including Horsfield's Tortoise) due to a lack of data on the number and status of wild populations. It is therefore likely that Tajikistan will be removed from the Review of Significant Trade process.

²⁰ European Union – Trade in Wildlife Information eXchange. (See www.eutwix.org.)

²¹ Broadly equivalent to CITES Appendix I.

A number of reporting anomalies were noted for Kazakhstan: between 2000 and 2010, Thailand reported the imports of captive bred tortoises and other reptiles from Lebanon (at the time not a Party to CITES), with country of origin reported as Kazakhstan. As Kazakhstan reported none of these exports to Lebanon, the issue warrants further investigation and clarification.

- ii) **Live birds** – The main families represented in (re-)exports were Strigidae (almost all of wild origin), Falconidae (72% of reportedly captive-bred origin) and Psittacidae (practically all of captive-bred origin). Uzbekistan was the leading (re-)exporter of live birds among the target countries between 2000 and 2010 followed by Russia and Kazakhstan. (Re-)exports of captive-bred birds from Uzbekistan primarily involved Psittacidae and Falconidae specimens. (Re-)exports of wild-sourced birds primarily involved birds of prey (Accipitridae, Falconidae and Strigidae). The main importers of live birds exported from the target countries were Japan, the UAE, the EU and the Ukraine. A number of notable discrepancies were detected between numbers of live birds reported as (re-)exported from the target countries, according to importers' and exporters' reports, which warrants further attention in light of captive breeding of some rare birds (both native and exotic species) going on in the target countries, especially in Uzbekistan.
- iii) **Caviar** – Russia and Kazakhstan were responsible for the majority of (re-)exports of caviar from the target countries, which exhibited a general declining trend during 2000-2010. Key importers of caviar from the target countries were the USA, the EU, Japan and Switzerland. It is noted that both Russia and Kazakhstan have been implied in the Review of Significant Trade in Beluga Sturgeon and as neither of them complied with the recommendations formulated during the process, the Standing Committee suspended trade of the species from these range States in March 2013.
- iv) **Medicinal products derived from animals** - A total of 429 kg of products consisting of/derived from Musk Deer *Moschus moschiferus* (reported with the CITES term "musk") was (re-)exported from Russia during the period 2000-2010, according to exporters' reports. However, when importers' reports are considered, a larger quantity of 1561 kg was reported as (re-)exported from Russia during the same period: this discrepancy is mainly related to (re-)exports of musk from RU to the Republic of Korea and Hong Kong SAR, with these importing countries/territories reporting much higher quantities in trade than reported by Russia. In addition, between 2000 and 2010, Russia was the reported country of origin in respect of 127 408 kg of products consisting of/derived from Musk Deer (reported with the CITES terms "derivatives", "extract" and "musk"), re-exported primarily from Hong Kong (SAR) (126 932 kg) and the Republic of Korea (462 kg) (according to exporters' reports). Kazakhstan was the only target country to have reported (re-)exporting Saiga Antelope *Saiga tatarica* horn²² during the period 2000-2010, (re-)exporting 26 500 kg of this commodity to China in two commercial shipments (in 2001 and 2003), according to exporters' reports. Hong Kong SAR also reported the import of 3000 kg of Saiga horn from Kazakhstan in 2002; however this commercial import was not reported as a (re-)export by Kazakhstan. It is noted that, in June 2001, the CITES Standing Committee recommended that the CITES Parties suspend all imports of specimens of Saiga Antelope from Kazakhstan and Russia until these two range States had complied with certain recommendations, including with regard to the implementation of a regional conservation strategy for the species.

²² Reported with the CITES terms "horns" and "horn products".

- v) **Hunting trophies** – The majority (81%) of trophy items were exported from Russia (7369 trophies), with smaller numbers exported from Tajikistan (701 trophies), Kyrgyzstan (668 trophies), Belarus (167 trophies) and Kazakhstan (126 trophies). The main taxonomic groups represented in hunting trophies exported from the target countries were, according to exporter reported quantities: Ursidae (mainly Brown Bear), Anatidae, Bovidae species (Argali), Canidae (Wolf) and Felidae (Eurasian Lynx). The EU was the most important destination for hunting trophies exported from the target countries during the period 2000-2010, followed by the USA.

The ECU has been implemented from July 2010. Therefore, changes in trade patterns and flows inside the ECU (i.e. among the members of the ECU) could not yet be examined as 2010 was the last year for which relatively complete information was available for.

Overall, there were large discrepancies between traded quantities as reported by the importers and the exporters. Some of these discrepancies are likely to be due to the poor communication and co-operation between the MAs and the Customs, which has resulted in copies of export permits not reaching the MAs. This was confirmed by interviews conducted in the countries as part of this project.

CITES legislation in the target countries

Each CITES Party has to adopt its own domestic legislation to ensure that the Convention is implemented at the national level. Legislation of most target countries have been put in category 2 as part of the CITES National Legislation Project (Belarus, Kazakhstan, Kyrgyzstan, Uzbekistan), while Russia's legislation is in category 1 and Tajikistan is not a CITES Party. With the exception of Kyrgyzstan, the target countries whose legislation has been categorized in Category 2 have been Parties to CITES for many years allowing ample time for enacting improved legislation or communicating new legislation adopted to the CITES Secretariat. Gaps in legislation were found in most target countries (with Tajikistan clearly standing out as a non-Party and, as would be expected, the country lacks legislation regulating trade in non-native species). For instance in Russia, no authority is clearly assigned the responsibility of carrying out controls of wildlife trade on the internal market (e.g. at pet shops or breeders). In Uzbekistan, while higher level laws have been enacted, some of their implementation regulations have not and so detailed rules for implementation are lacking. The ECU is intending to harmonize sanctions that can be applied for illegal trade, which would also be required in the case of sanctions applicable for illegal wildlife trade. Those involved in illicit activities may use certain entry points knowing that the risk of a strict punishment is low in the given country. In the ECU context this would be highly undesirable.

CITES authorities and inter-agency co-operation

The CITES authorities are clearly designated in each of the target countries. This also includes Tajikistan, which is not a Party to CITES at the time of writing; there is a competent authority for issuing documents comparable to CITES documents. It is this same agency that is expected to become the MA upon Tajikistan's planned accession to CITES. Co-operation among the different CITES authorities at national level, especially between the MA and the Customs was reportedly poor, as also demonstrated by the large discrepancy of imports reported by the target countries and their trade partners (copies of processed CITES permits are not sent on to the MA) or by the poor record keeping of CITES seizures: many times the scientific name of the species or the trade route were not recorded.

The information obtained during the country visits indicates that inter-agency co-operation at the regional level is also weak and when present at all, focuses on specific species (e.g. Saiga Antelope conservation) and not on CITES in general. The information provided by the target countries

indicates no established mechanisms for regional co-ordination and communication, or exchange of information not even among ECU member countries.

Compliance with CITES provisions

All target countries submitted some of their CITES annual reports with a delay during the period 2006-2012. Russia did not submit an annual report for 2006 at all. The submission rate of CITES Biennial Reports was even lower. Belarus was the only one among the target countries which submitted all of their Biennial Reports for 2003-2010 in a timely manner, while other target countries did not submit any Biennial Reports (e.g. Kazakhstan, Kyrgyzstan, Russia), indicating that there is further room for improvement. (Tajikistan is not a Party to CITES and therefore is not required to submit any of these reports.)

Several of the target countries have been implied in the Review of Significant Trade (RST) process, some of which has led to a trade suspension: most recently, the Standing Committee imposed a trade suspension for Beluga Sturgeon *Huso huso* for Kazakhstan and Russia on 2 May 2013 as these range States did not comply with recommendations formulated by the relevant CITES committees. Another RST procedure focusing on Saker Falcon led to the imposition of zero export quotas for Kazakhstan, Kyrgyzstan, Russia and Uzbekistan (among others) in 2007, which is still in place. There have also been more positive examples of outcomes of the RST process; for instance Uzbekistan and Horsfield's Tortoise were taken out of the RST process in July 2012 after Uzbekistan provided satisfactory information to the questions raised by the relevant CITES committees. This also underlines the importance of communication and the provision of the requested information to the CITES Secretariat and various committees, which is required for the daily work of the Convention.

Training and capacity building

There are special schools for the training of Customs officers in all target countries. Nevertheless, many Customs officers are also trained abroad: the Russian Customs Academy offers courses to many of the target countries, such as Kazakhstan, Kyrgyzstan and Tajikistan. The Russian Customs Academy has had a course on CITES in its curriculum since 2006. A special course on prevention of wildlife smuggling has been developed in the Vladivostok branch of the Russian Customs Academy. Examples of training events and workshops were provided during the country visits, for instance about training workshops held in Kazakhstan (with the support of FAO in 2012), in Kyrgyzstan (organized by the MA) in 2012, in Tajikistan in 2012 and 2013 (as part of an Organization for Security and Co-operation in Europe (OSCE) education programme), and in Uzbekistan (regular training seminars for Customs by the MA since 2011).

During the country visits, the authorities in Belarus, Kyrgyzstan (a relatively new CITES Party) and Tajikistan (preparing for CITES accession) specifically noted that more CITES training would be required in their country. Kyrgyzstan also mentioned that training for the MA and SA would also be beneficial along with the country's more active participation in international CITES fora mainly for capacity building purposes. In this regard, the Kyrgyz authorities also noted their poor knowledge of the official CITES languages. Kazakhstan reported about an adequate level of awareness about CITES among their Customs officers.

Although there have been training seminars conducted in the target countries, these do not appear to have been sufficiently regular or reaching a sufficiently large number of staff, especially if the turnover of Customs staff is taken into account. Therefore, any training seminar in the future in the target countries should start from a basic level of introduction to CITES and focus on species identified under the illegal trade section (below). The importance of co-operation and co-ordination among the ECU member countries cannot be stressed enough, which could be greatly helped by the holding of regional training workshops.

Although these were not specifically mentioned by the countries during the country visits, several regional training events were also organized, for instance as part of the Green Customs Initiative. This initiative aims to enhance the capacity of Customs and other relevant enforcement personnel to monitor and facilitate legal trade and to detect and prevent illegal trade in environmentally-sensitive commodities covered by the relevant conventions and multilateral environmental agreements, including CITES (<http://www.greencustoms.org/>). Examples of events held in the region included the Green Customs Workshops in Minsk, Belarus, 30 - 31 May 2012, and in Astana, Kazakhstan, 27 - 28 June 2012. Another regional event organized by the CITES Secretariat was the workshop for strengthening CITES implementation capacity to ensure sustainable wildlife management and non-detrimental trade, in Riyadh, Saudi Arabia, held in December 2011 and which had several representatives of the target countries as participants.

Training and species identification materials have also been developed in the region: in Belarus in 2006, in Russia in 2005 (updated several times since then), in Uzbekistan in 2013. Two of these materials received input/financial support from NGOs. In addition, the MA in Uzbekistan has updated their short guide to CITES-listed species, but funding is still being sought for its publication. Kyrgyzstan and Tajikistan clearly noted the need for more training and identification materials.

In ECU member countries, as well as Kyrgyzstan (in the process of preparing for ECU accession), Customs offices at the borders were reported to be well equipped with computers and internet connection. The priority of electronic administration over paper based administration has been one of the key requirements under the ECU, which implies that e-versions of training and identification materials would be adequate.

Reported illegal trade

Some of the target countries did not provide information on seizures during this project or reported that no CITES seizures were made in their country (Kazakhstan, Kyrgyzstan, Russia and Tajikistan). Some target countries (Belarus, Uzbekistan) reported detected cases of illegal trade however, the quality of these reports were low, with some key information (e.g. scientific name of species involved, trade route) missing or incomplete. Each country provided their perception of what can be found in illegal wildlife trade in their country, which is summarized below.

- i) Illegal activities related to **trophy hunting** were noted by Kazakhstan, Russia and Tajikistan, and according to some of these countries, Kyrgyzstan may also be implicated in this trade. Kazakhstan noted that illegal trophy hunting of mountain sheep (e.g. Argali *Ovis ammon*), may be carried out by mis-declaring the purpose of the hunt for scientific purposes. The hunts are granted permits (for scientific purposes) but the trophies are taken to Russia, with wealthy hunters from Russia being the main customers of these hunts. Kazakhstan also reported the illegal export of Grey Wolf *Canis lupus* trophies to Russia and to a lesser extent to Belarus. While the taking of Grey Wolf is legal in Kazakhstan, the exports are reported to take place without the required CITES documents. In another case detected in Russia, trophies of Argali and Markhor were seized on import from Tajikistan. The shipment was accompanied by falsified Russian CITES documentation. Tajikistan reported that trophy hunting of mountain ungulates involves high revenues, corruption and illegal trade. Tajikistan also reported another way of illegal hunting: the permit is issued for the hunting of one specimen but in practice, two specimens are taken. This may happen when having shot one specimen, the hunter encounters another one with better trophy properties. The organizers of the hunt may decide to overlook the shooting of the second animal for an additional (unofficial) fee.

- ii) The illegal trade in **Saiga Antelope** horn is related to illegal hunting but in this case the purpose of the hunt and the trade is different: the horns are used in traditional Asian medicine. This issue was mentioned by Russia, Kazakhstan and Uzbekistan. Uzbekistan reported the seizure of 567 Saiga Antelope horns in four seizures over the period 2007-2012. Other wildlife used in traditional Asian medicine mentioned by the countries included Musk Deer (musk, from Russia), Brown Bear (bile and paws, from Kyrgyzstan and Russia), Tiger (bones, from Russia), Ginseng (roots, from Russia), Snow Leopard (bones from Kyrgyzstan and Tajikistan).

- iii) **Falcons** (mainly Saker Falcon *Falco cherrug*) illegal taking from the wild was mentioned as an important issue by Kazakhstan, Kyrgyzstan, Russia and Uzbekistan. The birds are reportedly destined for the Middle East. The total volume of illegal export of falcons from Russia was estimated in 2008 to be between 1000 to 1500 specimens a year. Kyrgyzstan reported playing a transit role in the illegal trade of falcons from Kazakhstan and Russia to the Middle East. Kyrgyzstan also reported about the potential role that falcon breeding facilities may play in legalizing some of these wild-taken falcons in that country. In addition to the Middle East, Kazakhstan also noted Pakistan as a destination for the falcons. Uzbekistan reported the seizure of 42 live specimens of falcons in two seizures during 2007-2012. It is interesting to note that the analysis of CITES trade data (i.e. of reported legal trade) also highlighted notable discrepancies between trade recorded by importers and exporters for live birds, especially for falcons. The zero export quotas set as part of the RST process for Saker Falcon appears to be warranted.

- iv) **Tortoises** were reported to appear in illegal trade by Kazakhstan, Kyrgyzstan and Uzbekistan, with Russia mentioned by two of these countries as a destination market for the tortoises. In addition to Russia, Kyrgyzstan reported China, Turkey and the UAE as important destination markets. Kazakhstan noted Russia and Uzbekistan as consumers. Uzbekistan reported the seizure of a total of approximately 7000 live specimens of tortoises (species unspecified) in seven seizures during 2007-2012. Again, the analysis of the legal trade data also indicated potential issues regarding trade in tortoises: according to importers' reports: between 2003 and 2006, Lebanon (a non-Party to CITES at the time) re-exported 19 131 live specimens of lizard, turtle and tortoise to Thailand and Japan, all of which were declared as having been captive-bred with the country of origin reported as Kazakhstan. Kazakhstan, however, did not report the export of any live captive-bred reptiles to Japan, Lebanon or Thailand during the period 2000 and 2010.

The target countries of this project appear to be mainly the source of wildlife illegally taken and traded. However, Russia has a dual role, being both a source as well as a consumer market for certain wildlife commodities (e.g. live tortoises). Kyrgyzstan and Uzbekistan also seem to play a transit role in illegal trade. In the context of the ECU, the picture is even more complex with consumer and source regions being within the same borders.

The interest in detector dog programmes in Kazakhstan and the already operational programme in Russia are promising and are expected to assist the target countries in fighting illegal wildlife trade.

CONCLUSIONS AND RECOMMENDATIONS

The target countries are mainly important source countries for wildlife in trade, with some of them playing a transit (e.g. Kyrgyzstan) or a consumer role (Russia) as well. With the exception of Tajikistan, all target countries are Parties to CITES and have been implementing and enforcing the provisions of the Convention for several years or even decades. However, there remain a number of areas, which would benefit from further improvement. These areas include i) addressing gaps in national legislation, ii) enhancing the co-operation between the CITES MA and enforcement staff, iii) ensuring regular CITES training for enforcement staff, and iv) improved reporting to CITES (both on legal and illegal trade).

This baseline situation with its challenges has become more complex with the formation of the ECU in July 2010. While formally the ECU is not meant to affect CITES implementation and enforcement in the target countries (i.e. according to the regulations in place, CITES-listed species are not covered by the ECU), it does have implications for wildlife trade. With the removal of controls at the internal ECU borders, CITES-listed wildlife can be moved freely within the ECU. In this context, a highly organized and co-ordinated approach would need to be taken by ECU member countries. Co-ordination and information exchange at all levels of CITES implementation and enforcement would be necessary to ensure consistency across the ECU. An absence of such consistency could result in the exploitation of the weakest link in the chain (e.g. illegal trade entering the ECU by way of the route of least risk of detection) or permit shopping (e.g. when wildlife traders are refused an import permit by one ECU member country, the shipment may enter the ECU by way of a permit granted by another member country), which poses a threat to both native and exotic wildlife traded by the ECU members. Furthermore, the potential future enlargement of the ECU to include non-CITES Parties such as Tajikistan may create an additional layer of complexity for those addressing the implementation and enforcement of CITES in the ECU.

Accordingly, it is concluded that CITES implementation and enforcement warrants further attention by current and future member countries of the ECU. The following recommendations are suggested to address the issues identified:

Strengthening national legislation in the region

- Where there are gaps in national legislation, these should be addressed by the adoption of new legislation or amendment of existing regulations (e.g. in Kyrgyzstan, Russia and Uzbekistan).
- Target countries are advised to consider adopting legislation, which prescribes the registration and regular control of captive breeding facilities where this is not required already, and which makes the marking of certain CITES-listed species obligatory. This would be particularly important for Kyrgyzstan and Uzbekistan but also for other target countries.

Strengthening Enforcement of CITES controls in ECU members

- Customs are encouraged to provide copies of processed CITES documents to their CITES MA.
- Enforcement authorities in the target countries are encouraged to improve their record keeping of detected cases of illegal trade to ensure that key information (e.g. scientific name of species, trade route, etc.) are recorded, stored centrally and shared with the CITES MA.
- When carrying out controls at the external borders, risk assessments and targeted controls by enforcement authorities should take into account the trends in legal as well as in detected cases of illegal trade, preferable considering these at the ECU level (as opposed to focus on national level only).
- Notable discrepancies identified in legal trade reports (e.g. when comparing exporters' and importers' reported quantities or the case of Kazakhstan that according to some trade

partners reported significant exports without Kazakhstan reporting those exports), especially when detected cases of illegal trade indicate a similar trend, should be monitored by the MAs and investigated by the enforcement authorities, if warranted. For example, more attention on breeding facilities is suggested by the findings of this report (e.g. in Kyrgyzstan and Uzbekistan).

Inter-agency co-operation among CITES authorities at national level

- The different authorities responsible for CITES implementation at the national level should regularly meet to exchange information and co-ordinate their activities. The signing of agreements or Memoranda of Understanding between the relevant authorities may help formalize the co-operation and ensure participation of the relevant agencies.
- The target countries are encouraged to establish National Environmental Security Task Forces (NEST) as recommended by Interpol.

Training and capacity building

- Further CITES training is recommended in the target countries. Preferably, these should be held regularly to ensure continuity even for authorities with a high staff turnover. Train the trainer workshops are also encouraged.
- The holding of regional (or ECU) level training seminars is greatly encouraged as that would also help improve regional co-operation.
- The CITES Secretariat is encouraged to assist the target countries in their efforts to organize training events both by the participation of CITES Secretariat staff and by assistance in obtaining financial resources for training as far as possible.
- The target countries are encouraged to participate in all wider or regional training initiatives, such as those organized by the Green Customs or OSCE.
- The training materials developed by the target countries (e.g. those developed in Belarus, Russia, Uzbekistan) should be used more widely in the region and adapted to national needs, as necessary.

CITES in the ECU

- Current ECU members and Kyrgyzstan imminently joining the ECU are encouraged to raise at all levels the urgent need for an organized and co-ordinated approach to CITES implementation and enforcement in the ECU in order to ensure consistency across the member countries.
- ECU member States are encouraged to establish co-ordinating mechanisms, based on the best practice examples of existing regional economic integrations (e.g. mechanisms established by ASEAN, EU, NAFTA), which allow for regular and frequent information exchange and consistent decision-making for the different aspects of CITES implementation from scientific to management and enforcement issues. ECU member States are encouraged to formalize these co-ordinating mechanisms in ECU legislation. The discussions on co-ordination should also address the issues surrounding the implementation of nationally set export quotas in the ECU context.
- To this end, ECU member States are recommended to establish a Wildlife Enforcement Network.
- In addition, the establishment of new or the wider use of existing (close to) real-time information-sharing mechanisms between authorities across the ECU are recommended.
- ECU member countries should consider regulating or monitoring internal trade in some CITES-listed species (e.g. those listed in Appendix I or a selection of these species).
- The intentions for harmonizing sanctions across the ECU in general are encouraged to be implemented for illegal wildlife trade, too.

International co-operation with other relevant institutions

- The target countries should inform the CITES Secretariat about changes in their national CITES legislation and provided a translation of the new legislative text (in one of the working languages of CITES).

Those CITES authorities of the target countries, which do not yet participate actively in various international CITES fora or provide the required information as part of different CITES processes (e.g. Review of Significant Trade), are encouraged to do so in order to get a better understanding of the working mechanisms of the Convention or to assist the work of the Convention.

International accession to and co-operation with CITES

- In view of the developments under the ECU more generally and the above-mentioned challenges, further conscious of Tajikistan's own expression and desire to join the ECU, and mindful of the President of Tajikistan's recommendations to the Tajik Parliament regarding the ratification of CITES, the Government of Tajikistan should be further encouraged and supported to continue its plan to accede to CITES at the earliest opportunity.

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ANNEX I

List of authorities participating in meetings in the target countries in March-April 2013

Belarus

- *CITES Management Authority (MA)*: Ms Natalia Minchenko – Head of Department of Biology and Landscape Diversity, Ministry of Natural Resources and Environmental Protection;
- *CITES Scientific Authority (SA)*: Mr Ruslan Novitsky – Head of Wildlife Conservation Dept. of the State Scientific and Production Amalgamation of the National Academy of Science; Mr Dmitry Tretiakov – Senior researcher of Botany Institute;
- *Customs*: Mr Alexander Krivosheja – Senior Inspector of Customs;
- *Other*: Ms Galina Volchuga - Vice-Minister of Natural Resources and Environmental Protection; Ms Marina Filipiuk – Department of International Collaboration, both from the Ministry of Natural Resources and Environmental Protection; Ms Elena Shushkova, “Ecoproject” (NGO).

Kazakhstan

- *CITES MA*: Mr Bakhytbek Duysikeev – Vice-Head of the Committee of Hunting and Forestry of the Ministry of Agriculture;
- *Customs*: Mr Yuriy Kim – Senior Expert of Kazakh Customs;
- *Other*: Mr Sergey Bolozh – Senior staff of the Committee on Hunting and Forestry; Dr. Tatiana M. Bragina, WWF Project leader in Kazakhstan; Mr. Victor Ukrainsky – Game management specialist, ex-director of “Ohotzooptom”, recently - independent expert, consultant of Kazakh CITES SA.

Kyrgyzstan

- *CITES MA*: Mr Almaz Musaev, Hunting Department of State Agency of Environment Protection and Forestry (CITES focal point); Mr Sabir Atadjanov – Director of State Agency of Environment, Conservation and Forestry;
- *CITES SA*: Mr Bekmamat Djenbaev – Director of the Biological and Soil Research Institute of the National Academy of Sciences;
- *Customs*: Mr Ulan Muratov –Senior inspector, Anti-smuggling Department, State Customs Service; Mr Ulan Kimeinov –Head of Customs at Manas International Airport (Bishkek);
- *Other*: Ms Lira Sabyrova – Counsellor, Department of International Organization and Security, Ministry of Foreign Affairs; Ms Saltanat Seitova – Director of Wildlife Rescue Centre (funded by NABU²³); Ms Farida Balbakova – WWF Project Leader for Kyrgyzstan; Ms Valentina Toropova – the Executive Director of the Kyrgyz representation of NABU.

Russia

- *CITES MA*: Ms Tatiana Skripnik – Vice-head, Division on Permit Issuing of the Federal Supervisory Natural Resources Management Service (Rospirodnadzor)
- *CITES SA*: Alexander Sorokin – Head, Division of the all-Russian Research Institute of Nature Protection, Vice-head of SA;
- *Customs*: Ms Svetlana Senotrusova, Professor at the Faculty of Civil Management of the Moscow State University and of the Russian Customs Academy.

Tajikistan

²³ Naturschutzbund Deutschland (NABU) e.V., a German Nature Conservation NGO.

- *Ministry of Environment*: Mr Abdukadyr Maskaev – Head, Division of Conservation of and Control on Use of Plants and Animals; Mr Alikhon Latifi – Advisor to the Tajik Hunting Association, former Vice Minister of Conservation and Nature Protection;
- *Other*: Ms Firuza Illarionova, conservationist, WWF Project Co-leader in Tajikistan; Mr Zafar Bekmurodov and Mr. Otobek Bekmurodov – Co-chairmen of the Tajik Hunting Association; Mr Stefan Michel – GIZ Project leader in Tajikistan; Mr Kokul Kassirov – former senior staff of the Ministry of Environment (focal point for CMS and the Ramsar Conventions).

Uzbekistan

- *CITES MA*: Mr Alexander Grigoriants – Head, State Inspection on Protection of Animals and Plants of the Republic of Uzbekistan (“Gosbiokontrol”);
- *Other*: Mr Oleg Tsaruk, Ecologist and researcher.

ANNEX II

Stricter measures in the EU and the USA

As the EU and the USA have been identified as important destinations of wildlife exported from the target countries, it is interesting to provide further information about some of the stricter import measures implemented by the EU and the USA for wildlife in trade. The EU and the USA might also require additional information from the target countries of this project before making decisions on certain imports. Therefore, it is important to understand the decision making mechanisms and the background to these. The following section provides a brief overview of these stricter measures.

Stricter measures in the USA

This section is based on information obtained from the US Fish and Wildlife Service (US FWS) website (<http://www.fws.gov/international> and <http://www.fws.gov/permits>). In the USA, the *Endangered Species Act of 1973* (ESA) is the key legislation that implements CITES, which however goes beyond the requirements of the Convention. It lists species into two groups: i) endangered species and ii) threatened species. An “endangered” species is in danger of extinction throughout all or a significant portion of its range. A “threatened” species is likely to become endangered in the foreseeable future. Division of Scientific Authority (under the FWS) biologists draft proposed and final rules for the listing, reclassification, or delisting of foreign species under the ESA. When evaluating species for listing, solely biological status and threats to their existence are considered. This also highlights that under CITES and the ESA both the mechanisms for listing species and the species listed are somewhat different. Accordingly, a species may be listed under the ESA (e.g. species native to the USA) but not under CITES or under both. In line with this, the international trade in these species may require a permit under the ESA, CITES, or both. As the list of species is kept updated regularly, it is advised that those interested in exporting wildlife to the USA regularly check the list of species protected under the ESA at: <http://www.fws.gov/endangered/>.

It is important to note that the different populations of the same species may be categorized differently under the ESA. For instance, Argali *Ovis ammon* from Kyrgyzstan, Mongolia and Tajikistan (where an annual quota on the take of the species has been published) are listed as “threatened”, while the same species from the other range States are categorized as “endangered” and thus stricter conditions apply to them. The imports of wildlife, including parts and products, like trophies, must go through one of the designated ports of entry for wildlife (www.fws.gov/le/ImpExp/Contact_Info_Ports.htm). These ports are used for all movement of wildlife, including for commercial, non-commercial, scientific, or personal purposes. Certain port locations are designated to allow the international movement of any lawful wildlife, while other locations are restricted to allow only certain types of wildlife for certain purposes.

Special rules may also be published under the ESA. For instance, On 4 March 2005, the USFWS published a Special Rule to control trade in Beluga Sturgeon *Huso huso*, listed as “Threatened” under the ESA in 2004. Under the Special Rule, for trade with the USA to continue, Caspian and Black Sea littoral States were to provide certain information to the USA Scientific Authority, including copies of basin-wide management plans for Beluga Sturgeon and copies of their national laws implementing the management plans. This information was to be provided within six months of the date of publication of the Special Rule. After the Caspian Sea littoral States failed to provide any of the information required under the Special Rule, the USA suspended import of and foreign commerce in Beluga Sturgeon caviar and meat originating in the Caspian Sea basin on 30 September 2005. On 28 October 2005, the USA suspended import of and foreign commerce in Beluga Sturgeon caviar and meat originating in the Black Sea basin after Black Sea littoral States failed to provide information

required under the Special Rule. These trade suspensions remain in place. However, they may be lifted at any time if the necessary information is submitted.

It is also noted that, in addition to the ESA, the USA has enacted other legislation that is also relevant to trade in CITES-listed species. An example is the *US Marine Mammal Protection Act*, which prohibits the import of any marine mammal parts or derivatives. Therefore, parts or derivatives of a CITES Appendix II-listed species such as Narwhal (e.g. a Narwhal tusk) could not be legally imported into the USA, even if accompanied by a valid CITES export permit (E. Cooper, *TRAFFIC in litt.* to K. Kecse-Nagy).

Further information can be obtained from the US CITES MA:

U.S. Fish & Wildlife Service, International Affairs

e-mail: managementauthority@fws.gov

<http://www.fws.gov/international>

<http://www.fws.gov/permits>

Stricter measures in the EU

The information presented in this section is based on the European Commission's website on CITES (in particular http://ec.europa.eu/environment/cites/pdf/differences_b_eu_and_cites.pdf).

The EU has also adopted a number of measures, which are stricter than CITES.

EU Annexes

First of all, the EU Wildlife Trade Regulations categorize species in four Annexes as opposed to the three Appendices of CITES.

Annex A:

- All CITES Appendix I species, except where EU Member States have entered a reservation
- Some CITES Appendix II and III species, for which the EU has adopted stricter domestic measures
- Some non-CITES species

Annex B:

- All other CITES Appendix II species, except where EU Member States have entered a reservation
- Some CITES Appendix III species
- Some non-CITES species

Annex C:

- All other CITES Appendix III species, except where EU Member States have entered a reservation

Annex D:

- Some CITES Appendix III species for which the EU holds a reservation
- Some non-CITES species
- The import into the EU of the species listed in this Annex warrants monitoring

In practice this means that a larger number of species are accorded a greater level of regulation and protection than by CITES. For instance, all Annex A-listed species get the same protection as

Appendix I-listed species, while Annex A lists CITES Appendix I species, as well as some Appendix II and III species, and non-CITES listed species.

In addition, the import of both Annex A and B-listed species into the EU requires an import permit and the making of the related non-detriment finding by the Scientific Authority of the importing EU Member State. An import notification is required for Annex C and D species. An import notification is a declaration filled in by the importer and to be submitted, where appropriate together with CITES Appendix III documents from the (re-)exporting country, to the Customs office of introduction into the EU.

Import restrictions

Regulation (EC) 338/97 provides the Commission with the possibility to establish import restrictions with regard to certain species/countries. The procedure is outlined in **Figure 6** below (taken from http://ec.europa.eu/environment/cites/pdf/differences_b_eu_and_cites.pdf and [European Commission](#) and TRAFFIC (2013)):

1. A Scientific Authority advises its Management Authority not to issue an import permit because it is of the opinion that one or more of the import conditions are not met (or the Scientific Review Group²⁴, SRG, decides at one of its meetings that this is the case, A and B in **Figure 6**).
2. The authorities in the other Member States are immediately informed of this advice and suspend the issue of import permits until a restriction is established or not. Due to the absence of internal border controls, it is essential that any import restrictions are applied throughout the EU (A, B and C in **Figure 6**).
3. The **opinion of other Scientific Authorities of EU Member States** is sought (if the case has not yet been discussed at the SRG meeting. If a non-detriment finding is made, the SRG forms a **Positive Opinion** and imports can be resumed. If the initial opinion is confirmed, the SRG forms a **Negative Opinion** (i.e. the import is deemed to have a harmful effect on the conservation status of the species). For as long as this opinion is in place Member States will normally reject all permit applications for the species/countries in question. (D in **Figure 6**) Opinions of the SRG are available here: <http://www.unep-wcmc-apps.org/eu/taxonomy/tradeRestSearch.cfm>.
4. On a regular basis, the Commission consults with affected range States to ask them for any new biological and trade information on the species subject to an import restriction (E in **Figure 6**). If the range State provides this information, the SRG reconsiders its decision to suspend the import. If the information leads to a non-detriment finding, the Negative Opinion is transformed into a Positive Opinion. If there is no new information provided by the range State or other sources, or if this information is not sufficient for a non-detriment finding, the Negative Opinion will be formalised through a publication of the **import suspension** in the Official Journal of the European Union (F in **Figure 6**). It is important to note that the published import suspensions are reversible at any moment if new information is received. The latest suspensions are available here: <http://www.unep-wcmc-apps.org/eu/taxonomy/tradeRestSearch.cfm>, and <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:32013R0578:EN:NOT>.

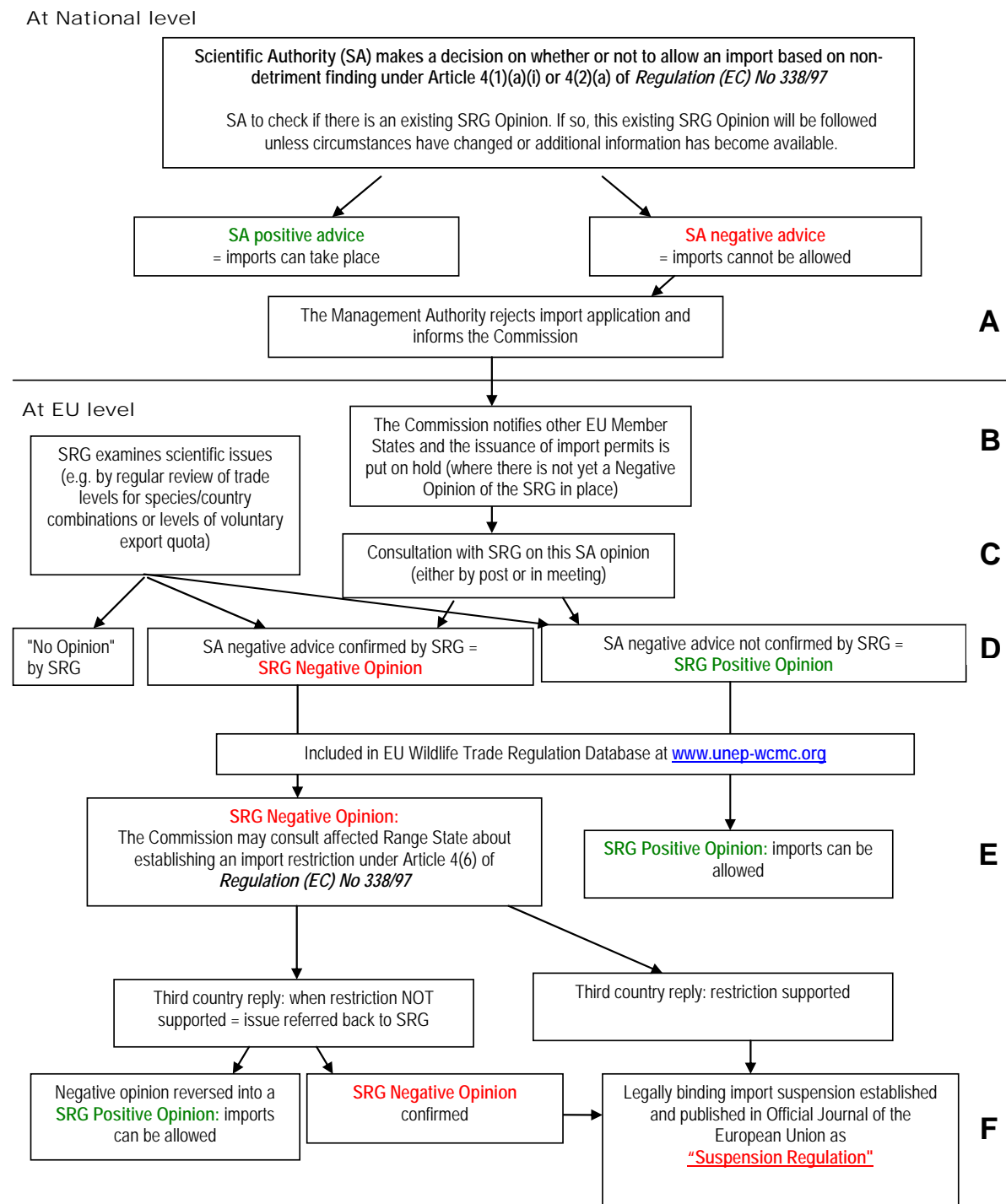
Hunting trophies

The import into the EU of Annex A-listed trophies requires both an export and an import permit. For the import of an Annex B-listed hunting trophy for non-commercial purposes into the EU, only an export permit is required. However, at the time of writing, August 2013, the European Commission is

²⁴ Scientific Review Group (SRG) consists of representatives from the Scientific Authorities of EU Member States.

conducting a consultation regarding a possible revision of the EU Wildlife Trade Regulations which would require import permits be issued for hunting trophies of Annex B specimens (all or selected species or populations) into the EU (European Commission, 2013).

Figure 6
Overview of procedures to establish Positive and Negative Opinions and import restrictions for species listed in Annex A or B of the EU Wildlife Trade Regulations



Source: European Commission and TRAFFIC (2013). Reference Guide to the European Union Wildlife Trade Regulations

Table 8
EU import restrictions and opinions of the Scientific Review Group (SRG) in effect September 2013
for target countries of this project

Scientific name	Common name	CITES Appendix/ EU Annex	Suspension (Article 4.6 of the Suspensions Regulation)*	Opinion of the SRG	Details
Belarus					
<i>Canis lupus</i>	Grey Wolf	I/II, A/B	a	-	Wild hunting trophies (negative opinion formed in 2003 and turned into a suspension in 2004)
Kazakhstan					
<i>Acipenser gueldenstaedtii</i>	Russian Sturgeon	II/B		negative	Since 2010
<i>Acipenser nudiiventris</i>	Ship Sturgeon	II/B		positive	Since 2002
<i>Acipenser stellatus</i>	Stellate Sturgeon	II/B		negative	Since 2010
<i>Canis lupus</i>	Grey Wolf	II/B		positive	Hunting trophies (since 2007)
<i>Huso huso</i>	Beluga Sturgeon	II/B		negative	Since 2010
<i>Testudo horsfieldii</i>	Horsfield's Tortoise	II/B	b		All wild specimens (since 2006)
<i>Ursus arctos</i>	Brown Bear	I/II, A	a		Wild hunting trophies (negative opinion formed in 2008, turned into a suspension in 2012)
Kyrgyzstan					
<i>Canis lupus</i>	Grey Wolf	I/II, A/B		positive	Since 2012
Russia					
<i>Acipenser gueldenstaedtii</i>	Russian Sturgeon	II/B		negative	Since 2010
<i>Acipenser stellatus</i>	Stellate Sturgeon	II/B		negative	Since 2010
<i>Anthropoides virgo</i>	Demoiselle Crane	II/B		positive	Since 2001
<i>Canis lupus</i>	Grey Wolf	I/II, A/B		positive	Hunting trophies (since 1997)
<i>Gyps bengalensis</i>	Asian White-Backed Vulture	II/B	b		All wild specimens (Since 2005)
<i>Huso huso</i>	Beluga Sturgeon	II/B		negative	Since 2010
<i>Moschus moschiferus</i>	Siberian Musk Deer	II/B	b		All wild specimens (since 1999)
<i>Saiga borealis</i>	Mongolian Saiga	II/B	b		All wild specimens (since 2003)
<i>Ursus arctos</i>	Brown Bear	I/II, A		positive	Hunting trophies from all populations (since 2010)
<i>Ursus thibetanus</i>	Asian Black Bear	I/A	a		Wild hunting trophies (since 2006)
<i>Cypripedium macranthos</i>	NA	II/B	b		Wild source (since 2001)

Scientific name	Common name	CITES Appendix/ EU Annex	Suspension (Article 4.6 of the Suspensions Regulation)*	Opinion of the SRG	Details
<i>Orchis coriophora</i>	NA	II/B	b		Wild source (since 2001)
<i>Orchis pallens</i>	NA	II/B	b		Wild source (since 2001)
<i>Orchis ustulata</i>	NA	II/B	b		Wild source (since 2001)
Tajikistan					
<i>Canis lupus</i>	Grey Wolf	I/II, A/B	a		Hunting trophies (negative opinion formed in 2010, turned into a suspension in 2012)
<i>Testudo horsfieldii</i>	Horsfield's Tortoise	II/B		positive	Wild specimens (since 2008)
Uzbekistan					
<i>Capra falconeri</i>	Markhor	I/A	a		Hunting trophies (negative opinion formed in 2006, turned into a suspension in 2007)
<i>Cervus elaphus bactrianus</i>	Bukhara Deer	II/B	b		All wild specimens (negative opinion formed in 2002, turned into a suspension in 2004)
<i>Eryx tataricus</i>	Tartary Sand Boa	II/B		positive	Since 2012
<i>Ovis vignei bochariensis</i>	Bukhara Urial	II/B	b		All wild specimens (negative opinion formed in 2006, turned into a suspension in 2008)
<i>Testudo horsfieldii</i>	Horsfield's Tortoise	II/B		positive	Wild and ranched specimens (since 2010)

Source: UNEP-WCMC EU Wildlife Trade Regulation database (accessed 25 September 2013)

*a, b = suspensions introduced on the basis of concerns relating to the conservation status of the species ("a" relates to Annex A-listed species, "b" relates to Annex B-listed species).

**Positive Opinion formed at the 60th meeting of the SRG on 7 June 2012 and will become effective once this species-country combination is removed from *Commission Implementing Regulation (EU) No 757/2012 of 20 August 2012 suspending the introduction into the Union of specimens of certain species of wild fauna and flora (the Suspensions Regulation)*.

Further information about EU stricter measures (such as on stricter housing and transport conditions or regulation of internal trade in Annex A-listed species) is available at:

http://ec.europa.eu/environment/cites/pdf/differences_b_eu_and_cites.pdf

http://ec.europa.eu/environment/cites/home_en.htm, or directly from the CITES Team at the European Commission, Environment Directorate-General env-cites@ec.europa.eu

ANNEX III

CITES export quotas for 2013*

Species	Common name	Quota	Type of specimen
Kazakstan			
<i>Falco cherrug</i>	Saker Falcon	0**	Live, wild-taken
Kyrgyzstan			
<i>Falco cherrug</i>	Saker Falcon	0**	
Russia			
<i>Falco cherrug</i>	Saker Falcon	0**	
Uzbekistan			
<i>Accipiter badius</i>	Shikra	100	Live, wild-taken
<i>Accipiter gentilis</i>	Goshawk	150	Live, wild-taken
<i>Accipiter nisus</i>	Sparrowhawk	80	Live, wild-taken
<i>Asio flammeus</i>	Short-eared Owl	30	Live, wild-taken
<i>Asio otus</i>	Long-eared Owl	40	Live, wild-taken
<i>Athene noctua</i>	Little Owl	200	Live, wild-taken
<i>Cervus elaphus</i>	Bukhara Deer	3	Trophies: horn and skull, skin
<i>Eryx miliaris</i>	Desert Sand Boa	50	Live, wild-taken
<i>Eryx tataricus</i>	Tartary Sand Boa	500	Live, wild-taken
<i>Falco cherrug</i>	Saker Falcon	0**	Live, wild-taken
<i>Falco columbarius</i>	Merlin	20	Live, wild-taken
<i>Falco subbuteo</i>	Eurasian Hobby	50	Live, wild-taken
<i>Falco tinnunculus</i>	Common Kestrel	50	Live, wild-taken
<i>Milvus migrans</i>	Black Kite	20	Live, wild-taken
<i>Otus brucei</i>	Pallid Scops Owl	200	Live, wild-taken
<i>Otus scops</i>	Eurasian Scops Owl	200	Live, wild-taken
<i>Ovis vignei</i>	Urial	5	Trophies: horn and skull, skin
<i>Pseudoscaphirhynchus kaufmanni</i>	Large Shovelnose Sturgeon	20	Live, wild-taken
<i>Strix aluco</i>	Tawny Owl	24	Live, wild-taken
<i>Testudo horsfieldii</i>	Horsfield's Tortoise	45 000	Live, ranched
<i>Testudo horsfieldii</i>	Horsfield's Tortoise	45 000	Live, wild-taken

Source: UNEP-WCMC EU Wildlife Trade Regulation database (accessed 20 September 2013).

*Note that all export quotas published for *Acipenseriformes* spp. for 2013 for Kazakhstan and Russia were zero as no quotas were communicated to the CITES Secretariat. Also note that an import suspension is in place for *Huso huso* for both countries.

** Quota resulting from recommendations of the Animals Committee, Plants Committee and the Standing Committee.

ANNEX IV

Notable differences in numbers of live birds reported as (re-)exported by the target countries, according to exporters' and importers' reports (2000-2010)

Exp.	Imp.	Year	Taxa (family)	Species	Source	Imp. reported quantity	Exp. reported quantity
Kazakhstan							
KZ	AE	2000	Falconidae	<i>Falco cherrug</i>	Captive-bred	9	49
		2002	Falconidae	Various (<i>F. cherrug</i> , <i>F. rusticolus</i> , <i>F. hybrid</i>)	Captive-bred	126	0
		2003	Falconidae	Various (<i>F. cherrug</i> , <i>F. rusticolus</i> , <i>F. hybrid</i>)	Captive-bred	111	83
		2004	Falconidae	<i>Falco cherrug</i>	Captive-bred	99	0
		2005	Otididae	<i>Chlamydotis undulata</i>	Wild	50	0
		2008	Falconidae	<i>Falco cherrug</i>	Captive-bred	110	220
		2009	Falconidae	<i>Falco cherrug</i>	Captive-bred	88	0
KZ	SA	2003	Falconidae	<i>Falco cherrug</i>	Mostly wild	31	0
		2004	Falconidae	<i>Falco cherrug</i>	Mostly wild	30	0
Russian Federation							
RU	UZ	2002	Falconidae	<i>Falco cherrug</i> , <i>Falco rusticolus</i>	Captive-bred	101	60
		2003	Falconidae	<i>Falco</i> spp.	Captive-bred	34	60
		2009	Psittacidae	Mostly <i>Platycercus</i> spp. and <i>Psephotus</i> spp.	Wild	288	0
RU	US	2007	Psittacidae	Various species	Wild	243	2
Uzbekistan							
UZ	AE	2001	Falconidae	<i>Falco cherrug</i> (also <i>F. rusticolus</i> and <i>F. hybrid</i>)	Captive-bred	0	69
		2002	Falconidae	Various species	Captive-bred	111	188
		2003	Falconidae	<i>Falco cherrug</i> (also <i>F. rusticolus</i> and <i>F. hybrid</i>)	Captive-bred	128	7
		2004	Falconidae	Mostly <i>Falco</i> spp.	Captive-bred	10	130
		2005	Falconidae	<i>Falco</i> spp.	Captive-bred	0	140
		2006	Falconidae	<i>Falco</i> spp.	Captive-bred	0	131
		2007	Falconidae	<i>Falco</i> spp.	Captive-bred	0	363
		2008	Falconidae	<i>Falco</i> spp.	Captive-bred	0	194
		2009	Falconidae	<i>Falco</i> spp.	Captive-bred	0	320
		2010	Falconidae	<i>Falco</i> spp.	Captive-bred	0	301
UZ	RU	2004	Psittacidae	Mostly <i>Agarpornis</i> spp.	Captive-bred	0	516
		2005	Psittacidae	Mostly <i>Agarpornis</i> spp.	Captive-bred	0	1276
		2006	Psittacidae	<i>Agarpornis personatus</i>	Captive-bred	0	150
		2007	Psittacidae	Mostly <i>Psittacula krameri</i> and <i>Psittacus erithacus</i>	Captive-bred	0	641
		2008	Psittacidae	<i>Psittacus erithacus</i>	Captive-bred	0	120
		2009	Psittacidae	<i>Psittacula</i> spp. and <i>Psittacus erithacus</i>	Captive-bred	0	1020

Source: CITES trade statistics derived from the *CITES Trade Database*, UNEP-WCMC, Cambridge, UK.

Abbreviations: AE – United Arab Emirates, BY – Belarus, KZ – Kazakhstan, KG – Kyrgyzstan, RU – Russian Federation, SA – Saudi Arabia TJ – Tajikistan, US – United States of America, UZ – Uzbekistan.

ANNEX V

Overview of national CITES/wildlife trade legislation in the target countries

Belarus

Title of legislation	Details
<i>Order of the cabinet of ministers of Republic of Belarus No. 350 of July 3, 1995 on measures to ensure Belarus' compliance with the obligations under CITES (amending Decree of the council of ministers of Republic of Belarus No. 664 of 29 April 1998)</i>	- Ratification of CITES
<i>Order of the council of ministers of the Republic of Belarus of 3 July 1995 No. 350</i>	- Designates CITES MA and SA - Outlines procedure and terms for export and import of CITES specimens and issuing CITES documents
<i>Decree of the council of ministers of the Republic of Belarus of 23 September 2008 No. 1397</i>	- Outlines new procedure and terms for issuing CITES documents
<i>Law of 10 July 2007 No. 257-3 on wildlife</i>	- Prescribes mandatory registration of live animals – for all CITES-listed species kept and/or bred in captivity
<i>Decree of the council of ministers of the Republic of Belarus of 30 January 2008 No. 126</i>	- Lays down detailed rules for the registration of live CITES species kept and/or bred in captivity
<i>Joint Decree of the Ministry of Natural Resources and Environmental Protection of the Republic of Belarus, Ministry of Agriculture and Food of the Republic of Belarus, Ministry of Housing and Utilities and the Ministry of Cultural Affairs of the Republic of Belarus of 23 February 2005 No. 7/10/4/5</i>	- Defines the procedure for confiscation and temporary keeping of live wild animals species listed on CITES
<i>Administrative Offences Code of the Republic of Belarus of 21 April 2003 No. 194-Z,</i> - Article 15.32 - Article 15.33	- Provides sanctions for offences of the laws concerning wildlife use and protection - Provides sanctions for illegal import or export of wild animals and plants to or from the territory of Belarus
<i>Decree of the President of 26 July 2012 No. 332 on certain measures of improvement of control in the Republic of Belarus and subordinated acts</i>	- Provides for enforcement powers both during border controls and controls inside the country (e.g. checks at shops)

Overview of national CITES/wildlife trade legislation in Kazakhstan

Title of legislation	Details
<i>Law of 6 April 1999 No. 372-1 on the accession of Republic of Kazakhstan to the CITES</i>	- Ratification of CITES
<i>Government Decree of 31 May 2012 No. 705 on rules of issuing by the administrative body of permits for import to the Republic of Kazakhstan and export from the country of the endangered species of animals, their parts and derivatives</i>	- CITES implementing regulation
<i>State Law of 25 January 2012 on the changes and additions to certain legislative enactments of the Republic of Kazakhstan regarding forestry, wildlife and conservation areas</i>	- Provides rules for the conservation of native species
<i>Decree No. 57-r of 20 March 2012 on measures for implementing State Law of 25 January 2012</i>	- Implementing regulation - Also contains a list of subordinated legislative and regulatory enactments to be amended or reissued after revision
<i>Administrative Code</i> - Article 298	- No specific provisions for wildlife trade - It sets sanctions for violation of hunting rules and rules of using wildlife. The fines range from approx. USD56 for natural persons to USD1130 for legal persons, at the time of writing. (The basis of calculation of the penalty is the so-called “monthly calculated index” ²⁵ .)
<i>Criminal Code</i> - Article 290	- It sets sanctions for the illegal hunting, purchasing, keeping, selling, import, export, sending, shipping, as well as killing of rare and endangered species of wild flora and fauna, including for their parts and derivatives. Sanctions include imprisonment for the period of up to three years; confiscation of the property of convicted person and the property, which is the object of the criminal activity, crime instrument or facility.
Kazakhstan is in the process of enacting several pieces of new national legislation as a result of the establishment of the ECU. The process has been somewhat delayed due to structural reorganization (of the environmental protection bodies and transferring the Forestry and Hunting Committee from the Ministry of Agriculture to the Ministry of Environmental Protection). The list of regulations to be adopted has been approved by the Prime Minister, as follows:	
- <i>Decree on approval of the list of derivatives</i>	
- <i>Decree on approval of the rules of animal management in captivity or semi-free conditions</i>	
- <i>Decree on approval of the rules of accounting and registration of hunting birds</i>	
- <i>Decree on approval of the rules of animals’ introduction and re-introduction</i>	

²⁵ Monthly calculated index is the sum used to calculate penalties. At the time of writing the monthly calculated index is KZT1731 (approx. USD11).

Title of legislation	Details
- Decree on approval of the rules of issuing permits by the administrative body for import to the Republic of Kazakhstan and export from the country of the endangered species of animals, their parts and derivatives	
- Decree on approval of the rules of issuing permits by the administrative body for import to the Republic of Kazakhstan and export from the country of the endangered species of plants, their parts and derivatives	
- Order of the CITES Management Authority on approval of the rules of administration of the Red Data Book of the Republic of Kazakhstan	
- Order of the CITES Management Authority on approval of the rules of issuing permits for import to the Republic of Kazakhstan and export from the country of the endangered species of animals, their parts and derivatives	
- Rules of issuing permits for export, import and transit of the moved (transported) specimens taking into account the epizootic ²⁶ situation at the relevant territory	

Overview of national CITES/wildlife trade legislation in Kyrgyzstan

Title of legislation	Details
- Law of 30 November 2006, No. 192 on joining of the Kyrgyz Republic to CITES signed March 3, 1973 in Washington	- Ratification of CITES
- Law of 123.05.1999 "On Wildlife" (rev. 24.06.2003)	<ul style="list-style-type: none"> - The basic law on wildlife protection - It prohibits the 'import of wildlife specimens, which can damage natural biotic communities' and the 'import and export of wildlife specimens, their products and parts in violation of legislative requirements of the Kyrgyz Republic' - It provides the legal framework for prevention of illegal trade in wildlife, including CITES specimens
- Administrative Offences Code of 4 April 199, No. 115 Article 147 on 'Import or export of flora and fauna objects without a permit'	<ul style="list-style-type: none"> - It sets sanctions - (The basis of calculation of the fine is the so-called "monthly calculated index"²⁷.)

²⁶ a disease that appears as new cases in a given animal population, during a given period, at a rate that substantially exceeds what is "expected" based on recent experience (i.e. a sharp elevation in the incidence rate) (<http://en.wikipedia.org/wiki/Epizootic>, 12 Sept 2013).

²⁷ Calculation index – a conventional basic sum used for calculations of penalties. At the time of writing, the calculation index in Kyrgyzstan was 100 soms or USD2.

Title of legislation	Details
<p>- <i>Decree of the Government of 09 March 2011, No. 101 on the authorization documents issued by the Government Agency of Environmental Protection and Forestry affiliated to the Government of the Kyrgyz Republic</i></p> <ul style="list-style-type: none"> - Article 3.1. ‘Procedure of issuing permits for export from the Kyrgyz Republic, import to the Kyrgyz Republic and re-export of animals and plants, their parts or derivatives subject to the CITES’ 	<ul style="list-style-type: none"> - Outlines the procedure and the terms for issuing permits - It sets out that CITES documents for import, export and re-export of wildlife specimens are issued upon the positive opinion of the SA (except for circuses, transportation of hunting trophies and fish taxidermies, museum and exhibitions and personal effects). The MA is required to consult the CITES Secretariat, and the importing or the exporting country, if necessary. - All live animals intended for export must be marked in accordance with the CITES requirements.
<p>- <i>Criminal Code (No.68 of 1 Oct 1997)</i></p>	<ul style="list-style-type: none"> - It does not provide for separate responsibility for illegal import or export of wildlife objects.

Overview of national CITES/wildlife trade legislation in Russia

Title of legislation	Details
<p>- <i>Federal Law of 24 April 1995 No. 52-FZ on Wildlife</i></p>	<ul style="list-style-type: none"> - It sets the rules regarding the conservation of rare and endangered species of animals (article 24).
<p>- <i>Criminal Code of the Russian Federation of 13 June 1996 No. 63-FZ (edition of 23 July 2013 with amendments coming into force on 1 Sept 2013)</i></p>	<ul style="list-style-type: none"> - It sets criminal sanctions for the illegal harvest and trade in wildlife listed in the Red Data Book of Russia and/or protected by international agreements to which Russia is a Party (articles 258.1 and 226.1).
<p>- <i>Code on Administrative Violations (Administrative Code) of the Russian Federation</i></p>	<ul style="list-style-type: none"> - Article 16.3 sets the sanctions for non-compliance with the prohibitions or restrictions on import of commodities into the ECU or Russia and export of commodities from the ECU or Russia.
<p>- <i>Government Decree of 26 Sept 2005 No. 584 on measures for the implementation of obligations of the Russian Federation under CITES, concerning species of sturgeon</i></p>	<ul style="list-style-type: none"> - It provides detailed rules regarding trade in sturgeons.
<p>- <i>Government Decree of 4 May 2008 No. 337 on measures for the implementation of obligations of the Russian Federation under CITES, concerning endangered species of wild fauna and flora, excluding species of sturgeon</i></p>	<ul style="list-style-type: none"> - It provides detailed rules regarding trade in CITES-listed species, with the exception of sturgeons.

Title of legislation	Details
- <i>Decree of the Ministry of Natural Resources and Environment of 27 Feb 2008 No. 47 on enforcing the Administrative procedure for the Federal Supervisory Natural Resources Management Service concerning the issuance of permits for export from the Russian Federation and for import into this territory of animals and plants listed on CITES, concerning endangered species of wild fauna and flora, excluding species of sturgeon as well as their parts and derivatives</i>	- It provides detailed rules regarding trade in CITES-listed species, with the exception of sturgeons.
- <i>Government Decree of 20 Nov 2008 No. 872 (revision of Government Decree of 26 Jan 2012 No. 18) on approval of the rules of supervision over persons, carrier vehicles, cargos, goods and animals crossing State border of the Russian Federation.</i>	- The decree defines specialized checkpoints for sanitary, quarantine, veterinary and phytosanitary types of inspection (including CITES) at the state borders of Russia.

Overview of national CITES/wildlife trade legislation in Tajikistan

Title of legislation	Details
<i>Law No. 760 of 2 August 2010 on environmental protection</i>	- It is the basic environmental protection law
<i>Law No. 751 of 2 August 2011 on the licensing system</i>	- It lays down the general principles of the licensing and permit issuing
<i>Code of Administrative Offenses Article 205</i>	- It sets the sanctions for violation of import/export rules for wildlife - (The basis of calculation of the fine is the so-called “monthly calculated index”)
<i>Customs Code</i>	- It prohibits the euthanasia of confiscated animals of endangered species and the destruction of plants, their part or derivatives with the exception of cases when they can be a source of diseases

Overview of national CITES/wildlife trade legislation in Uzbekistan

Title of legislation	Details
<i>Decree of the Supreme Council-Parliament of 25 April 1997 No. 433-1</i>	- CITES ratification - Designation of national CITES authorities
<i>Decree of the Cabinet of the Ministers of 28 Oct 2004 on enforcement of a control on sustainable use of biological resources and on the export and import in the Republic of Uzbekistan</i>	- Confirms competencies of designated national CITES authorities

Title of legislation	Details
<i>Rules of import/export of goods through the borders of the Republic of Uzbekistan</i>	<ul style="list-style-type: none"> - Customs declaration is based on these rules - It provides the Customs declaration form for wildlife in trade (including parts, derivatives and products) - It also sets the standard for duty-free individual import/export to/from Uzbekistan, which also concern some CITES products such as caviar and clothes made of furs
<i>Customs Code</i>	<ul style="list-style-type: none"> - Contains no specific references to CITES
<p><i>Code of Administrative Responsibility</i></p> <ul style="list-style-type: none"> - Article 92 on violation of the rules of animal habitats, the rules of creating zoological and botanical collections and trading them, as well as unauthorized migration, acclimatization or animal crossing - Article 93 - The smuggling of animals or plants detrimental to the conservation of species of animals and plants listed on the Red Data Book 	<ul style="list-style-type: none"> - Fines are calculated based on the minimum wage
<i>Decision of the Cabinet of Ministers No. 508 of 28 Oct 2004 on strengthening the control over the management of biological resources, import and export of them to and from the Republic of Uzbekistan</i>	<ul style="list-style-type: none"> - These provide "regulations on the use, import and export of flora to and from the Republic of Uzbekistan" and "regulations on the use, import and export of wildlife from the Republic of Uzbekistan and the management of hunting and fishing
<i>Ordinance of the Cabinet of Ministers No. 76-p of 19 February 1996, on restriction of import and export of the birds of prey</i>	<ul style="list-style-type: none"> - Specific regulation on birds of prey
<i>Resolution of the Cabinet of Ministers No. 276 of 20 Dec 2008 on measures to improve the efficiency of breeding Houbara Bustard in the territory of the Republic of Uzbekistan</i>	<ul style="list-style-type: none"> - Specific regulation on breeding Houbara Bustard in captivity

ANNEX VI

The list of captive breeding facilities registered in Uzbekistan

Date of registration / Registration No.	List of species bred in captivity
November 9, 2005 No. 000005 (Date of establishment: 1980)	<p>Appendix I: <i>Cacatua moluccensis</i>, <i>Cacatua sulphurea</i>, <i>Cacatua galerita aruensis</i>, <i>Cacatua galerita triton</i>, <i>Probosciger aterrimus</i>, <i>Cacatua goffini</i>, <i>Cacatua tenuirostris</i>, <i>Amazona leucocephala</i>, <i>Anodorhynchus</i> spp., <i>Aratinga guarouba</i></p> <p>Appendix II: Psittaciformes spp. <i>Plyctolophus galeritus</i>, <i>Plyctolophus albus</i>, <i>Cacatua sanguinea</i>, <i>Amazona amazonica</i>, <i>Amazona ochrocephala</i>, <i>Amazona xanthops</i>, <i>Amazona aextiva</i>, <i>Amazona arausiaca</i>, <i>Psittacula erithacus</i>, <i>Psittacula eupatria</i>, <i>Psittacula cyanocephala</i>, <i>Psittacula krameri</i>, <i>Electus roratus</i>, <i>Lorius garrulous</i>, <i>Trichoglossus haematobus</i>, <i>Platyercus eximius</i>, <i>Platyercus elegans</i>, <i>Tanygnathus sumatranus</i>, <i>Touit dilectissima</i>, <i>Nandayus nenday</i>, <i>Alisterus scapularis</i>, <i>Pionopsitta barrabandi</i>, <i>Eos histrio</i>, <i>Platyercus flaveolus</i>, <i>Platyercus adscitus</i>, <i>Deropteryx accipitrinus</i>, <i>Tauraco</i> spp., <i>Ramphastos tucanus</i></p>
4 August 2005 No. 000004	<p>Appendix I: <i>Cacatua moluccensis</i>, <i>Cacatua sulphurea</i>, <i>Cacatua goffini</i>, <i>Amazona leucocephala</i>, <i>Cacatua roseicapitta</i>, <i>Ara macao</i>.</p> <p>Appendix II: <i>Psittacula erithacus</i>, <i>Alisterus scapularis</i>, <i>Touit dilectissima</i>, <i>Psittacula eupatria</i>, <i>Psittacula cyanocephala</i>, <i>Electus roratus</i>, <i>Pionopsitta barrabandi</i>, <i>Barnardius barnardi</i>, <i>Platyercus elegans</i>, <i>Platyercus adscitus</i>, <i>Neophema sptendida</i>, <i>Neophema bourki</i>, <i>Neophema pulchella</i>, <i>Cyanoramphus novaezelandiae</i>, <i>Psittacus erithacus</i>.</p>
14 November 2005 No. 000007	<p>Appendix I: <i>Cacatua moluccensis</i>, <i>Cacatua sulphurea</i>, <i>Cacatua alba</i>, <i>Probosciger aterrimus</i>, <i>Cacatua goffini</i>, <i>Cacatua roseicapitta</i>, <i>Amazona versicolor</i>, <i>Amazona barbadensis</i>, <i>Ara macao</i>, <i>Ara ararauna</i>, <i>Cyanopsitta spixii</i>, <i>Lophophorus</i> spp., <i>Pavo muticus</i>, <i>Saguinus</i> spp.</p> <p>Appendix II: <i>Electus roratus</i>, <i>Psittacula eupatria</i>, <i>Alisterus scapularis</i>, <i>Psittacula cyanocephala</i>, <i>Psittacula erithacus</i>, <i>Psittacus erithacus</i>, <i>Lorius garrulous</i>, <i>Eos bornea</i>, <i>Trichoglossus haematodus</i>, <i>Prioniturus montanus</i>, <i>Pyrrhura rupicola</i>, <i>Psittacula Alexandri fasciata</i>, <i>Platyercus adscitus</i>, <i>Platyercus elegans</i>, <i>Platyercus venustus</i>, <i>Nandayus nenday</i>, <i>Amazona amazonica</i>, <i>Gruidae</i> spp., <i>Cercopithecidae</i> spp., <i>Macaca</i> spp.</p>
18 July 2007 No. 000014	Appendix I: <i>Chlamydotis undulata macquini</i> ²⁸
6 September 2007 No. 000018	Appendix I: <i>Chlamydotis undulata macquini</i> ²⁹

Source: CITES MA of Uzbekistan, April 2013

²⁸ This taxon is listed as *Chlamydotis macqueenii* under CITES.

²⁹ Same as above.

TRAFFIC, the wildlife trade monitoring network, is the leading non-governmental organization working globally on trade in wild animals and plants in the context of both biodiversity conservation and sustainable development.

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