

***Other Documents from  
Committees Established by the  
Conference of the Parties***

PROPOSED REVISION OF RESOLUTION CONF. 9.23

(prepared by a working group of Committee I from document Doc. 10.75 Annex 2)

**Transport of Live Animals**

RECALLING Resolution Conf. 9.23 (Fort Lauderdale, 1994), relating to the transport of live specimens;

CONSIDERING that the Convention, in Articles III, IV and V, requires Management Authorities to be satisfied, before granting export permits or re-export certificates, that specimens will be so prepared and shipped as to minimize the risk of injury, damage to health or cruel treatment;

NOTING that the revised version of the Guidelines for Transport and Preparation for Shipment of Live Wild Animals and Plants, adopted at the second meeting of the Conference of the Parties (San José, 1979), has been communicated to all Parties;

MINDFUL of the fact that implementation of these Guidelines depends on action to be taken at the national level, and within international organizations and conferences competent to regulate conditions of carriage;

CONSIDERING that air transport is the preferred method for transporting many live wild animals and that there are special requirements necessitated by air transport;

NOTING the extent to which the IATA Live Animals Regulations correspond to the CITES Guidelines and that the IATA Regulations are amended annually and are therefore more quickly responsive to changing needs;

WHEREAS Article XIV, paragraph 1, permits any Party to adopt stricter domestic measures for the regulation of trade in all species, whether or not listed in the appendices;

NOTING that, while there have been improvements in the transport of live animals, mortality for certain species has not been reduced significantly, despite continuing efforts by the Parties to improve transport conditions, and that mortality in transport undermines the concept of sustainable trade;

MINDFUL that, because of a number of biological and other factors, some species are far more difficult to prepare and ship without risk of injury, damage to health or cruel treatment than others;

RECOGNIZING the important work of the Working Group on the Transport of Live Animals in advising the Parties and providing technical assistance in conjunction with the Secretariat;

RECOGNIZING the lack of regional representation of the Parties at meetings of the Working Group on the Transport of Live Animals; and

AGREEING that the effective implementation of Article IV, paragraph 2(c), of the Convention necessitates further specific evaluation of the problem, analysis of information, and recommendations to the Parties for remedial or corrective action;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

DIRECTS the Animals Committee to deal with matters related to the transport of live animals;

RECOMMENDS that:

- a) suitable measures be taken by the Parties to promote the full and effective use by Management Authorities of the Guidelines for Transport and Preparation for Shipment of Live Wild Animals and Plants and that they be brought to the attention of carriers, freight forwarders and international organizations and conferences com-

petent to regulate conditions of carriage by air, land and sea or inland waterways;

- b) Parties invite the above organizations and institutions to comment on and amplify these Guidelines, so as to promote their effectiveness;
- c) the regular communication of the CITES Secretariat and the Standing Committee with the Live Animals and Perishables Board of the International Air Transport Association be continued and that a relationship with the Animals Transportation Association be developed;
- d) for as long as the CITES Secretariat and the Standing Committee agree, the IATA Live Animals Regulations be deemed to meet the CITES Guidelines in respect of air transport;
- e) except where it is inappropriate, the IATA Live Animals Regulations should be used as a reference to indicate suitable conditions for carriage by means other than air;
- f) the IATA Live Animals Regulations be incorporated into the domestic legislation of the Parties;
- g) applicants for export permits or re-export certificates be notified that, as a condition of issuance, they are required to prepare and ship live specimens in accordance with the IATA Live Animals Regulations for transport by air and the CITES Guidelines for Transport of Live Specimens for carriage by means other than air;
- h) to the extent possible, shipments of live animals be examined and necessary action taken to determine the well-being of the animals by CITES-designated persons or airline personnel during extended holding periods at transfer points;
- i) where Parties to the Convention have designated ports of entry and exit, animal-holding facilities be provided; and
- j) to the extent possible, Parties ensure that animal-holding facilities are open for inspection of shipments, with the concurrence of the transport company, by CITES-designated enforcement personnel or designated observers; and that any documented information be made available to the appropriate authorities and transport companies;

URGES all Parties that permit imports of live animals: to maintain records of the number of live specimens per shipment and of mortalities in transport of species listed in the appendices; to note obvious causes of mortality, injury or damage to health; and to provide these data relating to the previous calendar year along with their annual reports;

DECIDES that non-submission of these data will be noted in a report from the Secretariat to the Standing Committee;

DIRECTS further the Animals Committee, in consultation with the Secretariat:

- a) to establish the format for the presentation of data on mortality and injury or damage to health in transport; and
- b) to conduct a systematic review of the scope and causes of the mortality and injury or damage to health of animals during the shipment and transport process and of means of reducing such mortality and injury or damage to health;

- i) the review should include a process for making recommendations to the Parties designed to minimize mortality, on the basis of consultation with exporting, importing, re-exporting and transit countries, IATA and AATA, and additional information from scientists, veterinarians, zoological institutions, trade representatives, carriers, freight forwarders and other experts; and
- ii) these recommendations should be focused on individual species and countries of export, import, re-export or transit where appropriate, particularly those that have significant high mortality rates in transport, and should be designed to provide positive solutions to identified problems;

DIRECTS the Secretariat:

- a) to convey these recommendations to the exporting, importing or re-exporting Parties concerned, IATA and AATA after they have been approved by the Standing Committee; and
- b) in consultation with the Animals and Standing Committees, to monitor the implementation of those rec-

ommendations and other aspects of this Resolution and report its findings and recommendations at each meeting of the Conference of the Parties;

INVITES non-governmental organizations, particularly veterinary, scientific, conservation, welfare and trade organizations with expertise in the shipment, preparation for shipment, transport, care or husbandry of live animals, to provide the necessary financial, technical and other assistance to those Parties in need of and requesting such assistance to ensure the effective implementation of the treaty's provisions for the transport and preparation for shipment of live animals subject to international trade;

NOTES that in order to improve implementation of the IATA Live Animals Regulations by the Parties there is a need for greatly increased awareness of the Regulations through:

- a) more effective methods of training of personnel of airlines and enforcement agencies; and
- b) improved methods of liaison and information; and

REPEALS Resolution Conf. 9.23 (Fort Lauderdale, 1994) – Transport of Live Specimens.

DRAFT DECISIONS OF THE CONFERENCE OF THE PARTIES

[prepared by the Secretariat from documents Com. 10.2 (Rev.), adopted by Committee I, and Doc. 10.51, and to take into account new information provided by the observer from FAO]

**Regarding the Biological and Trade Status of Sharks**

1. The Conference of the Parties endorses the following recommendations to achieve effective implementation of Resolution Conf. 9.17:
  - a) Parties should, in collaboration with FAO and other regional fisheries organizations, improve methods to accurately identify, by species, record and report landings of sharks from directed fisheries and sharks taken as a by-catch in another fishery;
  - b) Parties that have a shark fishery and/or trade in sharks and shark parts and derivatives should establish appropriate species-specific recording and reporting systems for all sharks that are landed as a directed catch or a by-catch;
  - c) in an effort to improve statistics on trade in sharks and shark parts and derivatives the Secretariat, in collaboration with FAO, should consult the World Customs Organization to establish more specific headings within the standard six-digit Customs tariff headings, adopted under the Harmonized System tariff classification, to discriminate between shark meat, fins, leather, cartilage and other products;
  - d) it is suggested that FAO should, as a matter of urgency, initiate a work programme involving:
    - i) changing the manner in which it requests members to record and report data on shark landings;
    - ii) giving a consultancy to design and undertake an inquiry on the availability of biological and trade data on sharks (commenced in 1996);
    - iii) updating the Shark World Species Catalogue and the 1978 Shark Utilization and Marketing Monograph; and
    - iv) finalizing and publishing the World Catalogue of Rajiformes;
  - e) it is also suggested that FAO should transmit the results of the consultancy to the CITES Secretariat for circulation to and comment by the Parties to the Convention;
  - f) Parties that have a shark fishery should initiate efforts to:
    - i) collect species-specific data on landings, discards and fishing effort;
    - ii) compile information on life-history and biological parameters such as growth rate, life span, sexual maturity, fecundity and stock-recruitment relationships of sharks taken in their fisheries;
    - iii) document the distribution of sharks by age and sex, as well as their seasonal movements and interactions between populations; and
    - iv) reduce mortality of sharks captured incidentally in the course of other fishing activities;
  - g) Parties are encouraged to initiate management of shark fisheries at the national level and develop international/regional bodies to co-ordinate management of shark fisheries throughout the geographic range of species that are subject to exploitation in order to ensure that international trade is not detrimental to the long-term survival of shark populations;
  - h) the Conference of the Parties to the Convention should urge FAO to encourage its member States that have a shark fishery, or a fishery that takes sharks as a by-catch, to implement the principles and practices elaborated in: i) the FAO Code of Conduct for Responsible Fisheries; ii) the FAO Precautionary Approach to Fisheries, Part 1: Guidelines on the Precautionary Approach to Capture Fisheries and Species Introductions; and iii) the FAO Code of Practice for the Full Utilization of Sharks;
  - i) the Conference of the Parties welcomes the decision of the FAO Committee of Fisheries to organize an expert consultation to develop and propose guidelines leading to a plan of action for the conservation and effective management of sharks and directs the CITES Secretariat and the CITES Animals Committee to co-operate in this effort to further the implementation of Resolution Conf. 9.17; and
  - j) the Secretariat should communicate the relevant recommendations to FAO and other intergovernmental fisheries management and/or research organizations and establish liaison with these bodies to monitor implementation.
2. The Conference of the Parties requests the Chairman of the Animals Committee to serve as liaison with the United Nations Food and Agriculture Organization (FAO) and with intergovernmental fisheries management and/or research organizations in relation to all activities concerning the implementation of Resolution Conf. 9.17.

DRAFT DECISIONS OF THE CONFERENCE OF THE PARTIES

(prepared by a working group of Committee I from document Doc. 10.60 Annex)

**Regarding establishment of a working group on marine fish species**

**Decisions directed to the Standing Committee**

1. The Conference of the Parties to the Convention directs the Standing Committee to establish a temporary working group on marine fish and invertebrate species subject to international trade.
2. The working group will be chaired by the Chairman of the Animals Committee, assisted by the Secretariat, and will be composed of representatives of:
  - small and large fishing nations that are Parties to CITES;
  - the United Nations Food and Agriculture Organization (FAO);
  - regional fisheries management organizations;
3. The working group, acting within the competence of CITES and avoiding duplication of efforts undertaken by the FAO and regional fisheries management organizations, will:
  - fishing industries; and
  - conservation organizations.
- prepare an analysis of technical and practical implementation concerns associated with the potential inclusion in Appendix II of marine fish and invertebrate species subject to international trade; and
- develop recommendations for consideration at the 11th meeting of the Conference of the Parties.

DRAFT DECISION OF THE CONFERENCE OF THE PARTIES

(prepared by the proponent from document Doc. 10.83 at the request of Committee I)

**Regarding split-listings of geographically distinct populations in the appendices**

**Decision directed to the Parties**

Listings of entire geographically distinct populations in the appendices should not be made without prior consideration

of negative consequences to conservation and management programmes for national populations or to sustainable development programmes involving such populations.

DRAFT DECISIONS OF THE CONFERENCE OF THE PARTIES

[prepared by the Secretariat from document Doc. 10.31 (Rev.) Annex 3 approved as amended by Committee II]

**Regarding Further Steps to be Taken by the Parties and by the Secretariat to Implement Resolution Conf. 8.4**

**Decisions directed to the Parties**

Regarding Parties whose legislation was analysed during Phase I

1. The following action should be taken in relation to the Parties identified in Annex 1 of document Doc. 10.31 (Rev.), paragraph 10, that is those Parties: whose national legislation was analysed during Phase I of the review of national legislation and is believed not to meet the requirements for CITES implementation; which did not comply with Decision 6(a) directed to the Parties, adopted at the ninth meeting of the Conference of the Parties by reporting improvements in their legislation; and which have been identified as Parties engaged in significant amounts of international trade in CITES species.
  - a) All Parties should, from 9 June 1998, refuse any import, export and re-export of CITES specimens to and from these countries.
  - b) Before 9 June 1998, the Secretariat shall report on the progress on the adoption of national legislation that substantially improves implementation of CITES within a Party identified in paragraph 10 of Annex 1 to Doc. 10.31 (Rev.), and the Standing Committee shall decide whether the Decision in paragraph a) shall apply or not to that Party. The report shall include the comments of that Party.
  - c) Any Party identified in paragraph 10 of Annex 1 to Doc. 10.31 (Rev.) that enacts legislation meeting the criteria specified in Resolution Conf. 8.4 shall report to the Secretariat regarding such enactment. Such report shall be in writing, must include the text of the legal enactment that has taken effect, and must be translated into one of the three working languages of the Convention. Such report must be received by the Secretariat no later than 1 February 1998.
2. Parties identified in document Doc. 10.31 (Rev.) Annex 1 as having national legislation in categories 2 and 3, but which are not identified in paragraph 10, should:
  - a) take all necessary measures to develop national legislation for implementation of CITES and to ensure that this legislation will be in effect by the 11th meeting of the Conference of the Parties;
  - b) report to the Secretariat any progress made in this regard no later than six months before that meeting; and
  - c) provide to the Secretariat copies of all relevant new legislation and, where applicable, a translation of this legislation into one of the three working languages of the Convention.
3. With respect to Parties described in Decision 2 above that have not taken positive steps to implement that Decision, the Conference of the Parties at its 11th meeting shall consider appropriate measures, which may include restrictions on the commercial trade in specimens of CITES-listed species to or from such Parties.

Regarding Parties whose legislation was analysed during Phase II

4. a) Parties identified in document Doc. 10.31 (Rev.) Annex 2, paragraph 3, that is, those Parties whose national legislation was analysed during Phase II and was believed not to meet the requirements for CITES implementation should:
  - i) take all necessary measures to develop national legislation for implementation of CITES and to ensure that this legislation will be introduced by the 11th meeting of the Conference of the Parties; and
  - ii) report to the Secretariat any progress made in this regard no later than six months before that meeting.
- b) If any of these Parties believes that the Secretariat's current analysis of legislation is not accurate, it should, by 1 September 1997, provide to the Secretariat:
  - i) copies of all relevant legislation not referred to in the analysis and, where applicable, a translation of this legislation into one of the three working languages of the Convention; and
  - ii) its comments as to how such legislation applies to the implementation of CITES.
- c) Notwithstanding the new information provided by the Party, paragraph 4.a) should apply until the Party receives different advice from the Secretariat.
5. With respect to Parties described in paragraph 4. a) above that have not taken positive steps to implement these recommendations, the Conference of the Parties at its 11th meeting shall consider appropriate measures, which may include restrictions on the commercial trade in specimens of CITES-listed species to or from such Parties.
6. a) Parties identified in document Doc. 10.31 (Rev.) Annex 2, paragraph 2, as being Phase II Parties whose national legislation is in category 2, that is, whose legislation is generally believed not to meet all requirements for CITES implementation should:
  - i) take steps to improve their national legislation for implementation of CITES in the areas of weakness indicated in the analysis; and
  - ii) report to the Secretariat any progress made in this regard no later than six months before the 11th meeting of the Conference of the Parties.
- b) If any of these Parties believes that the Secretariat's analysis of legislation is not accurate, it should, by 1 September 1997, provide to the Secretariat:
  - i) copies of all relevant legislation not referred to in the analysis and, where applicable, a translation of this legislation into one of the three working languages of the Convention; and
  - ii) its comments as to how such legislation applies to the implementation of CITES.

- c) Notwithstanding the new information provided by the Party, paragraph 6.a) should apply unless the Party is advised by the Secretariat that its legislation is believed to generally meet all requirements for CITES implementation (category 1).

#### **Decisions directed to the Secretariat**

The Secretariat shall:

1. consider any new information on legislation for implementation of CITES received from the Parties indicated in Annexes 1 and 2 of document Doc. 10.31 (Rev.) and amend the analyses of legislation and the ratings accordingly;
2. advise the Parties concerned of any amendments to the analyses of their legislation and to their ratings and, as a result, of any changes regarding actions that they should take concerning the Decisions 2, 4 and 6 above addressed to the Parties;
3. provide technical assistance to Parties requesting assistance in the development of their national legislation for CITES implementation, giving priority to those Parties identified in Annex 1 of document Doc. 10.31 (Rev.) as having national legislation that generally does not meet the requirements for implementation of CITES (category 3);

4. initiate immediately Phase III of the analysis of national legislation by analysing the legislation of Parties not named in Annex 1 or 2 of document Doc. 10.31 (Rev.);
5. keep current the analyses of legislation, using the information from the biennial reports required under Article VIII, paragraph 7(b), of the Convention and other relevant information that becomes available;
6. communicate on request to Parties (free of charge) or to any international or national organization (against payment to cover costs), copies of the analyses of national legislation of any Party whose analysis is completed and which has formally agreed to this communication; and
7. report to the 11th meeting of the Conference of the Parties:
  - a) the measures taken by the Parties concerned to implement Decisions 2, 4 and 6 above, directed to the Parties and any recommendations relating to Parties that have not implemented the Decisions;
  - b) any progress concerning technical assistance provided to the Parties in the development of their national legislation for implementation of CITES; and
  - c) the conclusions of the analyses of legislation begun in 1997 for Parties not named in Annex 1 or 2 of document Doc. 10.31 (Rev.).

DRAFT DECISIONS OF THE CONFERENCE OF THE PARTIES

(prepared by a working group of Committee II, after consideration of document Doc. 10.30)

**Control and Checking of Shipments of CITES Specimens**

**Decision directed to the Parties**

In order to improve enforcement, Parties should take the necessary measures to develop a global strategy for border controls, audits and investigations, by:

- taking into account the different procedures for Customs clearance of goods and Customs procedures such as transit, temporary admission, warehouse storage, etc.;
- ensuring that officers in charge of control are trained in CITES matters regarding, for example, CITES requirements, identification of specimens and the handling of live animals;
- implementing document control in order to ensure the authenticity and validity of CITES permits and certificates, especially, if necessary, by requesting the Secretariat to confirm their validity;

- conducting physical examination of goods, based on a policy of risk assessment and targeting;
- increasing the quality of controls at the time of export and re-export; and
- providing the necessary funding in order to reach these objectives.

**Decision directed to the Secretariat**

Co-operate with WCO, ICPO-Interpol and competent national authorities to:

- prepare and distribute appropriate training material; and
- facilitate the exchange of technical information between the authorities in charge of border controls.

DRAFT DECISIONS OF THE CONFERENCE OF THE PARTIES

(prepared from documents Com. 10.7 approved as amended by Committee II and Doc. 10.28)

**Decisions directed to the Secretariat**

Regarding the implementation of Resolutions

Prepare for the Parties, during the period up to the next meeting of the Conference of the Parties, lists of resolutions in effect, in order to be able to assess their level of implementation in their countries and to determine the difficulties encountered to implement them; and

report at the next meeting of the Conference of the Parties on the results of these analyses.

Regarding the report on alleged infractions and other implementation problems

Make a clear distinction between alleged infractions to the provisions of the Convention and non-compliance with the recommendations laid down in Resolutions of the Conference of the Parties. The summaries of these two different categories of cases shall be presented in separate annexes to the report.

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES

(prepared from documents Com. 10.8 approved as amended by Committee I and Doc. 10.70 Annex)

**Animal Hybrids**

RECALLING Resolution Conf. 2.13 on the problem of hybrids, adopted at the second meeting of the Conference of the Parties (San José, 1979);

CONCERNED that trade in hybrids of species included in the appendices should be controlled in order to support the controls on trade in the species included in Appendices I and II;

THE CONFERENCE OF THE PARTIES TO THE  
CONVENTION

DECIDES that:

- a) for the purposes of adding taxa to the appendices, hybrids may be specifically included, but only if they form distinct and stable populations in the wild;
- b) hybrid animals that have in their recent lineage one or more specimens of species included in Appendix I or II shall be subject to the provisions of the Convention just as if they were full species, even if the hybrid concerned is not specifically included in the appendices;

- c) if at least one of the animals in the recent lineage is of a species included in Appendix I, the hybrids shall be treated as specimens of species included in Appendix I (including being eligible for the exemptions of Article VII when applicable); and
- d) if at least one of the animals in the recent lineage is of a species included in Appendix II, and there are no Appendix-I specimens in the lineage, the hybrids shall be treated as specimens of species included in Appendix II;

RECOMMENDS that, when Parties are considering the making of non-detriment findings, in accordance with Article III, paragraph 2(a), or Article IV, paragraph 2(a), for specimens of hybrids that are subject to the provisions of the Convention, they take into account any potential detriment to the survival of the listed species; and

REPEALS Resolution Conf. 2.13 (San José, 1979) – Problem of Hybrids.

DRAFT DECISION OF THE CONFERENCE OF THE PARTIES

(prepared by a working group of Committee II after discussion of document Doc. 10.33)

**Small Island Developing States (SIDS)**

THE CONFERENCE OF THE PARTIES TO THE  
CONVENTION

DIRECTS the CITES Secretariat to:

- a) continue its efforts to strengthen its presence in the Caribbean and Oceanian regions and provide assistance to SIDS;
- b) prepare and send a package of general information on CITES to non-party SIDS, providing information on obligations and responsibilities of Parties and non-Parties and advantages and benefits of acceding to CITES. The package should include the text of the Convention, the list of species included in the appendices, a report on assistance provided to Parties during the last biennium, the Guidelines for the preparation of national legislation on CITES and any other material that may be relevant for non-Parties considering accession to CITES;
- c) relay the outcome of the discussion at the 10th meeting of the Conference of the Parties regarding SIDS to non-party States in the Caribbean and Oceanian regions, and inform them of proposed follow-up;
- d) extend the planned assessment of training needs of Parties to non-party SIDS in the Caribbean and Oceanian regions;
- e) organize a training seminar on CITES for all SIDS in the Caribbean and Oceanian regions during the biennium 1998-1999 if external sources are available;
- f) continue providing strong support to SIDS during the next triennium;
- g) seek external funding to assist SIDS in the Caribbean and Oceanian regions in their undertaking of the process of accession to CITES, according to the results of assessments of in-country needs;
- h) provide technical assistance to SIDS Parties to the Convention to strengthen their capabilities to fully implement the Convention, within available resources;
- i) designate a SIDS co-ordinator within the Secretariat to follow up the implementation of the Decisions of CoP10;

- j) convey the following recommendations to Small Island Developing States that are not party to CITES:
  - to provide the Secretariat with the name and contact address of the authority competent to sign CITES permits and certificates, as well as original signatures of personnel authorized to sign permits and certificates (in compliance with the requirements of Resolution Conf. 9.5);
  - to notify the Secretariat as soon as any changes occur regarding the designated competent authority or the authorized signatures;
  - to carry out an in-country assessment of strategic needs to clearly define the assistance required to enable compliance with CITES requirements for non-Parties, or obligations of Parties should they wish to accede to the Convention. The assessment should examine issues such as which CITES-listed species are currently in trade, what are the levels of trade and what are the existing legislative and administrative arrangements. Assistance for this assessment could be requested from the CITES Secretariat, UNEP, UNDP, World Bank, SPREP, TRAFFIC, Parties to the Convention, other international organizations and donors; and
  - to explore measures such as education and public awareness, to assess, control and minimize any negative impact of growing international trade in tourist souvenirs and marine aquarium species; and
- k) convey the following recommendation to the Parties to the Convention, UNEP, UNDP, World Bank, SPREP, TRAFFIC, other international organizations and donors:

the Conference of the Parties encourages these bodies to provide technical and financial assistance to SIDS in the Caribbean and Oceanian regions taking into account the results of the in-country needs assessment to allow them to strengthen their national capabilities to comply with their obligations, as well as to allow non-Parties to take the necessary legal and administrative measures to accede to CITES.

REPORT OF THE CHAIRMAN OF THE BUDGET COMMITTEE

1. This document was prepared by the Chairman of the Budget Committee.
2. The Budget Committee has reviewed documents Doc. 10.11, 10.12, 10.13, 10.13.1 and 10.14, and makes comments and recommendations as follows.

Document Doc. 10.11 Financial Report for 1994, 1995 and 1996

3. This report indicates prudent budget management during the period, taking particular advantage of savings especially through external funding opportunities. The Trust Fund has built up to a healthy condition going into 1997, although there is further evidence of late or no payment of dues by some Parties. Parties need to be aware that UNEP is no longer able to loan funds to the Secretariat to cover periods where dues are slow to arrive, and the Secretariat as a consequence is unable to let contracts and ensure the provision of services to the Parties without sufficient money in the bank.
4. Concern was expressed that the Trust Fund should be capable of earning higher interest rates on bank accounts, and the Committee urged the Secretariat and UNEP to explore possibilities under UN rules to take better advantage of this source of funds.
5. Noting these points, the Budget Committee **recommends to Committee II that document Doc. 10.11 containing the Financial Report for 1994, 1995 and 1996 be accepted.**

Document Doc. 10.12 Estimated Expenditures for 1997

6. Document Doc. 10.12 shows that annual expenditure is projected to remain within the budget approved at the last CoP for this last year of the biennium. It is apparent that budget adjustments have had to be made in order to cover higher than expected costs for CoP10.
7. The Committee noted in particular the considerably higher projection of costs for document translation (line 1201) above that originally budgeted, and the Secretariat's explanation that this has been caused by a doubling of the amount of material requiring translation for this CoP, compounded by the very short time span to have the work done. The Budget Committee sees a need for a review of translation services, and this is discussed further below.
8. Noting the above comments, the Budget Committee **recommends to Committee II that document Doc. 10.12 containing the Estimated Expenditures for 1997 be accepted.**

Document Doc. 10.14 External Funding

9. This report notes the acquisition and distribution of some USD 4 million received from donors over the past triennium to support the work of the Convention. Major support was provided for species-related projects in particular regions. Support for global projects was provided for enforcement, capacity building and for the review of the effectiveness of the Convention.
10. The Budget Committee noted the continued support by way of external funds from Parties, industry organizations and NGOs. The Parties to this Convention should acknowledge the generous support which is provided from these sources.
11. The Budget Committee also noted that this report registers only those funds passed on to projects through

the Secretariat and takes no account of the generous support provided to the work of the Convention direct to Parties for species-related projects, training, enforcement, etc., nor does it recognize direct support by way of human resources and materials.

12. Noting these comments, the Budget Committee **recommends to Committee II that document Doc. 10.14 on External Funding be accepted.**

Document Doc. 10.13 Budget for 1998-2000 and Medium-term Plan for 1998-2002

13. This document presents a budget for the next triennium which represents a 26 per cent increase over the average budget for the last period. It was noted at the outset that there are some 10 per cent more Parties to the Convention than there were at CoP9 and that UN pay scales have moved upwards. The report indicated that the Parties are seeking more support services from the Secretariat for activities such as regional co-ordination, permit confirmation and full service in all three working languages of the Convention. The Committee was conscious that the Secretariat has often been asked to carry out tasks which have not been specifically provided with a budget, and a consensus emerged that the Secretariat should not in fact do work that was not specifically funded.
14. It was clear from the outset that the delegates of Parties represented on the Budget Committee for the most part had firm instructions not to agree to any increase in the budget for the Secretariat. This meant that the discussion did not focus on all of the new or significantly increased budget items presented in document Doc. 10.13, but looked rather for constraints and reductions to be applied to the budget proposal, and for the means to ensure that the base operations of the Secretariat continue.
15. There was a lengthy discussion on the proposals for staff increases in document Doc. 10.13, notably provision for an English Editor (line 1112 of the Proposed Budget for the Triennium), Permit Confirmation Staff (lines 1113 and 1310), and a further Regional Co-ordinator for Africa (line 1114). The Committee did not attempt to establish priorities for these proposals, given that this would be more appropriately done in Committee II, but some conclusions were drawn with respect to English editing and document translation.
16. The matter of servicing the Parties in all three languages of the Convention was raised a number of times in the Budget Committee. It was particularly noted that the absence of simultaneous interpretation into French and Spanish in the Budget Committee itself was a barrier to full participation by some Parties. Further, the discussion on translation of documents led to a conclusion that the Secretariat should, as a matter of urgency, review the provision of document translation services to the Secretariat and the Parties, especially recognizing the demands of the meetings of the Conference of the Parties. In this, the Committee concluded that the Secretariat should be given the authority to make the necessary staffing decisions that might flow on from such a review. The Secretariat would be accountable to the Conference of the Parties for the efficient and effective provision of document translation to and from all three working languages of the Convention, and should exercise the authority over staffing decisions here and elsewhere in meeting the needs of the priorities established by the Parties without refer-

ence back to the meetings of the Conference. The Secretariat stated that it expected there would be significant savings potentially arising from a rationalization of document translation services, sufficient to provide an improved service overall, but staffing flexibility was needed. Within the context of the review and of overall Secretariat requirements, the need for English editing services should be taken into account.

17. Discussion of the budget proposal identified that there were some unavoidable increases in costs for the Secretariat which needed to be funded if there was to be a maintenance of existing services to the Convention, let alone any consideration of new or significantly increased services as proposed in document Doc. 10.13.
18. At the request of the Budget Committee, the Secretariat prepared an operating base budget, focusing on the maintenance of existing levels of service to the Convention as approved at CoP9, exclusive of external funding projects. This budget is contained in Annex 1.
19. This budget establishes that an increase in budget of 8.66 per cent over that for the past biennium will be required to maintain a base level of operations. There have been significant increases in the costs of salaries for existing staff, and in travel, support, communications, office maintenance and consultancies, matched only to some extent by reductions in CoP costs, seminar participation and office rent. While the Committee submitted this base operating budget to scrutiny, no proposals for reductions were formally proposed.
20. There was further disquiet that such a base budget would not permit the provision of full interpretation services for the Convention's permanent technical Committees, and the Committee was of the view that savings should be made in any discretionary budget items in order to ensure that these needs are met for Plants and Animals Committees, with consequential adjustment of other budget lines.

#### CITES Trust Fund

21. Given the stated position of a number of Parties in the Committee, that budget increases could not be readily supported, there was an exploration of ways of funding the base operating budget increase without increases to the dues of Parties. The status of the CITES Trust Fund was examined, and the Secretariat prepared a projection of the expected balance at the end of 1997, the start of the next triennium. This is contained in Annex 2 attached. This shows that, based on expected income and expenditure in 1997, the Trust Fund should contain a balance of CHF 3.622 million at that time.
22. Given the experience of some other conventions, the Committee considered that it might be possible for the Secretariat to draw down to some extent on this balance in order to provide for services within the budget over the next triennium. While opinion was divided as to exactly what would be appropriately funded from this source, there was agreement that any draw down should not result in an end of year balance in the fund below CHF 2.3 million in any year of the triennium. While there is an element of risk in drawing down this source of funds (use of the Trust Fund for structural/unavoidable costs to too large an extent), the Committee draws to the attention of Committee II that any risk will be reduced or eliminated by the actions of the Parties themselves in prompt or early payment of contributions.
23. There was a consensus within the Budget Committee that the base operating budget contained in Annex 1 should be recommended for acceptance by Committee II, noting that this implies an increase in the Budget of

8.66 per cent over the budget for the previous biennium. There was a range of opinion as to how much of this budget increase should be covered by increases in dues from the Parties, and how much from draw down on the Trust Fund. This range, from all to none of the increase to be covered by contributions from the Parties, is contained in the recommendations below.

#### New Priorities

24. It should be noted that many of the proposals for new funding or significantly increased budget items contained in document Doc. 10.13 will not be able to be covered by this budget proposal. The Committee refers these proposals back to Committee II for prioritization against any new funds that might be provided from Trust Fund draw down (depending how much is available), savings which may or may not arise during the triennium, or external funding sources, or a reprioritization of existing budget items. A summary of these unfunded budget proposals is contained in Annex 3.
25. The Committee is strongly of the view that any future proposals or draft resolutions with budgetary and workload implications for the Secretariat must contain or be accompanied by a budget for the work involved and an indication of the source of funding. Any new work for the Secretariat should only be undertaken if additional funds are approved, or if existing work carried out under the Trust Fund is reprioritized, at the time when the draft resolution is approved or the decision made by the Conference of the Parties. Further, the Committee considers that this proposal should come into force to the extent possible immediately, within this meeting of the Conference of the Parties.

#### Medium-term Plan

26. The Committee asked the Secretariat to recast the projections of funding needs for the period 2001 and 2002 on a basis of zero real growth over the budget levels for the next triennium.

#### Document Doc. 10.13.1

27. The Committee supports the idea of a significant reduction in the document translation workload for the Secretariat, and the concept of a limit to the number of pages, provided this does not result in any loss of equity for the three working languages of the Convention. It invites Committee II to consider models and methods to deal with this problem during this meeting of the Conference of the Parties. The Committee suggests that, as a rule, no document should be more than 12 pages, but acknowledges that this rule might need to be varied for particular types of document. Those Parties that are able to translate their proposals fully into all working languages of the Convention are urged to do so before submitting them to the Secretariat.

#### Recommendations of the Budget Committee

28. The Budget Committee **recommends** that Committee II:
  - a) accept documents Doc. 10.11 Financial Report for 1994, 1995 and 1996, Doc. 10.12 Estimated Expenditures for 1997, and Doc. 10.14 External Funding;
  - b) note the budget proposals contained in document Doc. 10.13, and that these represent some 26 per cent increase in the budget above the last biennium;
  - c) note the base operating budget subsequently prepared by the Secretariat contained in Annex 1, which implies an increase of 8.66 per cent above the last biennium to maintain current services;

- d) agree that, in respect of servicing the three working languages of the Convention:
  - i) the Budget Committee at meetings of the Conference of the Parties should be provided with simultaneous interpretation for all three languages;
  - ii) the base operating budget should be reviewed to provide for simultaneous interpretation at the meetings of the Plants and Animals Committees;
  - iii) the Secretariat should carry out a review of its document translation services with a view to the efficient and effective translation in all three languages; and
  - iv) costs associated with these items are to be covered by an adjustment within the base operating budget by a comparable amount;
- e) agree that, in respect of the document translation review, and in any work unit, the Parties provide the Secretariat the authority to make staffing decisions as necessary to implement the priorities of the Parties without further authorization from the Parties being needed, within the overall approved budget and in accordance with the UN rules;
- f) approve the base operating budget contained in Annex 1, with an increase of budget over the past biennium of 8.66 per cent, noting that this increase is necessary to cover unavoidable cost increases for existing budget lines over the period;
- g) agree that the budget increase should be provided:
  - i) entirely from an increase in the regular contributions of the Parties, with the use of funds drawn from the Trust Fund balance to cover any further activities resulting from resolutions or priorities for new work approved at this meeting of the Conference of the Parties, such draw down not to result in an end-of-year balance in the Trust Fund below CHF 2.3 million; or
  - ii) by a 5 per cent increase in the regular contributions of the Parties to the Trust Fund, with the remaining 3.66 per cent drawn down on the balance of the Trust Fund at a rate of CHF 238,860 each year, and with the Trust Fund balance also drawn down further to fund the implementation of resolutions or priorities for new work approved at this meeting of the Conference of the Parties, such draw down not to result in an end-of-year balance in the fund below CHF 2.3 million; or
- iii) drawn entirely from the projected Trust Fund balance at a rate of CHF 520,000 per year, provided that any new or modified budget items resulting from any resolutions or priorities for new work approved at this meeting of the Conference of the Parties must be accompanied by a comparable decrease in the base operating budget or by external funding;
 

noting also that implementation of approved resolutions or new work priorities may also, in any of these options, be funded from external sources;
- h) note the consequences of each of the budget options above for the scale of contributions from the Parties for the triennium 1998-2000 contained in Annex 4;
- i) decide that all future draft resolutions or decisions submitted for the consideration of the Conference of the Parties before and during the meetings that have budgetary and workload implications for the Secretariat must contain or be accompanied by a budget for the work involved and an indication of the source of funding;
- j) agree that any new work for the Secretariat should only be undertaken if additional funds are approved or if existing work carried out under the Trust Fund is reprioritized, at the time the draft resolution is approved or the decision made by the Conference of the Parties;
- k) note the new budget proposals summarized in Annex 3;
- l) establish the priorities for these unfunded budget items and any draft resolutions proposed for approval at this meeting of the Conference of the Parties to be funded from any available draw down in the Trust Fund, or from savings or adjustments to the items within the base operating budget contained in Annex 1, or from external funding;
- m) agree that the projection of budget for the medium-term years 2001 and 2002 should be on the basis of zero real growth over the approved level of the next triennium;
- n) consider the proposal contained in document Doc. 10.13.1 for cost savings in document translation by developing models and methods to constrain the extent of document translation needed, provided that it is assured that all Parties have access to identical information; and
- o) take into account the suggestion from the Budget Committee that, as a general rule, documents should be no more than 12 pages in length.

## Annex 1

**1998-2000 Budget**  
**Mandatory Increase of 8.66 per cent to Maintain Minimum Operational Costs**  
(in Swiss Francs)

Budget Line	Description	1996/97 per year	1998-2000 per year	Increase/ Decrease	% Incr./Decr.
1100-1111	Professionals posts	1,950,000	2,278,333	328,333	16.84
1200	Consultancies	105,000	123,334	18,334	17.46
1300-1321	Support staff (incl. Conference staff)	1,305,000	1,387,667	82,667	6.33
1601	Travel – general (regional co-ordination)	115,000	175,000	60,000	52.17
1602	Travel of staff to CoP & SC	145,000	96,667	(48,333)	(33.33)
1603	Travel of staff to seminars	79,000	43,333	(35,667)	(45.15)
2101	Nomenclature studies – animals Nomenclature studies – plants	10,000 27,500	10,000 27,500	0 0	0.00 0.00
2102	Significant trade – animals Significant trade – plants	100,000 25,000	100,000 25,000	0 0	0.00 0.00
2103	CITES-implementation legislation	105,000	105,000	0	0.00
2104	Identification Manual – animals Identification Manual – plants	80,000 30,000	80,000 30,000	0 0	0.00 0.00
2105	Technical publications	12,500	12,500	0	0.00
2106	Trade monitoring and technical support – WCMC	179,000	179,000	0	0.00
2107	Coded microchips	18,500	0	(18,500)	(100.00)
3200	Travel of participants to seminars	120,000	76,667	(43,333)	(36.11)
3301	Standing Committee	82,500	82,500	0	0.00
3302	Plants Committee	50,000	50,000	0	0.00
3303	Animals Committee	50,000	50,000	0	0.00
3304	African elephant – Panel of Experts	15,000	15,000	0	0.00
4101	Office supplies	60,000	70,000	10,000	16.67
4200	Non-expendable equipment	45,000	90,000	45,000	100.00
4300	Office premises	70,000	0	(70,000)	(100.00)
5101	Maintenance of computers	21,000	26,667	5,667	26.98
5102	Maintenance of photocopiers	26,000	40,000	14,000	53.85
5103	Maintenance of office premises	37,500	115,000	77,500	206.67
5201	CoP-related documents	98,000	63,333	(34,667)	(35.37)
5202	Documents not related to CoP	31,500	23,333	(8,167)	(25.93)
5203	Printing of permits on security paper	11,250	11,250	0	0.00
5204	Other publications	20,000	13,333	(6,667)	(33.33)
5301	Communications (tlx, tel., fax, etc.)	245,000	300,000	55,000	22.45
5302	Logistics for the CoP	25,000	50,000	25,000	100.00
5304	Other (bank charges, etc.)	11,000	15,000	4,000	36.36
5400	Hospitality	10,000	10,000	0	0.00
	Sub-totals	5,315,250	5,775,416	460,166	8.66
6300	Administrative costs (13%)	690,983	750,804	59,822	8.66
	<b>Total</b>	<b>6,006,233</b>	<b>6,526,220</b>	<b>519,988</b>	<b>8.66</b>

**Annex 2**

**Projected Status of CITES Trust Fund as at 31 December 1997**

(in Swiss Francs)

<b>Income</b>		
Balance available as at 1 January 1996		4,180,239
Contributions received in 1996		4,728,483
Interest accrued in 1996		25,998
Contributions received for prior years as at 2 June 1997		1,829,350
Contributions received for 1997 as at 2 June 1997		2,687,370
Expected contributions to be paid by 31/12/97 (assuming 70% payment of the 1997 approved contributions):		
– 70% of the 1997 approved contributions	4,275.081	
– Less: amount paid as at 2 June 1997	2,687.370	1,587,711
<b>A. TOTAL INCOME OF THE TRUST FUND</b>		<b>15,039,151</b>
<b>Expenditures</b>		
1996 expenditures		4,318,356
13% programme support costs		561,386
<b>B. TOTAL EXPENDITURES/APPROVED COMMITMENTS</b>		<b>4,879,742</b>
<b>C. BALANCE AVAILABLE FOR 1997 ACTIVITIES (A – B)</b>		<b>10,159,408</b>
<b>Requirements</b>		
Requirements in 1997		5,784,500
13% programme support costs		751,985
<b>D. TOTAL ESTIMATED REQUIREMENTS FOR 1997</b>		<b>6,536,485</b>
<b>E. TOTAL EXPENDITURES/COMMITMENTS AND REQUIREMENTS (B + D)</b>		<b>11,416,227</b>
<b>F. SURPLUS/DEFICIT (A-E)</b>		<b>3,622,923</b>

### Annex 3

1998-2000 Budget

Activities Proposed in Document Doc. 10.13, but not Covered by the Budget Prepared by the Committee

(in Swiss Francs)

#### New Budget Lines

Ref. to Doc. 10.13	New Budget Line	Particulars	Average Cost/year
12	1204	Annual reports	41,333
13	4102	Training materials	16,667
14	5303	Logistics of regional seminars	21,667
15	2107	CITES Checklist and Annotated Appendices and Reservations	72,000
16	2109	CITES Listserver	7,200
17	2108	CITES Web Site	32,800
18	2110	Counterpart Contributions for Projects	60,000
19	2111	Development of Standardized indicators – Rhinoceros Conservation	42,000
20	1112	English Documentation	163,000
21	1205	Evaluation of Captive-breeding/Ranching Operations	50,000
30	1113	Permit Confirmation Officer	139,667
30	1310	Permit Confirmation Assistant	122,000
32	1114	Regional Co-ordination	139,667
		<b>Total</b>	<b>908,011</b>

#### Significantly Increased Budget Lines

Ref. to Doc. 10.13	Increased Budget Line	Particulars	Average Increase/year
11	3304	African Elephant – Panel of Experts	5,000
22	2104	Identification Manual – Plants	20,000
23	2101	Nomenclature Studies – Plants	32,500
29	4200	Non-expendable Equipment	15,000
33	2102	Significant Trade – Animals	70,000
33	2102	Significant Trade – Plants	224,333
42	1201	Translation of Documents	11,667
–	3301	Standing Committee	17,500
–	3302	Plants Committee	50,000
–	3303	Animals Committee	50,000
		<b>Total</b>	<b>496,000</b>

## Option 1: If Parties cover the increased budget of 8.66 per cent by annual contributions

TRUST FUND FOR THE CONVENTION ON INTERNATIONAL TRADE  
IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA

## Scale of Contributions for the Triennium 1998-2000

(amounts in USD are only indicative; USD 1.00 = CHF 1.43)

Party	UN Scale %	Total 1998-2000		Annual Contribution	
		CHF	USD	CHF	USD
Afghanistan	0.01	2,000	1,399	667	466
Algeria	0.16	32,004	22,381	10,668	7,460
Argentina	0.48	96,013	67,142	32,004	22,381
Australia	1.48	296,040	207,021	98,680	69,007
Austria	0.87	174,024	121,695	58,008	40,565
Bahamas	0.02	4,001	2,798	1,334	933
Bangladesh	0.01	2,000	1,399	667	466
Barbados	0.01	2,000	1,399	667	466
Belarus	0.28	56,008	39,166	18,669	13,055
Belgium	1.01	202,027	141,278	67,342	47,093
Belize	0.01	2,000	1,399	667	466
Benin	0.01	2,000	1,399	667	466
Bolivia	0.01	2,000	1,399	667	466
Botswana	0.01	2,000	1,399	667	466
Brazil	1.62	324,044	226,604	108,015	75,535
Brunei Darussalam	0.02	4,001	2,798	1,334	933
Bulgaria	0.08	16,002	11,190	5,334	3,730
Burkina Faso	0.01	2,000	1,399	667	466
Burundi	0.01	2,000	1,399	667	466
Cameroon	0.01	2,000	1,399	667	466
Canada	3.11	622,085	435,024	207,362	145,008
Central African Republic	0.01	2,000	1,399	667	466
Chad	0.01	2,000	1,399	667	466
Chile	0.08	16,002	11,190	5,334	3,730
China	0.74	148,020	103,511	49,340	34,504
Colombia	0.10	20,003	13,988	6,668	4,663
Comoros	0.01	2,000	1,399	667	466
Congo	0.01	2,000	1,399	667	466
Costa Rica	0.01	2,000	1,399	667	466
Côte d'Ivoire	0.01	2,000	1,399	667	466
Cuba	0.05	10,001	6,994	3,334	2,331
Cyprus	0.03	6,001	4,196	2,000	1,399
Czech Republic	0.25	50,007	34,970	16,669	11,657
Democratic Republic of the Congo	0.01	2,000	1,399	667	466
Denmark	0.72	144,020	100,713	48,007	33,571
Djibouti	0.01	2,000	1,399	667	466
Dominica	0.01	2,000	1,399	667	466

Party	UN Scale %	Total 1998-2000		Annual Contribution	
		CHF	USD	CHF	USD
Dominican Republic	0.01	2,000	1,399	667	466
Ecuador	0.02	4,001	2,798	1,334	933
Egypt	0.08	16,002	11,190	5,334	3,730
El Salvador	0.01	2,000	1,399	667	466
Equatorial Guinea	0.01	2,000	1,399	667	466
Eritrea	0.01	2,000	1,399	667	466
Estonia	0.04	8,001	5,595	2,667	1,865
Ethiopia	0.01	2,000	1,399	667	466
Finland	0.62	124,017	86,725	41,339	28,908
France	6.42	1,284,174	898,024	428,058	299,341
Gabon	0.01	2,000	1,399	667	466
Gambia	0.01	2,000	1,399	667	466
Georgia	0.11	22,003	15,387	7,334	5,129
Germany	9.06	1,812,246	1,267,305	604,082	422,435
Ghana	0.01	2,000	1,399	667	466
Greece	0.38	76,010	53,154	25,337	17,718
Guatemala	0.02	4,001	2,798	1,334	933
Guinea	0.01	2,000	1,399	667	466
Guinea-Bissau	0.01	2,000	1,399	667	466
Guyana	0.01	2,000	1,399	667	466
Honduras	0.01	2,000	1,399	667	466
Hungary	0.14	28,004	19,583	9,335	6,528
India	0.31	62,008	43,363	20,669	14,454
Indonesia	0.14	28,004	19,583	9,335	6,528
Iran (Islamic Republic of)	0.45	90,012	62,946	30,004	20,982
Israel	0.27	54,007	37,767	18,002	12,589
Italy	5.25	1,050,143	734,366	350,048	244,789
Jamaica	0.01	2,000	1,399	667	466
Japan	15.65	3,130,425	2,189,109	1,043,475	729,703
Jordan	0.01	2,000	1,399	667	466
Kenya	0.01	2,000	1,399	667	466
Latvia	0.08	16,002	11,190	5,334	3,730
Liberia	0.01	2,000	1,399	667	466
Liechtenstein	0.01	2,000	1,399	667	466
Luxembourg	0.07	14,002	9,792	4,667	3,264
Madagascar	0.01	2,000	1,399	667	466
Malawi	0.01	2,000	1,399	667	466
Malaysia	0.14	28,004	19,583	9,335	6,528
Mali	0.01	2,000	1,399	667	466
Malta	0.01	2,000	1,399	667	466
Mauritius	0.01	2,000	1,399	667	466
Mexico	0.79	158,021	110,505	52,674	36,835

Party	UN Scale %	Total 1998-2000		Annual Contribution	
		CHF	USD	CHF	USD
Monaco	0.01	2,000	1,399	667	466
Mongolia	0.01	2,000	1,399	667	466
Morocco	0.03	6,001	4,196	2,000	1,399
Mozambique	0.01	2,000	1,399	667	466
Namibia	0.01	2,000	1,399	667	466
Nepal	0.01	2,000	1,399	667	466
Netherlands	1.59	318,043	222,408	106,014	74,136
New Zealand	0.24	48,007	33,571	16,002	11,190
Nicaragua	0.01	2,000	1,399	667	466
Niger	0.01	2,000	1,399	667	466
Nigeria	0.11	22,003	15,387	7,334	5,129
Norway	0.56	112,015	78,332	37,338	26,111
Pakistan	0.06	12,002	8,393	4,001	2,798
Panama	0.01	2,000	1,399	667	466
Papua New Guinea	0.01	2,000	1,399	667	466
Paraguay	0.01	2,000	1,399	667	466
Peru	0.06	12,002	8,393	4,001	2,798
Philippines	0.06	12,002	8,393	4,001	2,798
Poland	0.33	66,009	46,160	22,003	15,387
Portugal	0.28	56,008	39,166	18,669	13,055
Republic of Korea	0.82	164,022	114,701	54,674	38,234
Romania	0.15	30,004	20,982	10,001	6,994
Russian Federation	4.27	854,116	597,284	284,705	199,095
Rwanda	0.01	2,000	1,399	667	466
Saint Kitts & Nevis	0.01	2,000	1,399	667	466
Saint Lucia	0.01	2,000	1,399	667	466
Saint Vincent and the Grenadines	0.01	2,000	1,399	667	466
Saudi Arabia	0.71	142,019	99,314	47,340	33,105
Senegal	0.01	2,000	1,399	667	466
Seychelles	0.01	2,000	1,399	667	466
Sierra Leone	0.01	2,000	1,399	667	466
Singapore	0.14	28,004	19,583	9,335	6,528
Slovakia	0.08	16,002	11,190	5,334	3,730
Somalia	0.01	2,000	1,399	667	466
South Africa	0.32	64,009	44,761	21,336	14,920
Spain	2.38	476,065	332,912	158,688	110,971
Sri Lanka	0.01	2,000	1,399	667	466
Sudan	0.01	2,000	1,399	667	466
Suriname	0.01	2,000	1,399	667	466
Swaziland	0.01	2,000	1,399	667	466
Sweden	1.23	246,033	172,051	82,011	57,350
Switzerland	1.16	232,032	162,260	77,344	54,087

Party	UN Scale %	Total 1998-2000		Annual Contribution	
		CHF	USD	CHF	USD
Thailand	0.13	26,004	18,184	8,668	6,061
Togo	0.01	2,000	1,399	667	466
Trinidad and Tobago	0.03	6,001	4,196	2,000	1,399
Tunisia	0.03	6,001	4,196	2,000	1,399
Turkey	0.38	76,010	53,154	25,337	17,718
Uganda	0.01	2,000	1,399	667	466
United Arab Emirates	0.19	38,005	26,577	12,668	8,859
United Kingdom of Great Britain and Northern Ireland	5.32	1,064,145	744,157	354,715	248,052
United Republic of Tanzania	0.01	2,000	1,399	667	466
United States of America	25.00	5,000,679	3,496,979	1,666,893	1,165,660
Uruguay	0.04	8,001	5,595	2,667	1,865
Vanuatu	0.01	2,000	1,399	667	466
Venezuela	0.33	66,009	46,160	22,003	15,387
Viet Nam	0.01	2,000	1,399	667	466
Yemen	0.01	2,000	1,399	667	466
Zambia	0.01	2,000	1,399	667	466
Zimbabwe	0.01	2,000	1,399	667	466
<b>Total</b>	<b>97.88</b>	<b>19,578,660</b>	<b>13,691,371</b>	<b>6,526,220</b>	<b>4,563,790</b>

**Note:** 97.88 = 100% [as compared to 94.12 = 100% in 1994 (Resolution Conf. 9.2 Table)]

## Annex 4b

**Option 2: If Parties cover 5 per cent of the increased budget of 8.66 per cent by annual contributions and 3.66 per cent from the available fund balance**

TRUST FUND FOR THE CONVENTION ON INTERNATIONAL TRADE  
IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA

**Scale of Contributions for the Triennium 1998-2000**

(amounts in USD are only indicative; USD 1.00 = CHF 1.43)

Party	UN Scale %	Total 1998-2000		Annual Contribution	
		CHF	USD	CHF	USD
Afghanistan	0.01	1,933	1,352	644	451
Algeria	0.16	30,927	21,627	10,309	7,209
Argentina	0.48	92,781	64,882	30,927	21,627
Australia	1.48	286,075	200,053	95,358	66,684
Austria	0.87	168,166	117,599	56,055	39,200
Bahamas	0.02	3,866	2,703	1,289	901
Bangladesh	0.01	1,933	1,352	644	451
Barbados	0.01	1,933	1,352	644	451
Belarus	0.28	54,122	37,848	18,041	12,616
Belgium	1.01	195,227	136,522	65,076	45,507
Belize	0.01	1,933	1,352	644	451
Benin	0.01	1,933	1,352	644	451
Bolivia	0.01	1,933	1,352	644	451
Botswana	0.01	1,933	1,352	644	451
Brazil	1.62	313,137	218,977	104,379	72,992
Brunei Darussalam	0.02	3,866	2,703	1,289	901
Bulgaria	0.08	15,464	10,814	5,155	3,605
Burkina Faso	0.01	1,933	1,352	644	451
Burundi	0.01	1,933	1,352	644	451
Cameroon	0.01	1,933	1,352	644	451
Canada	3.11	601,145	420,381	200,382	140,127
Central African Republic	0.01	1,933	1,352	644	451
Chad	0.01	1,933	1,352	644	451
Chile	0.08	15,464	10,814	5,155	3,605
China	0.74	143,038	100,026	47,679	33,342
Colombia	0.10	19,329	13,517	6,443	4,506
Comoros	0.01	1,933	1,352	644	451
Congo	0.01	1,933	1,352	644	451
Costa Rica	0.01	1,933	1,352	644	451
Côte d'Ivoire	0.01	1,933	1,352	644	451
Cuba	0.05	9,665	6,759	3,222	2,253
Cyprus	0.03	5,799	4,055	1,933	1,352
Czech Republic	0.25	48,324	33,793	16,108	11,264
Democratic Republic of the Congo	0.01	1,933	1,352	644	451
Denmark	0.72	139,172	97,323	46,391	32,441
Djibouti	0.01	1,933	1,352	644	451

Party	UN Scale %	Total 1998-2000		Annual Contribution	
		CHF	USD	CHF	USD
Dominica	0.01	1,933	1,352	644	451
Dominican Republic	0.01	1,933	1,352	644	451
Ecuador	0.02	3,866	2,703	1,289	901
Egypt	0.08	15,464	10,814	5,155	3,605
El Salvador	0.01	1,933	1,352	644	451
Equatorial Guinea	0.01	1,933	1,352	644	451
Eritrea	0.01	1,933	1,352	644	451
Estonia	0.04	7,732	5,407	2,577	1,802
Ethiopia	0.01	1,933	1,352	644	451
Finland	0.62	119,842	83,806	39,947	27,935
France	6.42	1,240,949	867,796	413,650	289,265
Gabon	0.01	1,933	1,352	644	451
Gambia	0.01	1,933	1,352	644	451
Georgia	0.11	21,262	14,869	7,087	4,956
Germany	9.06	1,751,245	1,224,647	583,748	408,216
Ghana	0.01	1,933	1,352	644	451
Greece	0.38	73,452	51,365	24,484	17,122
Guatemala	0.02	3,866	2,703	1,289	901
Guinea	0.01	1,933	1,352	644	451
Guinea-Bissau	0.01	1,933	1,352	644	451
Guyana	0.01	1,933	1,352	644	451
Honduras	0.01	1,933	1,352	644	451
Hungary	0.14	27,061	18,924	9,020	6,308
India	0.31	59,921	41,903	19,974	13,968
Indonesia	0.14	27,061	18,924	9,020	6,308
Iran (Islamic Republic of)	0.45	86,982	60,827	28,994	20,276
Israel	0.27	52,189	36,496	17,396	12,165
Italy	5.25	1,014,794	709,646	338,265	236,549
Jamaica	0.01	1,933	1,352	644	451
Japan	15.65	3,025,054	2,115,422	1,008,351	705,141
Jordan	0.01	1,933	1,352	644	451
Kenya	0.01	1,933	1,352	644	451
Latvia	0.08	15,464	10,814	5,155	3,605
Liberia	0.01	1,933	1,352	644	451
Liechtenstein	0.01	1,933	1,352	644	451
Luxembourg	0.07	13,531	9,462	4,510	3,154
Madagascar	0.01	1,933	1,352	644	451
Malawi	0.01	1,933	1,352	644	451
Malaysia	0.14	27,061	18,924	9,020	6,308
Mali	0.01	1,933	1,352	644	451
Malta	0.01	1,933	1,352	644	451
Mauritius	0.01	1,933	1,352	644	451

Party	UN Scale %	Total 1998-2000		Annual Contribution	
		CHF	USD	CHF	USD
Mexico	0.79	152,702	106,785	50,901	35,595
Monaco	0.01	1,933	1,352	644	451
Mongolia	0.01	1,933	1,352	644	451
Morocco	0.03	5,799	4,055	1,933	1,352
Mozambique	0.01	1,933	1,352	644	451
Namibia	0.01	1,933	1,352	644	451
Nepal	0.01	1,933	1,352	644	451
Netherlands	1.59	307,338	214,922	102,446	71,641
New Zealand	0.24	46,391	32,441	15,464	10,814
Nicaragua	0.01	1,933	1,352	644	451
Niger	0.01	1,933	1,352	644	451
Nigeria	0.11	21,262	14,869	7,087	4,956
Norway	0.56	108,245	75,696	36,082	25,232
Pakistan	0.06	11,598	8,110	3,866	2,703
Panama	0.01	1,933	1,352	644	451
Papua New Guinea	0.01	1,933	1,352	644	451
Paraguay	0.01	1,933	1,352	644	451
Peru	0.06	11,598	8,110	3,866	2,703
Philippines	0.06	11,598	8,110	3,866	2,703
Poland	0.33	63,787	44,606	21,262	14,869
Portugal	0.28	54,122	37,848	18,041	12,616
Republic of Korea	0.82	158,501	110,840	52,834	36,947
Romania	0.15	28,994	20,276	9,665	6,759
Russian Federation	4.27	825,366	577,179	275,122	192,393
Rwanda	0.01	1,933	1,352	644	451
Saint Kitts & Nevis	0.01	1,933	1,352	644	451
Saint Lucia	0.01	1,933	1,352	644	451
Saint Vincent and the Grenadines	0.01	1,933	1,352	644	451
Saudi Arabia	0.71	137,239	95,971	45,746	31,990
Senegal	0.01	1,933	1,352	644	451
Seychelles	0.01	1,933	1,352	644	451
Sierra Leone	0.01	1,933	1,352	644	451
Singapore	0.14	27,061	18,924	9,020	6,308
Slovakia	0.08	15,464	10,814	5,155	3,605
Somalia	0.01	1,933	1,352	644	451
South Africa	0.32	61,854	43,255	20,618	14,418
Spain	2.38	460,040	321,706	153,347	107,235
Sri Lanka	0.01	1,933	1,352	644	451
Sudan	0.01	1,933	1,352	644	451
Suriname	0.01	1,933	1,352	644	451
Swaziland	0.01	1,933	1,352	644	451
Sweden	1.23	237,752	166,260	79,251	55,420

Party	UN Scale %	Total 1998-2000		Annual Contribution	
		CHF	USD	CHF	USD
Switzerland	1.16	224,221	156,798	74,740	52,266
Thailand	0.13	25,128	17,572	8,376	5,857
Togo	0.01	1,933	1,352	644	451
Trinidad and Tobago	0.03	5,799	4,055	1,933	1,352
Tunisia	0.03	5,799	4,055	1,933	1,352
Turkey	0.38	73,452	51,365	24,484	17,122
Uganda	0.01	1,933	1,352	644	451
United Arab Emirates	0.19	36,726	25,682	12,242	8,561
United Kingdom of Great Britain and Northern Ireland	5.32	1,028,325	719,108	342,775	239,703
United Republic of Tanzania	0.01	1,933	1,352	644	451
United States of America	25.00	4,832,355	3,379,269	1,610,785	1,126,423
Uruguay	0.04	7,732	5,407	2,577	1,802
Vanuatu	0.01	1,933	1,352	644	451
Venezuela	0.33	63,787	44,606	21,262	14,869
Viet Nam	0.01	1,933	1,352	644	451
Yemen	0.01	1,933	1,352	644	451
Zambia	0.01	1,933	1,352	644	451
Zimbabwe	0.01	1,933	1,352	644	451
<b>Total</b>	<b>97.88</b>	<b>18,919,635</b>	<b>13,230,514</b>	<b>6,306,545</b>	<b>4,410,171</b>

**Note:** 97.88 = 100%

The approved budget is CHF 19,578,660, while the amount to be covered by contributions from Parties is CHF 18,919,635, as the remaining amount will be covered from the existing fund balance.

## Option 3: If the increased budget of 8.66 per cent is covered fully from the available fund balance

TRUST FUND FOR THE CONVENTION ON INTERNATIONAL TRADE  
IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA

## Scale of Contributions for the Triennium 1998-2000

(amounts in USD are only indicative; USD 1.00 = CHF 1.43)

Party	UN Scale %	Total 1998-2000		Annual Contribution	
		CHF	USD	CHF	USD
Afghanistan	0.01	1,841	1,287	614	429
Algeria	0.16	29,454	20,597	9,818	6,866
Argentina	0.48	88,363	61,792	29,454	20,597
Australia	1.48	272,453	190,526	90,818	63,509
Austria	0.87	160,158	111,999	53,386	37,333
Bahamas	0.02	3,682	2,575	1,227	858
Bangladesh	0.01	1,841	1,287	614	429
Barbados	0.01	1,841	1,287	614	429
Belarus	0.28	51,545	36,046	17,182	12,015
Belgium	1.01	185,931	130,021	61,977	43,340
Belize	0.01	1,841	1,287	614	429
Benin	0.01	1,841	1,287	614	429
Bolivia	0.01	1,841	1,287	614	429
Botswana	0.01	1,841	1,287	614	429
Brazil	1.62	298,225	208,549	99,408	69,516
Brunei Darussalam	0.02	3,682	2,575	1,227	858
Bulgaria	0.08	14,727	10,299	4,909	3,433
Burkina Faso	0.01	1,841	1,287	614	429
Burundi	0.01	1,841	1,287	614	429
Cameroon	0.01	1,841	1,287	614	429
Canada	3.11	572,519	400,363	190,840	133,454
Central African Republic	0.01	1,841	1,287	614	429
Chad	0.01	1,841	1,287	614	429
Chile	0.08	14,727	10,299	4,909	3,433
China	0.74	136,226	95,263	45,409	31,754
Colombia	0.10	18,409	12,873	6,136	4,291
Comoros	0.01	1,841	1,287	614	429
Congo	0.01	1,841	1,287	614	429
Costa Rica	0.01	1,841	1,287	614	429
Côte d'Ivoire	0.01	1,841	1,287	614	429
Cuba	0.05	9,204	6,437	3,068	2,146
Cyprus	0.03	5,523	3,862	1,841	1,287
Czech Republic	0.25	46,022	32,184	15,341	10,728
Democratic Republic of the Congo	0.01	1,841	1,287	614	429
Denmark	0.72	132,545	92,689	44,182	30,896
Djibouti	0.01	1,841	1,287	614	429
Dominica	0.01	1,841	1,287	614	429

Party	UN Scale %	Total 1998-2000		Annual Contribution	
		CHF	USD	CHF	USD
Dominican Republic	0.01	1,841	1,287	614	429
Ecuador	0.02	3,682	2,575	1,227	858
Egypt	0.08	14,727	10,299	4,909	3,433
El Salvador	0.01	1,841	1,287	614	429
Equatorial Guinea	0.01	1,841	1,287	614	429
Eritrea	0.01	1,841	1,287	614	429
Estonia	0.04	7,364	5,149	2,455	1,716
Ethiopia	0.01	1,841	1,287	614	429
Finland	0.62	114,136	79,815	38,045	26,605
France	6.42	1,181,856	826,473	393,952	275,491
Gabon	0.01	1,841	1,287	614	429
Gambia	0.01	1,841	1,287	614	429
Georgia	0.11	20,250	14,161	6,750	4,720
Germany	9.06	1,667,853	1,166,330	555,951	388,777
Ghana	0.01	1,841	1,287	614	429
Greece	0.38	69,954	48,919	23,318	16,306
Guatemala	0.02	3,682	2,575	1,227	858
Guinea	0.01	1,841	1,287	614	429
Guinea-Bissau	0.01	1,841	1,287	614	429
Guyana	0.01	1,841	1,287	614	429
Honduras	0.01	1,841	1,287	614	429
Hungary	0.14	25,773	18,023	8,591	6,008
India	0.31	57,068	39,908	19,023	13,303
Indonesia	0.14	25,773	18,023	8,591	6,008
Iran (Islamic Republic of)	0.45	82,840	57,930	27,613	19,310
Israel	0.27	49,704	34,758	16,568	11,586
Italy	5.25	966,471	675,854	322,157	225,285
Jamaica	0.01	1,841	1,287	614	429
Japan	15.65	2,881,004	2,014,688	960,335	671,563
Jordan	0.01	1,841	1,287	614	429
Kenya	0.01	1,841	1,287	614	429
Latvia	0.08	14,727	10,299	4,909	3,433
Liberia	0.01	1,841	1,287	614	429
Liechtenstein	0.01	1,841	1,287	614	429
Luxembourg	0.07	12,886	9,011	4,295	3,004
Madagascar	0.01	1,841	1,287	614	429
Malawi	0.01	1,841	1,287	614	429
Malaysia	0.14	25,773	18,023	8,591	6,008
Mali	0.01	1,841	1,287	614	429
Malta	0.01	1,841	1,287	614	429
Mauritius	0.01	1,841	1,287	614	429
Mexico	0.79	145,431	101,700	48,477	33,900

Party	UN Scale %	Total 1998-2000		Annual Contribution	
		CHF	USD	CHF	USD
Monaco	0.01	1,841	1,287	614	429
Mongolia	0.01	1,841	1,287	614	429
Morocco	0.03	5,523	3,862	1,841	1,287
Mozambique	0.01	1,841	1,287	614	429
Namibia	0.01	1,841	1,287	614	429
Nepal	0.01	1,841	1,287	614	429
Netherlands	1.59	292,703	204,687	97,568	68,229
New Zealand	0.24	44,182	30,896	14,727	10,299
Nicaragua	0.01	1,841	1,287	614	429
Niger	0.01	1,841	1,287	614	429
Nigeria	0.11	20,250	14,161	6,750	4,720
Norway	0.56	103,090	72,091	34,363	24,030
Pakistan	0.06	11,045	7,724	3,682	2,575
Panama	0.01	1,841	1,287	614	429
Papua New Guinea	0.01	1,841	1,287	614	429
Paraguay	0.01	1,841	1,287	614	429
Peru	0.06	11,045	7,724	3,682	2,575
Philippines	0.06	11,045	7,724	3,682	2,575
Poland	0.33	60,750	42,482	20,250	14,161
Portugal	0.28	51,545	36,046	17,182	12,015
Republic of Korea	0.82	150,954	105,562	50,318	35,187
Romania	0.15	27,613	19,310	9,204	6,437
Russian Federation	4.27	786,063	549,694	262,021	183,231
Rwanda	0.01	1,841	1,287	614	429
Saint Kitts & Nevis	0.01	1,841	1,287	614	429
Saint Lucia	0.01	1,841	1,287	614	429
Saint Vincent and the Grenadines	0.01	1,841	1,287	614	429
Saudi Arabia	0.71	130,704	91,401	43,568	30,467
Senegal	0.01	1,841	1,287	614	429
Seychelles	0.01	1,841	1,287	614	429
Sierra Leone	0.01	1,841	1,287	614	429
Singapore	0.14	25,773	18,023	8,591	6,008
Slovakia	0.08	14,727	10,299	4,909	3,433
Somalia	0.01	1,841	1,287	614	429
South Africa	0.32	58,909	41,195	19,636	13,732
Spain	2.38	438,133	306,387	146,044	102,129
Sri Lanka	0.01	1,841	1,287	614	429
Sudan	0.01	1,841	1,287	614	429
Suriname	0.01	1,841	1,287	614	429
Swaziland	0.01	1,841	1,287	614	429
Sweden	1.23	226,430	158,343	75,477	52,781
Switzerland	1.16	213,544	149,331	71,181	49,777

Party	UN Scale %	Total 1998-2000		Annual Contribution	
		CHF	USD	CHF	USD
Thailand	0.13	23,932	16,735	7,977	5,578
Togo	0.01	1,841	1,287	614	429
Trinidad and Tobago	0.03	5,523	3,862	1,841	1,287
Tunisia	0.03	5,523	3,862	1,841	1,287
Turkey	0.38	69,954	48,919	23,318	16,306
Uganda	0.01	1,841	1,287	614	429
United Arab Emirates	0.19	34,977	24,459	11,659	8,153
United Kingdom of Great Britain and Northern Ireland	5.32	979,357	684,865	326,452	228,288
United Republic of Tanzania	0.01	1,841	1,287	614	429
United States of America	25.00	4,602,242	3,218,351	1,534,081	1,072,784
Uruguay	0.04	7,364	5,149	2,455	1,716
Vanuatu	0.01	1,841	1,287	614	429
Venezuela	0.33	60,750	42,482	20,250	14,161
Viet Nam	0.01	1,841	1,287	614	429
Yemen	0.01	1,841	1,287	614	429
Zambia	0.01	1,841	1,287	614	429
Zimbabwe	0.01	1,841	1,287	614	429
<b>Total</b>	<b>97.88</b>	<b>18,018,699</b>	<b>12,600,489</b>	<b>6,006,233</b>	<b>4,200,163</b>

**Note:** 97.88 = 100% [as compared to 94.12 = 100% in 1994 (Resolution Conf. 9.2 Table)]

DRAFT DECISION OF THE CONFERENCE OF THE PARTIES

(prepared by the Secretariat, after discussion of document Doc. 10.49 by Committee I)

**Regarding Exports of Vicuña Cloth**

**Decision directed to the Secretariat**

The Secretariat shall issue a new Notification to the Parties requesting information on the stocks of vicuña cloth/fibre they have.

DRAFT DECISION OF THE CONFERENCE OF THE PARTIES

(prepared by a working group of Committee II from document Doc. 10.38)

**Revision of the Definition of 'Primarily Commercial Purposes'**

NOTING that Article II, paragraph 1, of the Convention states that trade in specimens of Appendix-I species must be subject to particularly strict regulation but does not preclude such trade;

NOTING, however, that paragraphs 3(c) and 5(c) of Article III state that the importation of such specimens should not be for 'primarily commercial purposes';

AWARE that the interpretation of 'primarily commercial purposes' is fundamental to the Convention;

OBSERVING that Resolution Conf. 5.10, adopted at the fifth meeting of the Conference of the Parties (Buenos Aires, 1985), attempts to define the term but interprets it in a most restrictive sense, which is not necessarily in the interests of Appendix-I species;

RECALLING the recognition by the Conference of the Parties at its eighth meeting (Kyoto, 1992), in Resolution Conf. 8.3, that trade can be beneficial for even the most endangered species as a means of obtaining funds for their conservation and providing incentives to maintain their habitats, if the trade is carried out at levels that are not detrimental to the survival of the species in question;

CONCERNED that species in Appendix I may not readily recover in conservation status and thus meet the criteria for transfer to Appendix II unless additional sustained investment in their conservation and management can be secured;

CONCERNED further that such species may not be able to benefit from even the most restricted forms of trade, designed purely to generate revenue for conservation purposes under the definition of 'primarily commercial purposes' adopted in Resolution Conf. 5.10;

CONCLUDING that a restrictive interpretation of the term 'primarily commercial purposes' in Article III may not serve the goals of the Convention;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

DECIDES to amend Resolution Conf. 5.10 in the following manner:

- paragraph 2 of the General Principles is amended by adding, after the words 'purpose is', the word 'primarily';
- the text of paragraph 3 of the General Principles is revoked and replaced by the following: "The term 'commercial purposes' should be defined by the country of import, in the case of any transaction that is not wholly 'non-commercial', in the light of its benefit to conservation. Such benefit shall be determined after consultation with the exporting country";
- the following new paragraph 5 is added to the General Principles:
  - "5. In the case of specimens of an Appendix-I species resulting from implementation of routine

conservation and management programmes, including the recovery of specimens as a result of natural mortality, where the specimens are owned and controlled by a Government of a Party to the Convention, trade from the owning Party to another Party shall not be interpreted as being for 'primarily commercial purposes' in spite of commercial aspects if it is completed under the following conditions:

- a) that the transaction is completed under direct and full control of the governments of both the exporting and importing countries and is open to inspection by the CITES Secretariat or by any body agreed to by both governments and the CITES Secretariat;
- b) that the government of the exporting country, once the expenditures directly related to the transaction have been deducted, allocate the totality of the income resulting from the transaction to conservation and management programmes for the species concerned within its territory and within the full range of the said species: to conservation and protection of the habitats of the species concerned; to education and awareness programmes related to conservation of wildlife; and to the development of communities directly involved in management and conservation programmes;
- c) that the country of importation certifies that the specimens so imported will be used in a traditional manner, for cultural purposes that are not primarily commercial and that they will not be re-exported; and
- d) that the government of the exporting country certifies that the transaction will not be prejudicial to the species but will enhance the status of the said species."; and

- the following example is added to the Examples in the Annex to the Resolution:

"g) Exportation/importation of stocks:

Stocks of specimens of species listed in Appendix I of the Convention have been accumulated over the years, by governments, as a result of their anti-poaching or other management operations. One question of importance is: is it possible to use these stocks for conservation purposes? As an exception to the rule, trade in such specimens should be allowed, if it is established that the transaction will be beneficial to conservation and if the transaction is completed under very strict guidelines and control mechanisms."

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES

(prepared by the Secretariat from document Doc. 10.41.1 approved as amended by Committee II)

**Conservation of and Trade in Bears**

AWARE that populations of five of the eight bear species are listed in Appendix I, while the three other species are listed in Appendix II;

RECOGNIZING that bears are native to Asia, Europe, North America and South America, and therefore the issue of bear conservation is a global one;

NOTING that the continued illegal trade in parts and derivatives of bear species undermines the effectiveness of the Convention, and that if CITES Parties and non-Parties do not take action to eliminate the illegal trade in bear parts and derivatives, poaching may cause declines of wild bears that could lead to the extirpation of certain populations or even species;

RECOGNIZING that long-term solutions for the protection and conservation of bears require the adoption of substantive and measurable actions;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

URGES all Parties, particularly bear range and consuming countries, to take immediate action in order to demonstrably reduce the illegal trade in bear parts and derivatives by the 11th meeting of the Conference of the Parties, by:

- a) confirming, adopting or improving national legislation to control the import and export of bear parts and products, ensuring that the penalties for violations are sufficient to deter illegal trade;
- b) increasing CITES enforcement by providing additional resources, nationally and internationally, for wildlife trade controls;
- c) strengthening measures to control illegal export as well as import of bear parts and derivatives;
- d) initiating or encouraging new national efforts in key producer and consumer countries to identify, target and eliminate illegal markets;
- e) developing international wildlife law enforcement training programmes for field personnel, specifically targeting bear parts and derivatives and exchanging field techniques and intelligence; and
- f) developing bilateral and regional agreements for conservation and law enforcement efforts;

RECOMMENDS that all Parties review and strengthen measures, where necessary, to enforce the provisions relating to specimens in Appendices I and II, where bear parts and derivatives are concerned;

FURTHER RECOMMENDS that Parties and non-Parties, as a matter of urgency, address illegal trade in bear parts and derivatives by:

- a) strengthening dialogue between government agencies, industry, consumer groups and conservation organizations to ensure that legal trade does not provide a conduit for illegal trade in parts and derivatives of Appendix-I bears and to increase public awareness of CITES trade controls;
- b) documenting and quantifying the domestic demand for bear parts and derivatives and sending a report to the Secretariat by 31 December 1997, for submission to the Standing Committee;
- c) encouraging bear range and consumer countries that are not party to CITES to accede to the Convention as a matter of urgency;
- d) providing funds for research on the status of endangered bears, especially Asian species;
- e) working with traditional-medicine communities to reduce demand for bear parts and derivatives, including the active promotion of research on and use of alternatives and substitutes that do not endanger other wild species; and
- f) developing programmes in co-operation with traditional medicine communities and conservation organizations to increase public awareness and industry knowledge about the conservation concerns associated with the bear trade and the need for stronger domestic trade controls and conservation measures;

DIRECTS the Standing Committee to review bear trade issues in range and consumer States and to report to the Parties on progress made, at the 11th meeting of the Conference of the Parties, with a focus on additional legislative and enforcement measures necessary to stop the illegal trade in bear parts and derivatives;\*

DIRECTS the Secretariat to seek external funding to convene an international workshop on law enforcement and forensic techniques essential to stopping illegal trade in bear parts and derivatives;\* and

CALLS UPON all governments and intergovernmental organizations, international aid agencies, and non-governmental organizations to provide, as a matter of urgency, funds and other assistance to stop the illegal trade in bear parts and derivatives and to ensure the survival of all bear species.

\* **Note from the Secretariat:** In accordance with Decision No. 5 directed to the Parties adopted at the ninth meeting of the Conference of the Parties, the directives to the Standing Committee and the Secretariat should be recorded in a Decision rather than a Resolution. This can be done after the 10th meeting of the Conference of the Parties.

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES

[prepared by the Secretariat from document Doc. 10.57 Annex approved as amended by Committee II, and to be consolidated with Resolution Conf. 4.12 (Rev.)]

**Sale of Tourist Items of Appendix-I Species at International Airports, Seaports and Border Crossings**

OBSERVING that Article III, paragraph 3(c), of the Convention requires that specimens of Appendix-I species are not to be traded internationally for primarily commercial purposes;

CONSIDERING that the exemption in Article VII, paragraph 3, of the Convention does not apply to specimens of Appendix I species that are souvenirs being imported by a person returning to his State of usual residence;

RECALLING Resolution Conf. 4.12 (Rev.) on control of tourist souvenir specimens, adopted at the fourth meeting of the Conference of the Parties (Gaborone, 1983) and revised at the ninth meeting (Fort Lauderdale, 1994), which recognized that parts, products, and derivatives of species listed on Appendices I and II continue to be widely sold as tourist souvenir specimens, urged Parties to comply with the requirements of Article III of the Convention with respect to tourist souvenir specimens and to vigorously control the export and import of specimens of Appendix-I species (including parts and derivatives) whether or not exported or imported as personal effects, and also urged that Parties, in collaboration with national and international tourist agencies, carriers and other relevant bodies, take all possible steps to ensure that tourists travelling abroad are made aware of the import and export controls that are or may be in force;

RECALLING paragraph h) of Resolution Conf. 9.7, adopted at the ninth meeting of the Conference of the Parties (Fort Lauderdale, 1994), which notes that the Convention does not make special provision for airport lounges (including duty-free shops), free ports or non-Customs zones;

NOTING that specimens of Appendix-I species continue, in some countries, to be offered for sale at international airport gift shops and other venues (including duty-free areas) catering largely to international travellers;

RECOGNIZING that the sale of such wildlife specimens in places of international departure may encourage, either

intentionally or unintentionally, the illegal export of such items, and that such export is an issue of concern with respect to the conservation of species listed in Appendix I;

ACKNOWLEDGING that sale of tourist souvenir specimens of Appendix-I species can in some cases form a substantial part of a trade which could threaten a species;

RECOGNIZING that international airports, seaports, and border crossings provide an excellent opportunity for educational displays informing travellers about the requirements of the Convention, and that such sales may seriously detract from that educational message;

ACKNOWLEDGING that there is still widespread public ignorance of the purpose and requirements of the Convention and of domestic legislation relating to trade in endangered species;

THE CONFERENCE OF THE PARTIES TO THE  
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URGES:

- a) that Parties take all necessary steps to prohibit the sale of tourist souvenir specimens of Appendix-I species in places of international departure, such as international airports, seaports and border crossings and particularly in duty-free areas beyond Customs control points; and
- b) that such steps include inspection and provision of information to merchants; and

RECOMMENDS that all Parties provide information through displays and by other means, in all relevant languages, in places of international departure and arrival, informing travellers about the purpose and requirements of the Convention, and of the responsibilities of international travellers with respect to international and domestic laws relating to the import and export of wildlife specimens.

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES

(prepared by the Nomenclature Committee after consideration of documents Doc. 10.19 and Doc. 10.77 by Committee II)

**Standard Nomenclature**

NOTING that biological nomenclature is dynamic;

AWARE that the names of the genera and species of several families are in need of standardization and that the current lack of a standard reference with adequate information decreases the effectiveness of the implementation of CITES in conserving the many species that are listed in the appendices;

RECOGNIZING that the taxonomy used in the appendices to the Convention will be most useful to the Parties if standardized by nomenclatural references;

AWARE that the Nomenclature Committee has identified names of taxa used in the appendices to the Convention that should be changed to reflect accepted biological use;

RECOGNIZING that there are several taxa included in the appendices of which domesticated forms exist, and that in several cases the Parties have chosen to discriminate between the wild form and the domesticated form by applying a name that differs from the name cited in the standard nomenclature for the protected form;

NOTING that these changes should be adopted by the Conference of the Parties to the Convention;

RECOGNIZING that, in the case of new proposals for listing in the appendices, the Parties should use adopted standard references whenever available;

CONSIDERING the great practical difficulties involved in recognizing many of the subspecies at present listed in the appendices when they appear in trade; and the need to weigh ease of subspecies identification against reliability of information on geographic source, for enforcement purposes;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS:

- a) that a subspecies be proposed for inclusion in the appendices only if it is generally recognized as a valid taxon, and easily identifiable in the traded form;
- b) that where there are identification difficulties, the problem be approached by either including the entire species in Appendix I or Appendix II or by circumscribing the range of the subspecies warranting protection and listing the populations within this area on a country basis;
- c) that where there are domesticated forms of listed taxa the Nomenclature Committee recommend names for the wild and domestic forms;
- d) that when submitting a proposal to amend the appendices to the Convention the proponent identify the reference used to describe the entity being proposed;
- e) that upon receiving proposals to amend the appendices to the Convention, the Secretariat seek, where appropriate, the advice of the Nomenclature Committee on the correct names to use for the species or other taxa in question;
- f) that the Secretariat may make orthographic changes in the lists of species included in the appendices to the Convention, without consulting the Conference of the Parties;

- g) that the Secretariat inform the Parties whenever the name of a taxon to be used in the appendices to the Convention changes, provided that:
  - i) the change has been recommended or agreed to by the Nomenclature Committee; and
  - ii) the change will not alter the scope of protection for fauna or flora under the Convention;
- h) that, whenever the scope of a taxon is redefined as a result of a taxonomic revision, the Nomenclature Committee advise the Secretariat on the name to be listed in the appendices or on alternative actions, including amendments to the appendices, required to ensure that the original intent of the listing is retained;
- i) that if there is conflict regarding the choice of taxonomic authority for taxa for which no standard references have been adopted by the Conference of the Parties, countries authorizing export of animals or plants (or their parts or derivatives) of such taxa inform the CITES Secretariat and prospective importing countries of their preferred published taxonomic authority. Taxonomic authority means a recent published paper or monograph that reviews the nomenclature of the taxon being exported that has been reviewed by professionals in the pertinent discipline. In cases where specimens of the taxon are exported from several countries and the exporting countries do not agree, or the exporting and importing countries do not agree, on the taxonomic authority, the Fauna or Flora Subcommittee of the Nomenclature Committee will determine the most appropriate taxonomic authority; and
- j) that the Secretariat be provided the citations (and ordering information) of checklists that will be nominated for standard references at least six months before the meeting of the Conference of the Parties at which such checklists will be considered. The Secretariat shall include such information in a notification to the Parties so that Parties can obtain copies to review if they wish before the meeting;

ADOPTS the following standard references:

- a) *Mammal Species of the World: A Taxonomic and Geographic Reference*, 2nd edition, (edited by D.E. Wilson and D.M. Reeder, 1993, Smithsonian Institution Press) for mammalian nomenclature;
- b) *A Reference List of the Birds of the World* (J.J. Morony, W.J. Bock and J. Farrand Jr, 1975, American Museum of Natural History) for order and family level names for birds;
- c) *Distribution and Taxonomy of Birds of the World* (C.G. Sibley and B.L. Monroe Jr, 1990, Yale University Press) and *A supplement to Distribution and Taxonomy of the Birds of the World* has been published (Sibley and Monroe, 1993; Yale University Press) for the genus and species names of birds;
- d) *Reptiles del noroeste, nordeste y este de la Argentina – Herpetofauna de las selvas subtropicales, puna y pampa*, 1993 (Ceï, José M. In Monografie XIV, Museo Regionale di Scienze Naturali), as the standard reference to species of the genus *Tupinambis* found in Argentina and Paraguay;

- e) *Snake Species of the World: A Taxonomic and Geographic Reference: Volume 1* (Campbell, McDiarmid and Touré, 1997), published under the auspices of the Herpetologists' League, as the standard reference to species of snakes;
- f) *Amphibian Species of the World: A Taxonomic and Geographic Reference* (D.R. Frost, 1985, Allen Press and The Association of Systematics Collections) and *Amphibian Species of the World: Additions and Corrections* (W.E. Duellman, 1993, University of Kansas) for amphibian nomenclature until the second edition of the former reference has been published;
- g) *The Plant-Book*, reprinted edition, (D.J. Mabberley, 1990, Cambridge University Press) for the generic names of all CITES plants, unless they are superseded by standard checklists adopted by the Parties as referenced below in paragraphs i) to m);
- h) *A Dictionary of Flowering Plants and Ferns*, 8th edition, (J.C. Willis, revised by H.K. Airy Shaw, 1973, Cambridge University Press) for generic synonyms not mentioned in *The Plant-Book*, unless they are superseded by standard checklists adopted by the Parties as referenced below in paragraphs i) to m);
- i) *A World List of Cycads* (D.W. Stevenson, R. Osborne and K.D. Hill, 1995; In: P. Vorster (Ed.), *Proceedings of the Third International Conference on Cycad Biology*, pp. 55-64, Cycad Society of South Africa, Stellenbosch) and its updates accepted by the Nomenclature Committee, as a guideline when making reference to names of species of Cycadaceae, Stangeriaceae and Zamiaceae;
- j) *The Bulb Checklist* (1997, compiled by the Royal Botanic Gardens, Kew, United Kingdom) and its updates approved by the Nomenclature Committee, as a guideline when making reference to the names of species of Cyclamen (Primulaceae) and Galanthus and Sternbergia (Liliaceae);
- k) *The CITES Checklist of Succulent Euphorbia taxa (Euphorbiaceae)* (1997, published by the German Federal Agency for Nature Conservation) and its updates approved by the Nomenclature Committee, as a guideline when making reference to the names of species of succulent euphorbias;
- l) *CITES Cactaceae Checklist* (second edition, 1997, compiled by D. Hunt, Royal Botanic Gardens, Kew, United Kingdom) and its updates accepted by the Nomenclature Committee, as a guideline when making references to names of species of Cactaceae; and
- m) *The CITES Orchid Checklists* (compiled by the Royal Botanic Gardens, Kew, United Kingdom) and the updates accepted by the Nomenclature Committee, as a guideline when making reference to the names of species of *Cattleya*, *Cypripedium*, *Laelia*, *Paphiopedilum*, *Phalaenopsis*, *Phragmipedium*, *Pleione* and *Sophronitis* (Volume 1, 1995); and *Cymbidium*, *Dendrobium*, *Disa*, *Dracula* and *Encyclia* (Volume 2, 1997);

URGES Parties to assign to their Scientific Authorities the principal responsibility for:

- a) interpretation of the listings;
- b) consultation with the CITES Nomenclature Committee as appropriate;
- c) identification of nomenclatural issues that may warrant further review by the appropriate CITES Committee and preparation of proposals to amend the appendices if appropriate; and
- d) supporting and co-operating in the development and maintenance of the checklists; and

REPEALS Resolution Conf. 9.26 (Fort Lauderdale, 1994) – Standard Nomenclature.

## Com. 10.16

### DRAFT DECISIONS OF THE CONFERENCE OF THE PARTIES

(prepared by the Nomenclature Committee after consideration of documents Doc. 10.19 and Doc. 10.78 by Committee I)

Based on the recommendation of the Nomenclature Committee the 10th Conference of the Parties decides for the purpose of clarifying the Parties prior decisions regarding listings of urials that only *Ovis vignei vignei* is listed on Appendix I. No other subspecies of urial is listed on either Appendix I or II.

Because some Parties have assumed that the full species (including all subspecies) were listed on Appendix I,

- range States are encouraged to enforce and/or adopt legislation for those subspecies not listed comparable to that which they would apply to Appendix-II species in their country; and
- importing governments are encouraged to request presentation of export permits issued by CITES Management Authorities (or equivalent agency) for those subspecies not listed in the country of origin.

## Com. 10.17

### DRAFT DECISION OF THE CONFERENCE OF THE PARTIES

(prepared by the Secretariat after consideration of document Doc. 10.64 by Committee II)

#### **Universal tagging system for the identification of crocodilian skins**

##### **Decision directed to the Animals Committee**

In collaboration with the Secretariat and the IUCN/SSC Crocodile Specialist Group, Resolutions Conf. 6.17 and Conf. 9.22 shall be reviewed and proposals shall be made

for consideration at the 11th meeting of the Conference of the Parties regarding their consolidation and a system for tracking the use of crocodilian skin tags.

DRAFT AMENDMENTS TO RESOLUTION CONF. 9.3

(prepared from document Doc. 10.52 Annex 2 approved as amended by Committee II)

**Permits and Certificates**

Regarding the change of destination on export permits issued for timber of species included in Appendices II and III

Insert after paragraph z) under the second "RECOMMENDS" and before the first "RECOMMENDS further":

Regarding permits and certificates issued for trade in timber species with the current annotation #5 in the 'Interpretation' section of Appendices I and II and Appendix III

RECOMMENDS that an export permit or a re-export certificate that was issued in conformity with requirement d) in Annex 1 to Resolution Conf. 9.3 not be accepted for import into a country other than the one for which it was issued except under the following conditions:

- a) the actual quantity of specimens exported or re-exported is included in the designated box on the export permit or re-export certificate, certified by the stamp or seal and signature of the authority that carried out the inspection at the time of the exportation or the re-exportation;
- b) the exact quantity referred to under a) is imported;
- c) the number of the bill of lading is included on the permit or certificate;
- d) the corresponding bill of lading is presented to the Management Authority together with the original of the export permit or re-export certificate at the time of import;
- e) the import takes place within six months after the issuance of the original export permit or re-export certificate;
- f) the period of validity of the export permit or re-export certificate has not already been extended;
- g) the Management Authority of the importing country includes in the box on the permit or certificate relating to special conditions, or an equivalent place, the following text, certified by its stamp or seal and signature:

import into [name of country] permitted in accordance with Resolution Conf. [number and paragraph] on [date]; and

- h) a copy of the export permit or re-export certificate as amended in accordance with sub-paragraph g) above shall be sent to the country of export or re-export, allowing it to amend its annual report, and to the CITES Secretariat;

Regarding time validity of export permits and re-export certificates

Insert in Resolution Conf. 9.3 under the section Regarding the time validity of export permits and re-export certificates a new paragraph after cc):

- ..) that, for the purpose of trade in timber species to which the current annotation #5 in the 'Interpretation' sections of Appendices I and II and Appendix III applies, the validity of the export permit or re-export certificate may be extended beyond the normal maximum of six months after the date of issuance, on the condition that:

- i) the shipment has arrived in the port of final destination before the date of expiration on the original CITES document and is being held in Customs bond (i.e. is not considered by the Party as imported);
- ii) the time extension does not exceed six months from the date of expiration of the original CITES document and is not granted more than once;
- iii) the appropriate enforcement personnel has included the date of arrival and the new date of expiration in the box relating to special conditions, or an equivalent place, on the original export permit or re-export certificate, certifying the modification with an official stamp or seal and signature;
- iv) the shipment is imported for consumption from the port for which the extension has been approved before the expiration of the time extension indicated in the box relating to special conditions, or an equivalent place, of the original CITES document; and
- v) a copy of the export permit or re-export certificate as amended in accordance with sub-paragraph iii) above shall be sent to the country of export or re-export, allowing it to confirm annual report data, and to the CITES Secretariat; and

Regarding requirements for certificates of origin

Insert before paragraph ff) in the section Regarding certificates of origin for specimens of Appendix-III species, the following text:

- ..) a certificate of origin contain, as a minimum, the following information:
  - i) the full name of the Convention and, if possible, its logo;
  - ii) the complete name and address of the issuing Management Authority, as included in the CITES Directory, its stamp and the signature of an authorized person;
  - iii) a unique control number;
  - iv) the scientific name of the species to which the specimen belongs;
  - v) a description of the specimens in one of the three working languages of the Convention, using the nomenclature of specimens distributed by the Secretariat;
  - vi) the number or quantity of the specimens and, if appropriate, the unit of measure used;
  - vii) the date of issuance;
  - viii) a statement that the specimens originate in the country that issued the certificate of origin;
  - ix) the date of expiry;
  - x) the country of destination; and
  - xi) the names and addresses of the exporter and importer; and
- ..) a certificate of origin is only valid when it is presented for import within 12 months after its issuance.

## Com. 10.19

### DRAFT AMENDMENT TO RESOLUTION CONF. 9.25

(prepared from document Doc. 10.52 Annex 4 approved as amended by Committee II)

#### **Inclusion of Species in Appendix III**

Insert in the preamble of Resolution Conf. 9.25, after the first RECALLING, the following text:

RECOGNIZING that, for species with a natural distribution that goes beyond the territory of the proposing Party and its immediate neighbours, their inclusion in Appendix III may not necessarily be required for all range States.

Insert as a new sub-paragraph iv) under paragraph a) of the first RECOMMENDS:

- iv) that for species that are traded for their timber consideration is given to listing only that geographically separate population of the species for which an Appendix-III listing would best achieve the aims of the Convention and its effective implementation, particularly with regard to the conservation of the species in the country requesting its inclusion in Appendix III.

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES

(prepared from document Doc. 10.52 Annex 5 approved as amended by Committee II)

**Implementation of the Convention for Timber Species**

RECOGNIZING that amendment proposals should contain the maximum amount of biological and trade information on the taxon concerned;

AWARE that such information is frequently available from international organizations that have expertise related to timber trade and/or forest management;

RECOGNIZING that parts and derivatives mentioned in the 'Interpretation' section of Appendices I and II and Appendix III should be clearly defined;

EMPHASIZING the need for Parties to adequately report on their annual trade in timber and to use agreed units of measurement;

RECOGNIZING that identification sheets suitable for inclusion in CITES Identification Manuals have not yet been published for any of the timber species currently included in the appendices of the Convention;

AWARE that unambiguous identification of timber, by its nature, can be a complex procedure, requiring particular expertise;

RECOGNIZING also that the development of timber identification materials is essential for the effective implementation of the Convention and that the cost of production will be considerable;

NOTING that the approach that authorities of some countries have taken, whereby they meet with timber trade groups and enforcement officers and agree to use standard nomenclature for vernacular and corresponding scientific names of timber species, appears to be a useful one;

NOTING further that the objective of the Convention is to ensure the conservation of wild fauna and flora for this and future generations through the protection of certain species against over-exploitation through international trade;

NOTING also that the Convention can play a positive role in promoting the conservation of animals and plants, including timber species, through trade in accordance with the requirements of Article III, IV and V of the Convention and through improving trade monitoring for evaluation of biological status and effective enforcement;

RECOGNIZING that commercial trade may be beneficial to the conservation of species and ecosystems when carried out at levels that are not detrimental to the survival of the species in question;

RECOGNIZING also that Parties have the right to take stricter domestic measures concerning any species listed in the appendices;

AWARE that such measures can have effects unrelated to the conservation of listed species and could be taken for purposes not directly related to the purpose for which the species concerned were included in the CITES appendices;

NOTING also that there are misconceptions that inclusion of a species in Appendix II or III represents a ban on trade in that species;

RECOGNIZING that such misconceptions can have negative impacts including the prohibition of or restriction on the use of CITES-listed timber species by architects, engineers, commercial businesses and others, and reduced use of such items by consumers;

ACKNOWLEDGING that education is an important tool in the effective implementation of the Convention;

NOTING that many internationally traded timber species, boreal, temperate and tropical, can be managed on a sustainable basis through the application of appropriate silvicultural techniques, but that for other timber species such knowledge is currently lacking;

NOTING that some timber species may be under threat because of detrimental levels of use and international trade;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS that:

Regarding international organizations

- a) any Party that intends to present an amendment proposal for a timber species (irrespective of other agreed procedures) should consult with at least four different organizations listed in the table below (two from each of the two types [B and T]), to verify or request biological and trade data and should include any relevant information in the amendment proposal before this is sent to the Secretariat for distribution to the Parties; and

Acronym	International Organization	Data	
		B	T
ATO	African Timber Organization		T
ATTO	Asian-Pacific Timber Trade Organization		T
CIFOR	Center for International Forestry Research	B	
FAO	Food and Agricultural Organization of the United Nations; Forestry Department	B	T
IBFRA	International Boreal Forest Research Association	B	
IHPA	The International Wood Products Association		T
ITTO	International Tropical Timber Organization	B	T
IUFRO	International Union for Forest Research Organizations	B	
IUCN	IUCN-The World Conservation Union	B	
SPT-TCA	Pro-tempore Secretariat of the Treaty for Amazonian Co-operation	B	
TRAFFIC	Trade Records Analysis of Flora and Fauna In Commerce	B	T

Acronym	International Organization	Data	
UCBD	<i>Union pour le Commerce des Bois Durs dans l'U.E.</i> (European Hardwood Federation)		T
WCMC	World Conservation Monitoring Centre	B	
WWF	World Wide Fund for Nature	B	

**B** = Biological data  
**T** = Trade data

- b) when any proposal is submitted to amend the CITES appendices for timber species, for the implementation of paragraph i) of the second RESOLVES of Resolution Conf. 9.24, the Secretariat should seek the views of ITTO, FAO and IUCN and present these to the meeting of the Conference of the Parties;

Regarding parts and derivatives

- c) the following definitions be applied with respect to the current annotations #5 and #6:
- i) Logs  
All wood in the rough, whether or not stripped of bark or sapwood, or roughly squared, for processing notably into sawn wood, pulpwood or veneer sheets (HS code 44.03\*);
  - ii) Sawn wood  
Wood simply sawn lengthwise or produced by a profile-chipping process. Sawn wood normally exceeds 6 mm in thickness (HS codes 44.06\* and 44.07\*); and
  - iii) Veneer sheets  
Thin layers or sheets of wood of uniform thickness, usually 6 mm or less in thickness, usually peeled or sliced, for use in making plywood, for veneering furniture, veneer containers, etc. (HS code 44.08\*); and
- d) for the purpose of annotations to the appendices for parts and derivatives of CITES-listed species traded as

timber, definitions be used that, to the extent possible, are based on the tariff classifications of the Harmonized System of the World Customs Organization;

Regarding amendment proposals for timber species

- e) proposals for the inclusion of timber species in Appendix II or III indicate clearly which parts and derivatives should be regulated; and
- f) where these are different from the parts and derivatives included in the current annotation #5, the proponent should also propose the relevant amendment to Resolution Conf. 9.3 if the procedures for extending the period of validity of, and/or changing the destination on, the export permit or re-export certificate should apply;

Regarding the definition of 'artificially propagated'

- g) timber taken from specimens grown in monospecific plantations be considered as being artificially propagated in accordance with the definition contained in Resolution Conf. 9.18;

Increasing public understanding of the role of the Convention in the conservation of timber species

- h) Parties consider any possible deleterious conservation and trade impacts before they impose stricter domestic measures on trade in timber specimens of species in Appendix II or III; and
- i) Management Authorities work with governmental agencies (including local governments), non-governmental organizations, industry and the general public to develop and provide information on the objectives, provisions and implementation of the Convention to counter the misconception that the inclusion of species in the appendices represents a ban on the trade in specimens of these species, and to disseminate the message that international trade and utilization of timber species included in Appendices II and III are generally permitted and can be beneficial; and

For timber species of concern

- j) the range States pay particular attention to internationally traded timber species within their territories for which the knowledge of the biological status and silvicultural requirements gives cause for concern.

\* HS refers to the Harmonized System of the World Customs Organization describing and coding goods in trade. The codes referred to in this document for timber include the following:

44.03 – Wood in the rough, whether or not stripped of bark or sapwood, or roughly squared

44.06 – Railway or tramway sleepers of wood

44.07 – Wood sawn or chipped lengthwise, sliced or peeled, whether or not planed, sanded or finger-jointed, of a thickness exceeding 6 mm

44.08 – Veneer sheets and sheets for plywood (whether or not spliced) and other wood sawn lengthwise, sliced or peeled, whether or not planed, sanded or finger-jointed, of a thickness not exceeding 6 mm

DRAFT DECISIONS OF THE CONFERENCE OF THE PARTIES

(prepared from documents Com. 10.21 approved as amended by Committee II and Doc. 10.52 Annex 5)

Implementation of the Convention for Timber Species

**Decisions directed to the Parties**

Regarding identification of timber

1. The Parties should determine whether national standards organizations have already developed agreed vernacular nomenclatures for timber species and, if so, should provide this information to the Secretariat.
2. A list of agreed scientific names and their agreed vernacular names should be provided to timber importers and agencies dealing with CITES enforcement and border inspection for such standardization to be useful and effective.
3. The Parties that have proposed the inclusion of timber species in the appendices should comply with their existing obligations to produce identification materials for timber species.

**Decisions directed to the Standing Committee**

Regarding the Timber Working Group

1. The Timber Working Group shall be maintained with its current balance of membership and approximate size until the 11th meeting of the Conference of the Parties.
2. The Timber Working Group shall be reconvened when tasks and issues so warrant.
3. New terms of reference for the Group shall be established. They should include that, for the purposes described in draft decisions 7. and 10. directed to the Secretariat in this document and in paragraph c) in the section on parts and derivatives in the draft resolution on Timber Species (Com. 10.20), the Timber Working Group shall review and make recommendations for any necessary definition of terms and units used to describe parts and derivatives of timber in trade, to the extent possible, based on the tariff classification of the Harmonized System of the World Customs Organization, and communicate these to the Secretariat for inclusion in the "Guidelines for the Preparation and Submission of CITES Annual Reports".

**Decision directed to the Plants Committee**

On the periodic review of the appendices

1. The Plants Committee, in accordance with its Terms of Reference specified in Resolution Conf. 9.1 Annex 3, paragraph vii), shall review all timber species currently included in the appendices and report the results of this review at the 11th meeting of the Conference of the Parties.

**Decisions directed to the Secretariat**

Regarding the use of particular silvicultural techniques

1. The potential for silvicultural techniques (e.g. enrichment plantings, assisted natural regeneration) to be dealt with in the general context of resolutions on ranching and quotas, as well as in accordance with the definition of "artificially propagated" contained in Resolution Conf. 9.18, shall be investigated to determine whether these concepts provide useful bases for establishing trade regimes for timber species listed in the appendices.

Regarding the identification of timber species

2. With the assistance of members of the Timber Working Group, the existing timber identification materials shall be reviewed to determine their potential value for enforcement of the Convention.
3. External funding shall be sought for the production and publication of identification materials for the timber species included in the appendices and currently in international trade.

Regarding annual reports

4. The reasons for non-reporting on timber trade, in particular by importing countries, shall be investigated.
5. The extent to which Parties (in particular the main exporters and importers of CITES-listed species) have informed the traders in their countries of CITES procedures shall be investigated.
6. The Secretariat shall report back on these issues at the 11th meeting of the Conference of the Parties through the Timber Working Group or the Plants Committee, as appropriate.
7. The Secretariat shall, in concurrence with the Standing Committee, amend the "Guidelines for the Preparation and Submission of CITES Annual Reports" to include:

- a) appropriate reference to the definitions proposed in Annex 5, paragraphs c) and d), of document Doc. 10.52; and
- b) the following units of measurement to be used for reporting on trade in timber:
 

i) logs	m <sup>3</sup>
ii) sawn wood	m <sup>3</sup>
iii) veneer sheets	
rotary veneer	m <sup>3</sup>
sliced veneer	m <sup>2</sup>
iv) carvings	kg
v) other finished wood products such as pieces of furniture, musical instruments, other handicrafts, etc.	kg/m <sup>3</sup>
vi) logs and sawn wood of special purpose timbers traded by weight rather than volume (for example Lignum vitae; <i>Guaiacum</i> spp.)	kg

Regarding international organizations

8. The Secretariat shall establish and maintain good working relationships or, where possible, formal relationships with the secretariats or relevant departments of the following organizations: ITTO, FAO, IUCN, TRAFFIC and WCMC.
9. The Secretariat shall inform the Secretariat of the Convention on Biological Diversity (CBD) and the appropriate organization following-up to the Intergovernmental Panel on Forests (IPF) about the discussions in the Timber Working Group by sending these organizations the reports of the Timber Working Group.

Regarding primary products

10. For the purpose of facilitating identification, permit issuance and annual reporting, trade in CITES timber species shall be examined on a taxon-specific basis to identify the primary products in trade.

Regarding special procedures for permits issued for timber species

11. The Secretariat shall report at the 11th meeting of the Conference of the Parties on the implementation of the special procedures regarding time validity and change of destination for permits issued for timber species and shall provide recommendations on whether these special procedures should be maintained or not.

DRAFT DECISIONS OF THE CONFERENCE OF THE PARTIES

(prepared from documents Com. 10.22 approved as amended by Committee II, Doc. 10.40 and Doc. 10.40.1)

**Regarding Co-operation in Monitoring Illegal Trade in Whale Products**

THE CONFERENCE OF THE PARTIES TO THE  
CONVENTION

ENCOURAGES all countries concerned, on a voluntary basis, to:

- a) inventory all frozen whale products possessed in commercial quantities, by species, quantity, and geographic origin; and
- b) collect and inventory skin or meat samples for DNA identification from all such frozen whale products;

RECOMMENDS that all countries concerned collect and inventory skin or meat samples for DNA identification from baleen whales:

- a) taken in a directed harvest;
- b) taken in aboriginal subsistence hunts, when practicable; and
- c) taken incidentally to other fishing operations, when practicable, and if any products of these whales will be entered into commerce;

INVITES all countries concerned to co-operate in determining sources of whale meat in cases of smuggling or unknown identity:

- a) where assistance is requested, by providing skin or meat samples or digitized DNA sequencing to countries that have the capability to determine species and geographic origin, or to confirm the initial analysis;
- b) by analysing such samples provided by countries that have collected them, and fully consulting with the country providing the samples of the results of the analysis before releasing the results to other Parties or to the public; and
- c) by obtaining and issuing necessary CITES documentation for export and import of such samples for testing; and

URGES any country concerned to submit to the CITES Secretariat information relevant to its inventory of whale products and examination of unknown whale products, for dissemination by the Secretariat to interested Parties upon request.

DRAFT AMENDMENTS TO RESOLUTION CONF. 9.3

(prepared by a working group of Committee II from document Doc. 10.26)

Amend Resolution Conf. 9.3 at Regarding the standardization of CITES permits and certificates, second RECOMMENDS v), to read:

that, for tracking and annual reporting purposes, the identification numbers used on permits and certificates should, if possible, be limited to 14 characters in the format:

WWxxYYYYYY/zz

where WW represents the last two digits of the year of issuance; xx represents the two-letter ISO code of the country; YYYYYY represents a six-digit serial number; and zz represents two digits of numbers or letters, or combination of a number and letter, that a Party may use for national informational purposes.

Amend Resolution Conf. 9.3 at Regarding the standardization of CITES permits and certificates, second RECOMMENDS, by adding c) to read:

that Parties refuse to accept a permit or certificate that does not indicate the name of the species concerned (including subspecies when appropriate), except in the case where:

- i) the Conference has agreed that the use of higher-taxon names is acceptable;
- ii) a Party can show it is well justified and has communicated the justification to the Secretariat; or
- iii) certain manufactured products that contain pre-Convention specimens can not be identified to the species level.

PROPOSED CHANGES TO RESOLUTION CONF. 9.3

(prepared by a working group of Committee II from document Doc. 10.35)

**Permits and Certificates**

1. The text of the Resolution was unchanged except as listed below.
2. The body of the Resolution was re-ordered (see Annex) to place statements of agreement and recommendations together by topic.
3. The Resolution was divided into sections using Roman numerals to facilitate referencing information. The Annexes remain as they currently appear in Resolution Conf. 9.3.
4. An outline was added as a "table of contents".
5. Section I. j) was changed as follows:
  - F Animals born in captivity (F1 or greater) that do not fulfil the definition of "bred in captivity" in Resolution Conf. 2.12 (Rev.), as well as parts and derivatives thereof.
6. Section II. b) was amended by adding text to the end:

that exported specimens and re-exported specimens not appear on the same document, unless the specimens are clearly indicated for export or re-export.

**Com. 10.24 Annex**

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES

Permits and Certificates

RECALLING Resolutions Conf. 3.6, Conf. 3.7, Conf. 4.9, Conf. 4.16, Conf. 5.7, Conf. 5.22, paragraph d), Conf. 5.8, Conf. 6.6 and Conf. 8.5, adopted by the Conference of the Parties at its third, fourth, fifth, sixth and eighth meetings (New Delhi, 1981; Gaborone, 1983; Buenos Aires, 1985; Ottawa 1987; Kyoto, 1992);

RECALLING the provisions of Article VI of the Convention regarding permits and certificates;

OBSERVING that false and invalid permits and certificates are used more-and-more often for fraudulent purposes and that appropriate measures are needed to prevent such documents from being accepted;

CONSIDERING the need to improve the standardization of export permits and re-export certificates;

CONSCIOUS that the data carried on permits and certificates must supply maximum information, as much for export as for import, to allow verification of the conformity between the specimens and the document;

RECOGNIZING that the Convention is not clear about the acceptability of an export permit whose period of validity expires after the specimens have been exported but before the permit has been presented for import purposes;

CONSIDERING that no provision exists to establish the maximum time validity of import permits, and that it is necessary to establish a time validity appropriate to guarantee compliance with the provisions of Article III, paragraph 3, of the Convention;

RECALLING that Articles III, IV and V of the Convention provide that trade in any specimen of a species included in its appendices requires the prior grant and presentation of the relevant document;

RECALLING that Parties are obliged, under Article VIII, paragraph 1(b), of the Convention, to provide for the confiscation or return to the State of export of specimens traded in violation of the Convention;

NOTING that the efforts of importing countries to fulfil their obligations under Article VIII, paragraph 1(b), of the Convention may be seriously obstructed by the retrospective issuance of export permits or re-export certificates for specimens having left the exporting or re-exporting country without such documents, and that declarations about the validity of documents that do not meet the requirements of the Convention are likely to have a similar effect;

CONSIDERING that the retrospective issuance of permits and certificates has an increasingly negative impact on the possibilities for properly enforcing the Convention and leads to the creation of loopholes for illegal trade;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

OUTLINES the following sections in this Resolution:

- I. Standardization of CITES permits and certificates
- II. Export permits and re-export certificates
- III. Import permits
- IV. Pre-Convention certificates
- V. Certificates of origin for specimens of Appendix-III species
- VI. Phytosanitary certificates
- VII. Retrospective issuance of permits and certificates
- VIII. Acceptance and clearance of documents and security measures

Annex 1 Information that should be included in CITES permits and certificates

Annex 2 Standard CITES form and instructions and explanations

- I. Standardization of CITES permits and certificates

AGREES:

- a) that, to fulfil the requirements of Article VI of the Convention and relevant Resolutions, export and import permits, re-export and pre-Convention certificates, and certificates of captive breeding and artificial propagation should include all the information specified in Annex 1 of the present Resolution;
- b) that every form should be printed in one or more of the working languages of the Convention (English, Spanish, French) and in the national language if it is not one of the working languages;
- c) that every form should indicate which type of document it is (import or export permit, re-export or pre-Convention certificate, certificate of captive breeding or artificial propagation);

- d) that if a permit or certificate form includes a place for the signature of the applicant, the absence of the signature should render the permit or certificate invalid; and
- e) that if an annex is attached to a permit or certificate as an integral part of it, this and the number of pages should be clearly indicated on the permit or certificate, and each page of the annex should include the following:
  - i) the number of the permit or certificate and its date of issue; and
  - ii) the signature and the stamp or seal, preferably embossed, of the authority issuing the document; and

**RECOMMENDS:**

- f) that Parties wishing to modify their permit and certificate forms, to reprint existing documents or to introduce new documents, first ask the Secretariat for advice;
- g) that Parties adapt the contents and, to the extent practicable, the format of their export permits and re-export certificates to the standard form attached to the present Resolution as Annex 2;
- h) that, for data-processing reasons, permit and certificate numbers be limited to eight characters (digits, letters and spaces);
- i) that the Parties state, on each of their permits and certificates, the purpose of the transaction using the following codes:
  - T** Commercial
  - Z** Zoos
  - G** Botanical gardens
  - Q** Circuses and travelling exhibitions
  - S** Scientific
  - H** Hunting trophies
  - P** Personal
  - M** Bio-medical research
  - E** Educational
  - N** Reintroduction or introduction into the wild
  - B** Breeding in captivity or artificial propagation;
- j) the use of the following codes to indicate the source of the specimens:
  - W** Specimens taken from the wild
  - R** Specimens originating from a ranching operation
  - D** Appendix-I animals bred in captivity for commercial purposes and Appendix-I plants artificially propagated for commercial purposes, as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 4, of the Convention
  - A** Plants that are artificially propagated in accordance with Resolution Conf. 9.18, paragraph a), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5, of the Convention (specimens of species included in Appendix I that have been propagated artificially for non-commercial purposes and specimens of species included in Appendices II and III)

**C** Animals bred in captivity in accordance with Resolution Conf. 2.12 (Rev.), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5, of the Convention (specimens of species included in Appendix I that have been bred in captivity for non-commercial purposes and specimens of species included in Appendices II and III)

**F** Animals born in captivity (F1 or greater) that do not fulfil the definition of "bred in captivity" in Resolution Conf. 2.12 (Rev.), as well as parts and derivatives thereof

**U** Source unknown (**must be justified**)

**I** Confiscated or seized specimens;

- k) that, when a security stamp is affixed to a permit or certificate, the number of the stamp also be recorded on the document;
- l) that for wildlife specimens of exceptional value, in addition to affixing a security stamp, all Parties consider issuing permits and certificates printed on a security paper;
- m) that, when issuing permits and certificates, the Parties follow the standard nomenclatures adopted by the Conference of the Parties to indicate the names of species;
- n) that the Parties indicate on their permits and certificates the number of specimens concerned and/or the unit of measurement used, in particular the weight (in kilograms), and avoid general descriptions such as "one case" or "one batch";
- o) that the Parties that do not already do so affix a security stamp to each export permit and re-export certificate;
- p) that, when a security stamp is affixed to a permit or certificate, it be cancelled by a signature and a stamp or seal, preferably embossed;
- q) that the Parties that have not yet done so communicate to the Secretariat the names of the persons empowered to sign permits and certificates, as well as three specimens of their signatures, and that all the Parties communicate, within one month of any change thereto, the names of persons who have been added to the list of those already empowered to sign, the names of persons whose signatures are no longer valid and the dates the changes took effect;
- r) that, when the means of transport used requires a "bill of lading" or an "air way-bill", the number of such document be stated on the permit or certificate;
- s) that each Party inform the other Parties, direct or through the Secretariat, of any stricter internal measures it has taken under Article XIV, paragraph 1(a), of the Convention, and that, when a Party is informed of this, it refrain from issuing permits and certificates that run counter to these measures;
- t) that, when a permit or certificate for export or re-export has been cancelled, lost, stolen or destroyed, the issuing Management Authority immediately inform the Management Authority of the country of destination, as well as the Secretariat regarding commercial shipments; and
- u) that, when a permit or certificate is issued to replace a document that has been cancelled, lost, stolen or destroyed, or that has expired, it indicate

the number of the replaced document and the reason for the replacement;

## II. Export permits and re-export certificates

### AGREES:

- a) that a re-export certificate should also specify:
- i) the country of origin, the number of the export permit of the country of origin and its date of issue; and
  - ii) the country of last re-export, the number of the re-export certificate of that country and its date of issue;
- or if the case arises:
- iii) justification for the omission of any of the aforementioned information; and

### RECOMMENDS:

- b) that exported specimens and re-exported specimens not appear on the same document, unless the specimens are clearly indicated for export or re-export;
- c) that, when re-export certificates are issued for specimens whose form has not changed since being imported, the unit of measure used be the same as that used on the permit or certificate accepted when they were imported;
- d) that the provisions of Article III, paragraph 3, Article IV, paragraph 4, and Article V, paragraph 3, of the Convention be understood to mean that an export permit or re-export certificate shall be valid for import purposes only if presented within a period of six months from the date on which it was granted;
- e) that the words "used for export within a period of six months", in Article VI, paragraph 2, of the Convention, be interpreted to mean that all export activities, including, but not limited to, transport, presentation for import, etc. shall be concluded before the expiry of the said six-month period from the date of granting the permit or certificate;
- f) that, after the expiry of the said six-month period, an export permit or re-export certificate be considered as void and of no legal value whatsoever;
- g) that, when a Management Authority knows a specimen to be of illegal origin, it not issue a re-export certificate for the specimen even if it has been imported in accordance with the national legislation, unless the specimen has been previously confiscated;
- h) that, when a country has voluntarily fixed national export quotas for specimens of species included in Appendix I, for non-commercial purposes, and/or in Appendices II and III, it inform the Secretariat of the quotas before issuing export permits and of any changes thereto as soon as they are made and it state on each export permit the total number of specimens already exported in the current year (including those covered by the permit in question) and the quota for the species concerned; and
- i) that, when a country has export quotas allocated by the Conference of the Parties for specimens of species included in Appendices I and II, it state on each export permit the total number of specimens already exported in the current year (including those covered by the permit in question) and the quota for the species concerned; the exporting and importing countries involved in trade in specimens of species for which there are such quotas should

send copies of the original export permits, issued or received as appropriate, to the Secretariat to ensure that the quotas are not exceeded;

## III. Import permits

### AGREES:

- a) that an import permit for specimens of species included in Appendix I may carry, among other things, certification that the specimens will not be used for primarily commercial purposes and, in the case of live specimens, that the recipient has suitable facilities to house and care for them; and

### RECOMMENDS:

- b) that the provisions of Article III, paragraphs 2 and 4, of the Convention be understood to mean that an import permit should be recognized as valid by a Management Authority of a State of export or re-export only if presented within a period of twelve months from the date on which it was granted; and
- c) that, after the expiry of the said twelve-month period of validity, an import permit granted by the State of import in order that it can be presented to a Management Authority of a State of export or re-export in accordance with the provisions of Article III, be considered as void and of no legal value whatsoever;

## IV. Pre-Convention certificates

### AGREES:

- a) that a pre-Convention certificate should also specify:
- i) that the specimen covered by the certificate is pre-Convention; and
  - ii) the date of acquisition of the specimen as defined in Resolution Conf. 5.11 adopted at the fifth meeting of the Conference of the Parties (Buenos Aires, 1985);

## V. Certificates of origin

### RECOMMENDS:

- a) that certificates of origin for export of specimens of species listed in Appendix III only be issued by a Management Authority competent to grant Convention permits or certificates or by the competent authority if trade is from a State not a Party to the Convention and that Parties not accept certificates of origin unless they are issued by such authorities;

## VI. Phytosanitary certificates

### RECOMMENDS:

- a) that any Party having considered the practices governing the issue of its phytosanitary certificates for export of Appendix-II specimens, and having determined that such practices provide adequate assurance that the specimens are artificially propagated (as defined in Resolution Conf. 9.18), may consider these documents as certificates of artificial propagation in accordance with Article VII, paragraph 5, of the Convention. Such certificates must include the scientific name of the species and the type and quantity of the specimens and bear a stamp, seal or other specific indication stating that the specimens are artificially propagated as defined by CITES; and
- b) that any Party using phytosanitary certificates as certificates of artificial propagation inform the Secretariat and provide copies of the certificates, stamps, seals, etc. that are used;

VII. Retrospective issuance of permits and certificates

RECOMMENDS:

- a) that a Management Authority of an exporting or re-exporting country:
  - i) not issue CITES documents retrospectively;
  - ii) not provide exporters, re-exporters and/or consignees in importing countries with declarations about the legality of exports or re-exports of specimens having left its country without the required CITES documents; and
  - iii) not provide exporters, re-exporters and/or consignees in importing countries with declarations about the legality of export or re-export documents which at the time of export, re-export or import did not meet the requirements of the Convention;
- b) that a Management Authority of an importing country, or of a country of transit or transshipment, not accept export or re-export documents that were issued retrospectively;
- c) that exceptions from the recommendations under a) and b) above not be made with regard to Appendix-I specimens, and be made with regard to Appendix-II and -III specimens only where the Management Authorities of both the exporting (or re-exporting) and the importing countries are, after a prompt and thorough investigation in both countries and in close consultation with each other, satisfied:
  - i) that the irregularities that have occurred are not attributable to the exporter (or re-exporter) or the importer; and
  - ii) that the export (or re-export) and import of the specimens concerned are otherwise in compliance with the Convention and with the relevant legislation of the countries of export (or re-export) and import; and
- d) that, whenever exceptions are made:
  - i) the export permit or re-export certificate clearly indicate that it is issued retrospectively; and
  - ii) the reasons for the relaxation, which should come within the purview of paragraph c), sub-

paragraphs i) and ii) above, are specified on the permit or certificate and a copy sent to the Secretariat; and

VIII. Acceptance and clearance of documents and security measures

RECOMMENDS:

- a) that the Parties refuse to accept permits and certificates if they have been altered (by rubbing out, scratching out, etc.), modified or crossed out, unless the alteration, modification or crossing-out has been authenticated by the stamp and signature of the authority issuing the document;
- b) that whenever irregularities are suspected, the Parties exchange issued and/or accepted permits or certificates to verify their authenticity;
- c) that, when a security stamp is affixed to a permit or certificate, the Parties refuse the document if the security stamp is not cancelled by a signature and a stamp or seal;
- d) that Parties refuse to accept any re-export certificate that refers to an export permit that does not exist or that is invalid;
- e) that, when a Party refuses to accept a permit or certificate, it keep the original or, if this is against its national laws, it cancel the document indelibly, preferably by perforation, particularly the security stamp;
- f) that, when a Party refuses to accept a permit or certificate issued for export or re-export, it immediately inform the exporting or re-exporting country;
- g) that, when a Party is informed that a permit or certificate it has issued for export or re-export has been refused, it take measures to ensure that the specimens in question do not enter into illegal trade; and
- h) that Parties ensure that, when the original of an export permit or re-export certificate is not used by the permittee for the trade authorized, it is returned by the permittee to the issuing Management Authority in order to prevent the illegal use of the document.

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES

(prepared by a working group of the Conference of the Parties from document Doc. 10.22)

**Co-operation and Synergy with the Convention on Biological Diversity**

WELCOMING decision 111/21 of the Conference of the Parties to the Convention on Biological Diversity, which endorsed the memorandum of understanding between the CITES Secretariat and the Secretariat of the Convention on Biological Diversity;

EXPRESSING appreciation for the co-operation and cordial relationship that has been developed between the two secretariats;

AWARE that decision 111/21 of the Conference of the Parties to the Convention on Biological Diversity invites "the governing bodies of biological diversity-related conventions to consider the possible contributions of those conventions to the implementation of the objectives of the Convention on Biological Diversity, and to share experience with the Conference of the Parties on, inter alia, successful management practices";

RECALLING also that the Conference of the Parties to the Convention on Biological Diversity has invited "contracting parties to relevant biological diversity-related conventions to explore opportunities for accessing funding through the Global Environment Facility for relevant projects involving a number of countries, which fulfil the eligibility criteria and guidance provided by the Conference of the Parties to the Convention on Biological Diversity to the Global Environment Facility";

RECALLING Chapter 38 of Agenda 21 and welcoming decision 19/11D of the Governing Council of UNEP which "recognizes the importance of the Programme's role in promoting and supporting co-operation and co-ordination with and amongst environmental agreements and their secretariats" and "requests the Conference of Parties of the relevant conventions to encourage their respective convention secretariats to engage and continue to participate actively in the co-ordination process";

NOTING the proposal to explore the revival of the Ecosystem Conservation Group which will meet within the

context of UNEP's meetings on co-ordination of environmental Secretariats;

RECOGNIZING that UNEP should undertake such tasks in full co-operation with the Conference of Parties;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RESOLVES to call upon the two secretariats to co-ordinate their programme activities particularly through the UNEP co-ordination meetings;

SUGGESTS that Parties, as appropriate to their national circumstances and to encourage synergy, take measures to achieve co-ordination and reduce duplication between their national authorities for each convention;

CALLS upon Parties to explore opportunities for obtaining funding through the Global Environment Facility for relevant projects, including multilateral projects, which fulfil the eligibility criteria and guidance provided by the Conference of the Parties to the Convention on Biological Diversity to the Global Environment Facility;

RECOMMENDS that the Secretariat investigate opportunities whereby CITES can become a partner in the implementation of appropriate aspects of the Convention on Biological Diversity;

INVITES the fourth meeting of the Conference of the Parties to the Convention on Biological Diversity to consider further modalities for enhancing co-operation and synergy between the two conventions to be considered by the 11th meeting of the Conference of the Parties to CITES; and

REQUESTS the Chairman of the Standing Committee to transmit, to the Conference of the Parties of the Convention on Biological Diversity, this, and other relevant Resolutions and Decisions of the 10th and all future meetings of the Conference of the Parties.

## Com. 10.26 (Rev.)

### HOW TO IMPROVE THE EFFECTIVENESS OF THE CONVENTION

#### ERM Recommendations: Draft Comments of the Parties and Action Plans Decided upon by the Parties

(prepared from documents Com. 10.26 adopted as amended by the Conference of the Parties and Doc. 10.22)

ERM Recommendation	Views of the Parties regarding the Recommendation	Action Plan	Priority	Financial Implications
<i><b>Fundamental Policy Issues</b></i>				
3A: Regular assessments of the effectiveness of CITES should be carried out	This will be picked up as necessary in the context of the Corporate Plan – see Recommendation 6A below	See Recommendation 6A below	Medium	See 6A
3B: The Parties should decide not to pursue amendments of the Convention for the present, unless a change in Secretariat arrangements is agreed to be necessary	Parties did not consider this to be a recommendation for action and agreed not to include it in the Action Plan	–		
3C: The issue of sustainable use and its relation to CITES should be addressed in an interpretative resolution by the CoP	Many Parties did not support an interpretative resolution but recognized that Appendix II has implications for sustainable use	This issue is best taken forward by the Conference of the Parties further strengthening the Significant Trade Process through the Animals and Plants Committees (documents Doc. 10.55 and Doc. 10.56). The Secretariat will try to improve its information materials in order to enhance the public understanding of the positive effect of listing of species in Appendix II for the sustainable use of all concerned species	High	Set out in documents Doc. 10.55 and Doc. 10.56
3D: The process of consolidation of existing interpretative Resolutions should continue and should be expanded to cover all CoP Decisions	The Standing Committee, at its 37th meeting, referred this to the Secretariat for immediate implementation	The Standing Committee shall continue to work with the Secretariat to consolidate existing Resolutions and Decisions of the CoP, when necessary and appropriate, provided their original text and preamble are maintained to preserve their original intent	High	Low
3E: All new interpretative Resolutions should be as simple as possible and/or incorporate an explanatory memorandum	The Standing Committee has referred this to the Secretariat for immediate implementation. The Parties do not support simplification of existing text since the Secretariat should not play a role in modifying Resolution language adopted by the CoP	Parties shall submit and adopt resolutions that are clear. The Secretariat's new Capacity Building Unit will develop a model Explanatory Memorandum, for Parties to adapt to suit their needs, in good time for them to use it when preparing draft resolutions for the next CoP. The Secretariat will also, in consultation with the Standing Committee, and under the purview of its Capacity Building Unit, develop appropriate tools to assist in the interpretation of existing Resolutions	High	Low

ERM Recommendation	Views of the Parties regarding the Recommendation	Action Plan	Priority	Financial Implications
<b>Scientific Issues</b>				
4A: Consideration should be given to initiating an accelerated process of review of the scope and coverage of the appendices	This is not the best use of limited resources. The Parties are already effectively reviewing the appendices themselves for example in the work of the Plants and Animals Committees on blanket listings of higher taxa (e.g., Cactaceae and Orchidaceae)	The Animals and Plants Committees shall continue their review of species linked with the consideration of the use of the new listing criteria in Resolution Conf. 9.24	Low	Low
4B: The presentation of the appendices should be reviewed with the aim of simplification	Many Management and Scientific Authorities would benefit from a presentation of the appendices that included more information, including dates of first listing in the appendices	The Secretariat, working with the Animals and Plants Committees, shall prepare a proposal for agreement by the Standing Committee for a presentation of the appendices that could be incorporated into a training manual for Parties. Further work to develop electronically accessible information shall be undertaken by the Capacity Building Unit as part of the Information Management Strategy	Medium	Medium
4C: The Standing Committee should give consideration to continuing and extending the species review	Any further activity toward this end should take account of the UNEP/UNCTAD country and taxa studies which assess the effectiveness of CITES in particular countries. Parties should encourage these types of study to draw generic lessons for the Convention	Through the work of the Projects Officer, the Secretariat shall encourage country and taxa studies to draw generic lessons for CITES. This material should be stored with bodies such as WCMC as a depository for Parties and could be carried out through external funding	High	External
<b>CITES Administrative and Implementation Issues</b>				
5A: International organizations should assist Parties in the preparation of new and more effective national legislation and regulatory instruments	Work has already begun and resources made available for the Secretariat to continue the pursuit of this task as part of the Strategic Plan (documents Doc. 10.9 and Doc. 10.10). Parties should continue to seek the assistance of experts in their efforts to help write new legislation and regulations to implement CITES	The Secretariat shall continue with the ongoing Legislation Project (National Legislation for the Implementation of the Convention); see document Doc. 10.31 (Rev.)	High	Low (and no new resources needed)
5B: International organizations and developed countries should provide financial and institutional support to developing countries and countries with economies in transition to train and equip personnel	The Parties support the seeking of donors' and external assistance (particularly by making use of the Global Environment Facility) in training and capacity building. The Parties also place a high priority on working with the Secretariat's new Capacity Building Unit to restructure training and project management programmes	Action to encourage additional bilateral training and capacity building is required from both the Secretariat and the Parties. Work commissioned should be carried out within the framework of the Secretariat's Capacity Building Unit	High	Low (funding from GEF)

ERM Recommendation	Views of the Parties regarding the Recommendation	Action Plan	Priority	Financial Implications
5C: The CoP should consider adoption of an additional interpretative resolution on stricter domestic measures	It would be premature to develop a resolution at this stage. There is a need however for a better understanding of the nature, extent and impact of the many stricter measures already in place. A report on existing measures would be an important first step	The Secretariat shall carry out a survey of stricter measures already adopted by the Parties and report to the Standing Committee which will consider a second stage of review	High	Low (Phase I) High (Phase II)
5D: The CoP should give a mandate (and assign resources) to the Secretariat to develop a CITES Newsletter and improved information materials	This project would meet important information needs of many Parties and should be developed as part of the Information Management Strategy in co-ordination with the Capacity Building Unit	The Secretariat shall produce a twice yearly desktop published newsletter	High	Low
5E: The Secretariat should commission a feasibility study, as part of its Strategic Plan, to identify specific requirements for improving electronic communications between Parties	Electronic communications are a high priority for the Parties, but there is no need to commission an expensive feasibility study. This should be pursued as part of the Information Management Strategy	This task to be included within the work plan of the Secretariat's Information Management Strategy (document Doc. 10.82)	High	USD 64,000 (approx.)
5F: The Secretariat should take steps to enhance and expand the Convention's relationship with Interpol and the World Customs Organization	The Secretariat has already begun implementing this recommendation, which is supported by the Parties	The Secretariat shall continue to co-operate with the World Customs Organization and Interpol. All Parties are urged to involve their Customs and Police authorities with the Interpol Subgroup on Wildlife Crime. All Parties are urged to consider individual Memoranda of Understanding between their relevant enforcement authorities and the Secretariat. All Parties are urged to invite their Customs and Police authorities to co-operate with the CITES Enforcement Working Group of the World Customs Organization	High	Low
<b><i>Institutional Issues</i></b>				
6A: The CoP should instruct the Secretary General, in consultation with the Standing Committee, to prepare a Strategic Plan for CITES	The Standing Committee, at its 37th meeting, referred this to the Secretariat for immediate implementation	The Standing Committee shall, in co-operation with the permanent Committees, set up a sub-committee to develop, with the co-operation of the Secretariat, a medium/long term (3-6 years) framework document for the structure of the work of the permanent Committees. This document shall give consideration to the development of performance indicators for the Convention	High	Medium

ERM Recommendation	Views of the Parties regarding the Recommendation	Action Plan	Priority	Financial Implications
6B: The Standing Committee should again review regional representation on CITES Committees and should provide guidance or preparatory consultations prior to meetings of the CoP and the Standing Committee	The Parties support improved regional co-ordination and consultation prior to meetings of the Animals, Plants and Standing Committees, as well as meetings of the CoP	Regional representatives shall co-ordinate and consult with other countries in their region, prior to meetings of the Animals, Plants and Standing Committees, as well as meetings of the CoP. Consideration should be given to the structuring of the schedule of the Conference of the Parties to give ample time for regional meetings, with translation where needed	High for regions with a large number of Parties	Medium
6C: The Secretary General should be requested to simplify the language and numbering of documents at meetings of the CoP	The Standing Committee, at its 37th meeting, referred this to the Secretariat for immediate implementation. The Parties welcome the Secretariat's introduction of document Inf. 10.1 and notes that the numbering of documents at CoP10 is much improved. Even so, further transparency and clarity is needed	The Secretariat shall continue this effort, and work with the Standing Committee to develop a plan for the numbering of documents, with particular reference to the work of Committees I and II, for introduction for CoP11	High	Low
6D: A Financial Plan for the Convention should be prepared by the Secretary General under the guidance of the Standing Committee	The Standing Committee, at its 37th meeting, referred this to the Secretariat for immediate implementation. The presentation is much improved, but work in the Budget Committee make it clear to the Parties that preliminary work should be done prior to the start of the CoP	The Standing Committee shall develop a mechanism for the consideration of budgetary matters (possibly through the creation of a Finance Sub-committee) immediately before the start of each Committee meeting	High	Low
6E: The Secretariat should be financially and technically strengthened	A good start has been made by the Secretariat in managing existing resources as efficiently as possible (document Doc. 10.10) and it should continue to exercise flexibility in identifying efficiency savings. Technical qualifications of Secretariat staff are the purview of UNEP. The revised Agreement between the Parties and UNEP will facilitate this	The Secretariat shall continue its efforts to identify work and funding priorities and consider efficiency savings, subject to the decisions of the Parties. Parties should increase their efforts to make contributions in kind, e.g. through staff secondments	High	Low
<b>Relations with other Organizations</b>				
7A: The Secretary General should pursue a comprehensive agreement on co-operation with the Convention on Biological Diversity	The Parties support the signing of the Memorandum of Co-operation with the Convention on Biological Diversity, and consider that there is scope for further co-operation with other Conventions dealing with the conservation of natural resources	The Secretariat shall foster continued co-operation between CITES and the Convention on Biological Diversity. This should be extended to include other relevant Conventions	High	Low (UNEP already has some funds for this)

ERM Recommendation	Views of the Parties regarding the Recommendation	Action Plan	Priority	Financial Implications
7B: The CoP should request UNEP to continue to convene a joint working group on a regular basis between certain key international Conventions	UNEP has already convened such a working group of Secretariats. The Parties also noted that WCMC has started work on a feasibility study for harmonized reporting between five of the biodiversity related Conventions. This work, funded in part by the Trust Fund, was endorsed by the Parties. The results should be available within six months	UNEP should be encouraged to produce meaningful results from this co-ordinating process. The Parties should consider giving support to subsequent stages of the initiative to harmonize reporting requirements of biodiversity-related Conventions, subject to the results of the WCMC feasibility study	Medium	Low
7C: Synergy between the Conventions should feature on the Agenda of the CoP and joint activities should be outlined in the CITES Strategic Plan	The Standing Committee, at its 37th meeting, referred this to the Secretariat for immediate implementation	The Standing Committee shall ensure that this issue remains on the Agenda of future CoPs	Medium	Low
7D: The Standing Committee should enhance co-operation and information exchange between CITES and GATT prior to the conclusion of ongoing WTO discussion on trade and environmental issues	As the WTO has established a Standing Committee on Trade and Environment, dialogue with CITES should be ongoing. The Parties support continued consultation between CITES and WTO Secretariats. The Parties saw no need for a CITES-commissioned study. The Parties endorsed the recent work of the OECD which indicated that there was no incompatibility between CITES and WTO and considered that this met the action recommended by ERM	Co-ordination should be encouraged between the CITES Secretariat and the WTO Secretariat (and not the Standing Committee). CITES Management Authorities are encouraged to work with trade experts in their countries, to improve mutual understanding of the objectives of both CITES and the WTO. The Parties commend the role taken by the OECD in facilitating the process, and supports the continuation of such efforts	Medium	Low

**DRAFT DECISIONS OF THE CONFERENCE OF THE PARTIES**

(prepared by a working group of the Conference of the Parties  
after discussion of documents Doc. 10.20, Doc. 10.21 and Doc. 10.22)

**Regarding an Action Plan to Implement Recommendations Arising  
from the Study of the Effectiveness of the Convention****Decisions directed to the Standing Committee, the  
Animals and Plants Committees, the Secretariat and  
other organs of the Convention****A. Background**

At its ninth meeting (Fort Lauderdale, 1994) the Conference of the Parties assigned to the Standing Committee the responsibility to make arrangements for a study to be conducted on how to improve the effectiveness of the Convention, and to report its findings to the 10th meeting of the Conference of the Parties. The Conference decided that an independent consultant should be selected to undertake the study.

The Standing Committee conducted a competitive tender in early 1995 according to UN rules. As a result, Environmental Resources Management (ERM), were selected to carry out the study. ERM conducted their work in association with Price Waterhouse Pan African Consultants Ltd and other ERM offices in every region. They established an advisory group of experts which comprised Dr Thomas Waler, Dr Makoto Komoda, Dr Timothy Swanson and Sir Martin Holdgate (Chairman). The advisory group also included two nominees of the Standing Committee – Mr Marshall Jones/Dr Susan Lieberman (USA) and Mr Jaques Berney (formerly CITES Secretariat). In addition key stages of the study were guided by a Monitoring Group of the Standing Committee, composing Argentina, Namibia, UK and Japan (Chairman). The study was undertaken between April and September 1996 and relied substantially on a questionnaire to all Parties. The Monitoring Group agreed the terms of the questionnaire. Sixty-eight Parties returned the questionnaire – 21 from Africa, 19 from Europe, 11 from Asia, 11 from Central and South America and the Caribbean and 3 each from North America and Oceania. In addition, 22 inter-governmental or international organizations returned a separate questionnaire. ERM also organized meetings and visits throughout the world, including face to face discussions with 25 Parties.

**B. Report and Recommendations from the Study**

The study resulted in a detailed report including 25 "Recommendations for Action". These were considered initially by the Standing Committee in December 1996. The Standing Committee decided to transmit the full report, in all the working languages of the Convention, for consideration at the 10th meeting of the Conference of the Parties. The Committee also recommended that the Parties should draw up an action plan at the 10th meeting. The report was circulated to the Parties under Notification to the Parties No. 951 of 29 January 1997. The Secretariat subsequently submitted three further documents for consideration by the Conference (documents Doc. 10.20 to Doc. 10.22).

The Parties recognize that the report is a valuable window on their views as a first ever effort, and have submitted the Action Plan (document Com. 10.26) based on its useful recommendations. The report can be seen as a first step, and the Parties recommend efforts at some future date to further review the effectiveness of the Convention.

**Decisions of the Conference of the Parties**

1. The Action Plan (document Com. 10.26) to implement the recommendations arising from the study on How to Improve the Effectiveness of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (ERM, September 1996) shall be adopted as the basis for the Standing Committee, the Animals and Plants Committees, the Secretariat and all other organs of the Convention to carry out relevant tasks in the period between the 10th and 11th meetings of the Conference of the Parties.
2. The tasks shall be allocated and completed according to the priorities and timescales indicated in the Action Plan, subject to the availability of resources from the Trust Fund or external sources.

The Secretariat shall submit an implementation report for consideration by the Standing Committee who shall transmit it with any comments to the 11th meeting of the Conference of the Parties.

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES

(prepared from document Doc. 10.72 Annex approved as amended by Committee II)

**Shipments Covered by ATA and TIR Carnets**

RECOGNIZING that Articles III, IV and V lay out the need for permits and certificates for specimens of species included in Appendices I, II and III;

AWARE that shipments not covered by the exemptions specified in Article VII and travelling on a Customs carnet still require applicable CITES documentation;

CONSCIOUS that many shipments of CITES species travelling on a ATA or TIR carnet without CITES documentation have been refused entry into either the importing country or the country of origin upon return;

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RECOMMENDS that all Parties ensure that their Management Authorities issue the appropriate documents for shipments travelling on ATA and TIR carnets; and

STRONGLY URGES all Parties to communicate with their Customs and other CITES enforcement officials to ensure that all CITES shipments travelling on these carnets comply with the applicable requirements of CITES.

In addition, the following draft decision of the Conference of the Parties addressed to the Secretariat was approved for inclusion into document Com. 10.6:

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DIRECTS the Secretariat to study, together with the World Customs Organization (WCO) the Customs problems relating to the implementation of CITES as a whole and particularly the issue of the CITES documents to be required in connection with Customs procedures to be applied.

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES

(prepared from documents Com. 10.29 approved as amended by Committee II and Doc. 10.67 Annex)

**Specimens of Animal Species Bred in Captivity**

RECALLING Resolution Conf. 2.12 (Rev.), adopted by the Conference of the Parties at its second meeting (San José, 1979) and amended at its ninth meeting (Fort Lauderdale, 1994);

CONSIDERING that the Convention provides, in Article VII, paragraphs 4 and 5, for special treatment of animal specimens that are bred in captivity;

NOTING that, in accordance with Article VII, paragraph 4, specimens of Appendix-I species bred in captivity for commercial purposes shall be deemed to be specimens of species included in Appendix II and that therefore they should be traded in accordance with the provisions of Article IV;

NOTING that, in accordance with Article VII, paragraph 5, the import of specimens of Appendix-I species bred in captivity not for commercial purposes that are covered by a certificate of captive breeding does not require the issuance of an import permit and may therefore be authorized whether or not the purpose is commercial;

RECOGNIZING the need for the Parties to agree on a standard interpretation of the provisions of Article VII, paragraphs 4 and 5;

CONCERNED however that, in spite of the adoption of several Resolutions at various meetings of the Conference of the Parties, much trade in specimens declared as bred in captivity remains contrary to the Convention and to Resolutions of the Conference of the Parties, and may be detrimental to the survival of wild populations of the species concerned;

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Regarding terminology

ADOPTS the following definitions of terms used in this Resolution:

- a) "first-generation offspring (F1)" are specimens produced in a controlled environment from parents at least one of which was conceived in or taken from the wild;
- b) "offspring of second-generation (F2) or subsequent-generation (F3, F4, etc.)" are specimens produced in a controlled environment from parents that were also produced in a controlled environment;
- c) the "breeding stock" of an operation means the ensemble of the animals in the operation that are used for reproduction; and
- d) "a controlled environment" is an environment that is manipulated for the purpose of producing animals of a particular species, that has boundaries designed to prevent animals, eggs or gametes of the species from entering or leaving the controlled environment, and the general characteristics of which may include but are not limited to: artificial housing; waste removal; health care; protection from predators; and artificially supplied food;

Regarding the term "bred in captivity"

DECIDES:

- a) that the definition provided below shall apply to the specimens bred in captivity of species included in Appendix I, II or III, whether or not they were bred for commercial purposes; and

- b) that the term "bred in captivity" shall be interpreted to refer only to specimens [as defined in Article I, paragraph (b), of the Convention] born or otherwise produced in a controlled environment, and shall apply only if:

- i) the parents mated or gametes were otherwise transferred in a controlled environment, if reproduction is sexual, or the parents were in a controlled environment when development of the offspring began, if reproduction is asexual; and

- ii) the breeding stock, to the satisfaction of the competent government authorities of the exporting country:

- A. was established in accordance with the provisions of CITES and relevant national laws and in a manner not detrimental to the survival of the species in the wild;

- B. is maintained without the introduction of specimens from the wild, except for the occasional addition of animals, eggs or gametes, in accordance with the provisions of CITES and relevant national laws and in a manner not detrimental to the survival of the species in the wild as advised by the Scientific Authority:

1. to prevent or alleviate deleterious inbreeding, with the magnitude of such addition determined by the need for new genetic material; or

2. to dispose of confiscated animals in accordance with Resolution Conf. 9.11; or

3. exceptionally, for use as breeding stock; and

- C. 1. has produced offspring of second generation (F2) or subsequent generation (F3, F4, etc.) in a controlled environment; or

2. a) belongs to a species included in a list of species commonly bred to second or subsequent generation, that is established and amended by the Standing Committee, on the basis of proposals submitted by the Animals Committee after consultation with range States and experts in captive breeding and in the species in question; or, in the absence of a list

- b) is managed in a manner that has been demonstrated to be capable of reliably producing second-generation offspring in a controlled environment; and

Regarding the trade in specimens of Appendix-I species bred in captivity

RECOMMENDS that the trade in a specimen bred in captivity be permitted only if it is marked in accordance with the provisions on marking in the Resolutions adopted by the Conference of the Parties and if the type and number of the mark are indicated on the document authorizing the trade; and

REPEALS Resolution Conf. 2.12 (Rev.) (San José, 1979, as amended in Fort Lauderdale, 1994) – Specimens Bred in Captivity or Artificially Propagated.

DRAFT DECISION OF THE CONFERENCE OF THE PARTIES

(prepared from documents Com. 10.30 approved as amended by Committee II and Doc. 10.67)

**Specimens of Animal Species Bred in Captivity**

**Decision directed to the Animals Committee**

The Animals Committee shall examine the effectiveness of and the need for the existing registration system for facilities breeding specimens of Appendix-I species in captivity for

commercial purposes and provide advice at the 11th meeting of the Conference of the Parties on the need for any changes, and shall consider the proposed definition of "bred in captivity for commercial purposes" in document Doc. 10.67.

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES

[prepared from documents Com. 10.31 adopted as amended by the Conference of the Parties and Doc. 10.13 (Rev.) Annex 6]

**Financing and Budgeting of the Secretariat and of Meetings of the Conference of the Parties**

RECALLING Resolution Conf. 9.2 adopted at the ninth meeting of the Conference of the Parties (Fort Lauderdale, 1994);

HAVING REVIEWED the 1994-1996 actual expenditures submitted by the Secretariat (Doc. 10.11);

HAVING NOTED the revised estimates of expenditure for 1997 presented by the Secretariat (Doc. 10.12);

HAVING REVIEWED the 1998-2000 budget estimates submitted by the Secretariat [Doc. 10.13 (Rev.) Annex 1];

HAVING REVIEWED also the 1998-2002 medium-term budget estimates [Doc. 10.13 (Rev.) Annex 2];

RECOGNIZING the continuing need for administrative and financial arrangements between the Parties and the Executive Director of UNEP;

NOTING the considerable increase in the number of Parties, as well as organizations, attending the meetings of the Conference of the Parties as observers, and the resulting additional expenditure incurred by the Secretariat;

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ACCEPTS the expenditures for 1994-1996 and TAKES NOTE of the estimates of expenditure for 1997;

APPROVES the 1998-2000 budget (Annex 2);

TAKES NOTE of the 1998-2002 medium-term budget estimates;

DECIDES to cover 5% of the increased budget by adjusting the scale of contributions by the Parties;

AUTHORIZES the Secretariat to draw the remainder of the budget increase (3.66%) from the balance in the CITES Trust Fund at the end of each year;

FURTHER AUTHORIZES the Secretariat, subject to the priorities below, to draw additional funds from the Trust Fund balance at the end of each year, provided that the Trust Fund is not reduced below CHF 2.3 million at the commencement of any year;

NOTES that the parties, in discussing the priorities for the use of additional funds drawn from the Trust Fund, gave strong support for capacity building (especially for new Parties), legislation for CITES implementation and significant trade studies, and some support from more than one Party for regional co-ordination, enforcement and technical assistance from WCMC;

DIRECTS the Secretariat, in association with the Standing Committee, to incorporate such of the above priority tasks into the base operating budget as can effectively be done with the funds available (about CHF 200,000 per year);

REQUESTS that the Executive Director of UNEP, with the approval of the Governing Council of UNEP, seek the consent of the United Nations Secretary General for an extension of the Trust Fund until 31 December 2002, to provide financial support for the aims of the Convention in accordance with the Terms of Reference for the Administration of the Trust Fund for the Convention on International Trade in Endangered Species of Wild Fauna and Flora, attached as an Annex to this Resolution;

APPROVES the Terms of Reference for the Administration of the Trust Fund, attached as an Annex to this Resolution,

for the financial period beginning on 1 January 1998 and ending on 31 December 2002;

AGREES:

- a) that contributions to the Trust Fund shall be based on the United Nations scale of assessment, as amended from time to time, adjusted to take account of the fact that not all members of the United Nations are Parties to the Convention;
- b) that any other basis of assessment of contributions shall not be used without the consent of all Parties present and voting at a meeting of the Conference of the Parties;
- c) that any change in the basic scale of contributions which would increase the liability of a Party to contribute, or would impose a new such liability, shall not apply to that Party without its consent, and that any proposal to change the basic scale of contributions from that currently in use shall only be considered by the Conference of the Parties if notice of such proposal has been communicated by the Secretariat to all Parties at least 90 days before the meeting; and
- d) that Parties should pay their contributions to the Trust Fund in accordance with the agreed scale as in the Table attached to this Resolution and, whenever possible, should make special contributions to the Trust Fund above their assessed contributions;

REQUESTS all Parties to pay their contributions as far as possible during the year prior to the one to which they relate or, in any case, promptly by the beginning of the calendar year to which the contributions apply;

APPEALS strongly to those Parties which, for legal or other reasons, have so far been unable to contribute to the Trust Fund to do so;

URGES all Parties that have not yet done so to deposit as soon as possible an instrument of acceptance of the amendments of 22 June 1979 and of 30 April 1983;

INVITES States not party to the Convention, other governmental, intergovernmental and non-governmental organizations, and other sources to consider contributing to the Trust Fund;

INVITES all Parties to support, through their representatives in UNEP, UNDP and the World Bank, the requests of the Secretariat for additional funding of CITES projects by the Global Environment Facility;

DECIDES that the standard participation charge for all observer organizations other than the United Nations and its specialized agencies, be set at a minimum of CHF 600 (except as otherwise decided by the Secretariat as required) and URGES such organizations to make a greater contribution if possible at least to meet their effective costs of participation;

DIRECTS the Secretariat to implement the Procedures for Approval of Externally Funded Projects as developed and approved by the Standing Committee at its 23rd meeting, before accepting any external funds from non-governmental sources;

APPROVES the Secretariat reports (Doc. 10.11, Doc. 10.12 and Doc. 10.14); and

## Annex 1

### TERMS OF REFERENCE FOR THE ADMINISTRATION OF THE TRUST FUND FOR THE CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA

1. The Trust Fund for the Convention on International Trade in Endangered Species of Wild Fauna and Flora (hereinafter referred to as the Trust Fund) shall be further continued for a period of five years (1 January 1998–31 December 2002) to provide financial support for the aims of the Convention.
2. Pursuant to the Financial Regulations and Rules of the United Nations, the Executive Director of the United Nations Environment Programme (UNEP), with the approval of the Governing Council of UNEP and the Secretary General of the United Nations, shall continue the Trust Fund for the administration of the Convention.
3. The Trust Fund shall cover two financial periods of three and two calendar years respectively: the first financial period begins on 1 January 1998 and ends on 31 December 2000; the second financial period begins on 1 January 2001 and ends on 31 December 2002.
4. The appropriations of the Trust Fund for the first financial period shall be financed from:
  - a) the contributions made by the Parties by reference to the attached Table, including contributions from any new Parties which are to be added to the Table;
  - b) contributions from States not party to the Convention, other governmental, intergovernmental and non-governmental organizations and other sources; and
  - c) any uncommitted appropriations from any of the financial periods prior to 1 January 1998.
5. The budget estimates covering the income and expenditure for each of the calendar years constituting the financial period to which they relate, prepared in Swiss francs, shall be submitted for approval to the regular meeting of the Conference of the Parties to the Convention. Together with the estimates, prepared in Swiss francs, figures may be provided also in US dollars for ease of reference and would only be indicative.
6. The estimates for each of the calendar years covered by a financial period shall be specified according to objects of expenditure, and shall be accompanied by such information as may be required by, or on behalf of, the contributors, and such further information as the Executive Director of UNEP may deem useful and advisable.
7. In addition to the budget estimates for the financial period described in the preceding paragraphs, the Secretary General of the Convention, in consultation with the Standing Committee and the Executive Director of UNEP, shall prepare a medium-term plan as envisaged in Chapter III of Legislative and Financial Texts Regarding the United Nations Environment Programme and the Environment Fund. The medium-term plan will cover the years 1998-2002, inclusive, and will incorporate the budget for the 1998-2000 financial period.
8. The proposed budget and medium-term plan, including all the necessary information, shall be dispatched by the Secretariat to all Parties at least ninety days before the date fixed for the opening of the regular meeting of the Conference of the Parties.
9. The budget shall be adopted by a 3/4 majority of the Parties present and voting at the regular meeting.
10. In the event that the Executive Director of UNEP expects that there might be a shortfall in resources, over the year as a whole, she shall consult with the Secretary General of the Convention, who shall seek the advice of the Standing Committee as to its priorities for expenditure.
11. Upon the request of the Secretary General of the Convention, after seeking the advice of the Standing Committee, the Executive Director of UNEP should, to the extent consistent with the Financial Regulations and Rules of the United Nations, make transfers from one object of expenditure to another. At the end of any calendar year of a financial period, the Executive Director of UNEP may proceed to transfer any uncommitted balance of appropriations to the following calendar year, provided that the total budget approved by the Parties for that financial period shall not be exceeded unless this is specifically sanctioned in writing by the Standing Committee.
12. Commitments against the resources of the Trust Fund may be made only if they are covered by the necessary income of the Convention.
13. All contributions shall be paid in any convertible currency. The amount of any payment, however, shall be at least equal to the amount payable in Swiss francs on the day the contribution is made. Contributions from States that become Parties after the beginning of the financial period should be made on a pro-rata basis for the balance of the financial period.
14. At the end of each calendar year of a financial period, the Executive Director of UNEP shall submit to the Parties the accounts for the year. She shall also submit, as soon as practicable, the audited accounts for the financial period.
15. The Secretary General of the Convention shall provide the Standing Committee with an estimate of proposed expenditure over the coming calendar year simultaneously with, or as soon as possible after, distribution of the accounts and reports referred to in the preceding paragraph.
16. The general procedures governing the operations of the Fund of UNEP and the Financial Regulations and Rules of the United Nations shall govern the financial operations of the Trust Fund for the Convention.
17. These Terms of Reference shall be effective for the financial period of 1 January 1998 to 31 December 2002 subject to amendments at the 11th meeting of the Conference of the Parties.

## Annex 2

**Proposed Budget for the Triennium 1998-2000**  
(expressed in Swiss Francs using exchange rate of USD 1.00 = CHF 1.43)

Budget line	Description	1998		1999		2000	
		CHF	USD	CHF	USD	CHF	USD
1100	Professionals (does not include JPOs and seconded staff)						
1101-1114	14 posts funded by the Trust Fund: 1 D1, 2 P5, 6 P4, 3 P3, 2 P2	2,213,666	1,548,018	2,277,666	1,592,773	2,343,666	1,638,927
1200	Consultants						
1201	Translation of documents	5,000	3,497	100,000	69,930	5,000	3,497
1202	General	40,000	27,972	40,000	27,972	50,000	34,965
1203	Technical assistance	40,000	27,972	40,000	27,972	50,000	34,965
1299	<b>Subtotal</b>	85,000	59,441	180,000	125,874	105,000	73,427
1300	Administrative support						
1301-10	10 support staff	1,103,000	771,329	1,130,000	790,210	1,154,000	806,993
1320	Temporary assistance/overtime	100,000	69,930	160,000	111,888	100,000	69,930
1321	Salary/travel of Conf. staff	0	0	416,000	290,909	0	0
1399	<b>Subtotal</b>	1,203,000	841,259	1,706,000	1,193,007	1,254,000	876,923
1600	Travel						
1601	Travel – general	170,000	118,881	175,000	122,378	180,000	125,874
1602	Travel of staff to CoP & SC	10,000	6,993	250,000	174,825	30,000	20,979
1603	Travel of staff to seminars	50,000	34,965	30,000	20,979	50,000	34,965
1699	<b>Subtotal</b>	230,000	160,839	455,000	318,182	260,000	181,818
1999	Total personnel component	3,731,666	2,609,557	4,618,666	3,229,836	3,962,666	2,771,095
2100	Sub-contracts						
2101	Nomenclature studies – animals	10,000	6,993	10,000	6,993	10,000	6,993
	Nomenclature studies – plants	30,000	20,979	25,000	17,483	27,500	19,231
2102	Significant trade – animals	100,000	69,930	100,000	69,930	100,000	69,930
	Significant trade – plants	25,000	17,483	25,000	17,483	25,000	17,483
2103	National legislation	105,000	73,427	105,000	73,427	105,000	73,427
2104	Identification Manual – animals	80,000	55,944	80,000	55,944	80,000	55,944
	Identification Manual – plants	30,000	20,979	50,000	20,979	30,000	20,979
2105	Technical publications	10,000	6,993	15,000	10,490	12,500	8,741
2106	Trade monitoring and technical support – WCMC	164,000	114,685	194,000	135,664	179,000	125,175
2199	<b>Subtotal</b>	554,000	387,413	584,000	408,392	569,000	397,902
3200	Travel of participants to seminars	90,000	62,937	50,000	32,965	90,000	62,937
3299	<b>Subtotal</b>	90,000	62,937	50,000	34,965	90,000	62,937
3300	Meetings/Committees						

Budget line	Description	1998		1999		2000	
		CHF	USD	CHF	USD	CHF	USD
3301	Standing Committee	80,000	55,944	85,000	59,441	82,500	57,692
3302	Plants Committee	5,000	34,965	50,000	34,965	50,000	34,965
3303	Animals Committee	50,000	34,965	50,000	34,965	50,000	34,965
3304	African elephant: Panel of Experts	0	0	45,000	31,469	0	0
3305	Co-ordination with other conventions and ECG	0	0	0	0	0	0
3399	<b>Subtotal</b>	180,000	125,874	230,000	160,839	182,500	127,622
4100	Expendable equipment						
4101	Office supplies	60,000	41,958	70,000	48,951	80,000	55,944
4102	Training supplies	0	0	0	0	0	0
4200	Non-expendable equipment	90,000	62,937	90,000	62,937	90,000	62,937
4300	Office premises	0	0	0	0	0	0
4999	Component total	150,000	104,895	160,000	111,888	170,000	118,881
5100	Operation and maintenance						
5101	Maintenance of computers	20,000	13,986	30,000	20,979	30,000	20,979
5102	Maintenance of photocopiers	40,000	27,972	40,000	27,972	40,000	20,972
5103	Cleaning, heating, insurance, etc.	115,000	80,420	115,000	80,420	115,000	80,420
5199	<b>Subtotal</b>	175,000	122,378	185,000	129,371	185,000	129,371
5200	Reporting/printing costs						
5201	CoP-related documents	0	0	150,000	104,895	40,000	27,972
5202	Documents not related to CoP	30,000	20,979	10,000	6,993	30,000	20,979
5203	Permits on security paper	11,250	7,867	11,250	7,867	11,250	7,867
5204	Other publications	15,000	10,490	10,000	6,993	15,000	10,490
5299	<b>Subtotal</b>	56,250	39,336	181,250	126,748	96,250	67,308
5300	Sundry						
5301	Communications (tlx, tel., fax, etc.)	300,000	209,790	300,000	209,790	300,000	209,790
5302	Logistics for the CoP	0	0	150,000	104,895	0	0
5303	Logistics for regional seminars	0	0	0	0	0	0
5304	Other (bank charges, etc.)	15,000	10,490	15,000	10,490	15,000	10,490
5399	<b>Subtotal</b>	315,000	220,280	465,000	325,175	315,000	220,280
5400	Hospitality	10,000	6,993	10,000	6,993	10,000	6,993
5999	Component total	556,250	388,986	841,250	588,287	606,250	423,951
	<b>TOTAL</b>	5,261,916	3,679,662	6,483,916	4,534,207	5,580,416	3,902,389
6000	UNEP overhead costs (13%)	684,049	478,356	842,909	589,447	725,454	507,311
9999	<b>GRAND TOTAL</b>	<b>5,945,965</b>	<b>4,158,018</b>	<b>7,326,825</b>	<b>5,123,654</b>	<b>6,305,870</b>	<b>4,409,699</b>

Table

## Trust Fund for the Convention on International Trade in Endangered Species of Wild Fauna and Flora

SCALE OF CONTRIBUTIONS FOR THE TRIENNium 1998-2000  
(amounts in USD are only indicative; USD 1.00 = CHF 1.43)

Party	UN Scale %	Total 1998-2000		Annual Contribution	
		CHF	USD	CHF	USD
Afghanistan	0.01	1,927	1,348	642	449
Algeria	0.16	30,833	21,562	10,278	7,187
Argentina	0.48	92,499	64,685	30,833	21,562
Australia	1.48	285,205	199,444	95,068	66,481
Austria	0.87	167,654	117,241	55,885	39,080
Bahamas	0.02	3,854	2,695	1,285	898
Bangladesh	0.01	1,927	1,348	642	449
Barbados	0.01	1,927	1,348	642	449
Belarus	0.28	53,958	37,733	17,986	12,578
Belgium	1.01	194,633	136,107	64,878	45,369
Belize	0.01	1,927	1,348	642	449
Benin	0.01	1,927	1,348	642	449
Bolivia	0.01	1,927	1,348	642	449
Botswana	0.01	1,927	1,348	642	449
Brazil	1.62	312,184	218,310	104,061	72,770
Brunei Darussalam	0.02	3,854	2,695	1,285	898
Bulgaria	0.08	15,416	10,781	5,139	3,594
Burkina Faso	0.01	1,927	1,348	642	449
Burundi	0.01	1,927	1,348	642	449
Cameroon	0.01	1,927	1,348	642	449
Canada	3.11	599,316	419,102	199,772	139,701
Central African Republic	0.01	1,927	1,348	642	449
Chad	0.01	1,927	1,348	642	449
Chile	0.08	15,416	10,781	5,139	3,594
China	0.74	142,603	99,722	47,534	33,241
Colombia	0.10	19,271	13,476	6,424	4,492
Comoros	0.01	1,927	1,348	642	449
Congo	0.01	1,927	1,348	642	449
Costa Rica	0.01	1,927	1,348	642	449
Côte d'Ivoire	0.01	1,927	1,348	642	449
Cuba	0.05	9,635	6,738	3,212	2,246
Cyprus	0.03	5,781	4,043	1,927	1,348
Czech Republic	0.25	48,177	33,690	16,059	11,230
Democratic Republic of the Congo	0.01	1,927	1,348	642	449
Denmark	0.72	138,748	97,027	46,249	32,342
Djibouti	0.01	1,927	1,348	642	449
Dominica	0.01	1,927	1,348	642	449
Dominican Republic	0.01	1,927	1,348	642	449

Party	UN Scale %	Total 1998-2000		Annual Contribution	
		CHF	USD	CHF	USD
Ecuador	0.02	3,854	2,695	1,285	898
Egypt	0.08	15,416	10,781	5,139	3,594
El Salvador	0.01	1,927	1,348	642	449
Equatorial Guinea	0.01	1,927	1,348	642	449
Eritrea	0.01	1,927	1,348	642	449
Estonia	0.04	7,708	5,390	2,569	1,797
Ethiopia	0.01	1,927	1,348	642	449
Finland	0.62	119,478	83,551	39,826	27,850
France	6.42	1,237,174	865,156	412,391	288,385
Gabon	0.01	1,927	1,348	642	449
Gambia	0.01	1,927	1,348	642	449
Georgia	0.11	21,198	14,824	7,066	4,941
Germany	9.06	1,745,918	1,220,922	581,973	406,974
Ghana	0.01	1,927	1,348	642	449
Greece	0.38	73,228	51,209	24,409	17,070
Guatemala	0.02	3,854	2,695	1,285	898
Guinea	0.01	1,927	1,348	642	449
Guinea-Bissau	0.01	1,927	1,348	642	449
Guyana	0.01	1,927	1,348	642	449
Honduras	0.01	1,927	1,348	642	449
Hungary	0.14	26,979	18,866	8,993	6,289
India	0.31	59,739	41,775	19,913	13,925
Indonesia	0.14	26,979	18,866	8,993	6,289
Iran (Islamic Republic of)	0.45	86,718	60,642	28,906	20,214
Israel	0.27	52,031	36,385	17,344	12,128
Italy	5.25	1,011,707	707,488	337,236	235,829
Jamaica	0.01	1,927	1,348	642	449
Japan	15.65	3,015,852	2,108,987	1,005,284	702,996
Jordan	0.01	1,927	1,348	642	449
Kenya	0.01	1,927	1,348	642	449
Latvia	0.08	15,416	10,781	5,139	3,594
Liberia	0.01	1,927	1,348	642	449
Liechtenstein	0.01	1,927	1,348	642	449
Luxembourg	0.07	13,489	9,433	4,496	3,144
Madagascar	0.01	1,927	1,348	642	449
Malawi	0.01	1,927	1,348	642	449
Malaysia	0.14	26,979	18,866	8,993	6,289
Mali	0.01	1,927	1,348	642	449
Malta	0.01	1,927	1,348	642	449
Mauritius	0.01	1,927	1,348	642	449
Mexico	0.79	152,238	106,460	50,746	35,487
Monaco	0.01	1,927	1,348	642	449

Party	UN Scale %	Total 1998-2000		Annual Contribution	
		CHF	USD	CHF	USD
Mongolia	0.01	1,927	1,348	642	449
Morocco	0.03	5,781	4,043	1,927	1,348
Mozambique	0.01	1,927	1,348	642	449
Namibia	0.01	1,927	1,348	642	449
Nepal	0.01	1,927	1,348	642	449
Netherlands	1.59	306,403	214,268	102,134	71,423
New Zealand	0.24	46,249	32,342	15,416	10,781
Nicaragua	0.01	1,927	1,348	642	449
Niger	0.01	1,927	1,348	642	449
Nigeria	0.11	21,198	14,824	7,066	4,941
Norway	0.56	107,915	75,465	35,972	25,155
Pakistan	0.06	11,562	8,086	3,854	2,695
Panama	0.01	1,927	1,348	642	449
Papua New Guinea	0.01	1,927	1,348	642	449
Paraguay	0.01	1,927	1,348	642	449
Peru	0.06	11,562	8,086	3,854	2,695
Philippines	0.06	11,562	8,086	3,854	2,695
Poland	0.33	63,593	44,471	21,198	14,824
Portugal	0.28	53,958	37,733	17,986	12,578
Republic of Korea	0.82	158,019	110,503	52,673	36,834
Romania	0.15	28,906	20,214	9,635	6,738
Russian Federation	4.27	822,855	575,423	274,285	191,808
Rwanda	0.01	1,927	1,348	642	449
Saint Kitts & Nevis	0.01	1,927	1,348	642	449
Saint Lucia	0.01	1,927	1,348	642	449
Saint Vincent and the Grenadines	0.01	1,927	1,348	642	449
Saudi Arabia	0.71	136,821	95,679	45,607	31,893
Senegal	0.01	1,927	1,348	642	449
Seychelles	0.01	1,927	1,348	642	449
Sierra Leone	0.01	1,927	1,348	642	449
Singapore	0.14	26,979	18,866	8,993	6,289
Slovakia	0.08	15,416	10,781	5,139	3,594
Somalia	0.01	1,927	1,348	642	449
South Africa	0.32	61,666	43,123	20,555	14,374
Spain	2.38	458,641	320,728	152,880	106,909
Sri Lanka	0.01	1,927	1,348	642	449
Sudan	0.01	1,927	1,348	642	449
Suriname	0.01	1,927	1,348	642	449
Swaziland	0.01	1,927	1,348	642	449
Sweden	1.23	237,029	165,754	79,010	55,251
Switzerland	1.16	223,539	156,321	74,513	52,107
Thailand	0.13	25,052	17,519	8,351	5,840

Party	UN Scale %	Total 1998-2000		Annual Contribution	
		CHF	USD	CHF	USD
Togo	0.01	1,927	1,348	642	449
Trinidad and Tobago	0.03	5,781	4,043	1,927	1,348
Tunisia	0.03	5,781	4,043	1,927	1,348
Turkey	0.38	73,228	51,209	24,409	17,070
Uganda	0.01	1,927	1,348	642	449
United Arab Emirates	0.19	36,614	25,604	12,205	805359
United Kingdom of Great Britain and Northern Ireland	5.32	1,025,197	716,921	341,732	138,974
United Republic of Tanzania	0.01	1,927	1,348	642	449
United States of America	25.00	4,817,654	3,368,989	1,605,885	1,122,996
Uruguay	0.04	7,708	5,390	2,569	1,797
Vanuatu	0.01	1,927	1,348	642	449
Venezuela	0.33	63,593	44,471	21,198	14,824
Viet Nam	0.01	1,927	1,348	642	449
Yemen	0.01	1,927	1,348	642	449
Zambia	0.01	1,927	1,348	642	449
Zimbabwe	0.01	1,927	1,348	642	449
<b>Total</b>	<b>97.88</b>	<b>18,862,080</b>	<b>13,190,266</b>	<b>6,287,360</b>	<b>4,396,755</b>

**Note:** 97.88 = 100% (as compared to 94.12 = 100% in 1994)

DRAFT DECISIONS OF THE CONFERENCE OF THE PARTIES  
(prepared after discussion of document Doc. 10.59 in Committee I)

**Trade in Alien Species**

Based on the discussion of the trade in alien species at the 10th meeting of the Conference of the Parties:

**Decisions directed to the Parties**

- recognize that non-indigenous species can pose significant threats to biodiversity, and that fauna and flora species in commercial trade are likely to be introduced to new habitat as a result of international trade;
- consider the problems of invasive species when developing national legislation and regulations which deal with the trade in live animals or plants;
- consult with the Management Authority of a planned importing country, when possible and when applicable, when considering exports of potentially invasive species, to determine if there are domestic measures regulating such imports; and
- consider the opportunities for synergy between CITES and the Convention on Biological Diversity, and explore appropriate co-operation and collaboration between the

two Conventions on the issue of introductions of alien (invasive) species.

**Decisions directed to the Animals and Plants Committees**

- formally liaise with IUCN/SSC Invasive Species Specialist Group between the 10th and the 11th meetings of the Conference of the Parties to review species in international trade, with respect to their biological potential for becoming invasive, and collaborate with them in the development of databases on invasive species to identify the species which may become invasive if introduced; and
- co-operate with the IUCN/SSC Invasive Species Specialist group in the implementation of their document, "Draft IUCN Guidelines for the Prevention of Biodiversity Loss Due to Biological Invasion", of which parts are related to the trade and transport of live wildlife species.

PROPOSED AMENDMENTS TO ANNOTATIONS IN PROPOSALS PROP. 10.25, 10.26 AND 10.27

Transfer to Appendix II of the elephant population of Botswana annotated to include:

- i) exports of sport hunting trophies for non-commercial purposes;
- ii) exports of live elephants to appropriate and acceptable destinations; and
- iii) no international trade in ivory before 18 months after the transfer to Appendix II comes into effect. Thereafter an experimental quota for raw ivory not exceeding 25.3t may be traded with Japan subject to the conditions established in Decision No. xx of the Conference of the Parties.

Transfer to Appendix II of the elephant population of Namibia annotated to include:

- i) exports of sport hunting trophies for non-commercial purposes;
- ii) exports of live elephants to appropriate and acceptable destinations; and
- iii) no international trade in ivory before 18 months after the transfer to Appendix II comes into effect. Thereafter

an experimental quota for raw ivory not exceeding 13.8t may be traded with Japan subject to the conditions established in Decision No. xx of the Conference of the Parties.

Transfer to Appendix II of the elephant population of Zimbabwe annotated to include:

- i) exports of sport hunting trophies for non-commercial purposes;
- ii) exports of live elephants to appropriate and acceptable destinations;
- iii) exports of hides;
- iv) exports of leather goods and ivory carvings for non-commercial purposes; and
- v) no international trade in ivory before 18 months after the transfer to Appendix II comes into effect. Thereafter an experimental quota for raw ivory not exceeding 20t may be traded with Japan subject to the conditions established in Decision No. xx of the Conference of the Parties.

DRAFT DECISION OF THE CONFERENCE OF THE PARTIES

**Conditions for the Resumption of Trade in African Elephant Ivory  
from Populations Transferred to Appendix II at the 10th Meeting of the Conference of the Parties**

Part A

Trade in raw ivory shall not resume unless:

1. deficiencies identified by the CITES Panel of Experts (pursuant to Resolution Conf. 7.9) in enforcement and control measures have been remedied;
2. the fulfilment of the conditions in this Decision has been verified by the CITES Secretariat in consultation with the African regional representatives on the Standing Committee, their alternates and other experts as appropriate;
3. the Standing Committee has agreed that all of the conditions in this Decision are met;
4. reservations entered by the range States concerning the inclusion of the African elephant in Appendix I are withdrawn by the range State prior to the entry into force of a transfer to Appendix II;
5. the relevant range States support and commit themselves to international cooperation in law enforcement through such mechanisms as the Lusaka Agreement;
6. the relevant range States have strengthened and/or established mechanisms to reinvest trade revenues into elephant conservation;
7. the Standing Committee has agreed to a mechanism to halt trade and immediately re-transfer down-listed populations to Appendix I in the event of non-compliance with the conditions in this Decision or of the escalation of illegal hunting of elephants and/or trade in elephant products due to the resumption of trade;

8. all other precautionary undertakings by the relevant range States in the supporting statements to proposals adopted by CoP10 have been complied with; and
9. the relevant range States, the CITES Secretariat, TRAFFIC International and any other approved party agree to:
  - i) an international reporting and monitoring system for legal and illegal international trade, through an international database in the CITES Secretariat and TRAFFIC International; and
  - ii) an international reporting and monitoring system for illegal trade and illegal hunting within or between elephant range States, through an international database in the CITES Secretariat, with support from TRAFFIC International, institutions such as the IUCN/SSC African Elephant Specialist Group and the Lusaka Agreement.

Part B

1. In the case where all of the conditions in this Decision are met, the Standing Committee shall make available the evaluation of legal and illegal trade and legal offtake as established through Resolution Conf. 9.16 (Rev.) as soon as possible after the experimental trade has taken place.
2. The Standing Committee shall identify in co-operation with the range States any negative impacts of this conditional resumption of trade and determine and propose corrective measures.

DRAFT DECISION OF THE CONFERENCE OF THE PARTIES

**Conditions for the Disposal of Ivory Stocks and Generating Resources  
for Conservation in Elephant Range States**

1. The African elephant range States recognize:
  - i) the threats that stockpiles pose to sustainable legal trade;
  - ii) that stockpiles are a vital economic resource which is important to them;
  - iii) that various funding commitments were made by donor countries and agencies to offset the loss of assets in the interest of unifying African elephant range States on Appendix I for African elephant populations;
  - iv) the significance of channelling such ivory assets into improving conservation and community-based conservation and development programmes;
  - v) the failure of donors to fund elephant conservation action plans drawn up by the range States at the urging of donor countries and conservation organizations; and
  - vi) that its ninth meeting at the Conference of the Parties to CITES was asked to review the issue of stockpiles and to report back to the 10th meeting of the Conference of the Parties.
2. Accordingly, the African elephant range States agree that all revenues from any purchase of stockpiles by donor countries and organizations will be deposited in and managed through conservation trust funds and that:
  - i) such funds shall be managed by Boards of Trustees (such as representatives of governments, donors, CITES Secretariat, etc.) set up, as appropriate, in each range State, which would direct the proceeds into enhanced conservation, monitoring, capacity building and local community-based programmes; and
  - ii) these funds must have a positive rather than harmful influence on elephant conservation.
3. It is understood that this Decision provides for a one-off purchase for non-commercial purposes of government stocks declared by African elephant range States to the CITES Secretariat within the 90-day period before the transfer of certain populations of the African elephant takes effect. The ivory-stock declaration should comply with the ivory marking system approved by the Conference of the Parties in Resolution Conf. 9.16. In addition, the source of ivory stocks should be given. The stocks of ivory should be consolidated in a predetermined number of locations. An independent audit of any declared stocks shall be undertaken under the auspices of TRAFFIC, in co-operation with the CITES Secretariat.
4. The balance of African elephant range States that have not yet been able to register their ivory stocks and develop adequate controls over ivory stocks require priority assistance from donor countries to establish a level of conservation management conducive to the long-term survival of the African elephant.
5. The African elephant range States therefore urge that this matter be acted upon urgently since any delays will result in illegal trade and the premature opening of ivory trade in non-proponent range States.
6. This mechanism only applies to those range States wishing to dispose of ivory stocks and agreeing to and participating in:
  - i) an international reporting and monitoring system for legal and illegal international trade, through an international database in the CITES Secretariat and TRAFFIC International; and
  - ii) an international reporting and monitoring system for illegal trade and illegal hunting within or between elephant range States, through an international database in the CITES Secretariat, TRAFFIC International and institutions such as the IUCN/SSC African Elephant Specialist Group and the Lusaka Agreement.

REVISION OF RESOLUTION CONF. 9.13

(prepared by the Secretariat from document Doc. 10.43.2 approved as amended by Committee II)

**Conservation of and Trade in Tigers**

AWARE that three subspecies of tiger, *Panthera tigris*, have become extinct within the last 50 years and that many of the surviving populations of the species have declined sharply within the last five years;

NOTING that wild populations of tigers are threatened by the combined effects of poaching and of habitat loss caused by disturbance, fragmentation and destruction;

AWARE also that the tiger is listed in Appendix I and international commerce in the species is prohibited;

NOTING that, despite inclusion of the species in Appendix I, illegal trade in tiger specimens has escalated, and could lead to extinction in the wild;

NOTING with alarm that the use of tiger-based medicines and products exists in many countries of the world;

NOTING further that the Standing Committee has called upon all Parties and non-Parties to the Convention to take such measures as are required to halt the illegal trade in tigers and tiger parts and derivatives;

RECOGNIZING that strengthened technical co-operation between range and non-range States, and financial support, would contribute to more effective tiger conservation;

RECOGNIZING also that long-term solutions to the protection, conservation and management of the tiger and its habitat require the adoption of bold and unprecedented actions;

ACKNOWLEDGING that increased political commitment, financial resources and expertise in some range and consumer States will significantly improve the control of the illegal killing of tigers, trade in their parts and derivatives, and protection of their habitat;

APPRECIATING the recent positive actions taken by some consumer States to address the illegal trade in tiger parts and derivatives;

COMMENDING the recent initiatives by some range Parties to facilitate co-operation in tiger conservation, including:

- a) India, which, with co-sponsorship from the United Nations Environment Programme (UNEP), convened the first meeting of tiger range States, in March 1994, to establish a Global Tiger Forum; also facilitated, with governmental and non-governmental support, the Global Tiger Forum in organizing a meeting of 11 tiger range States, three non-tiger range States and two donor agencies in March 1997 for promotion of technical co-operation, inter-State tiger conservation strategies, training and capacity building programmes and developing information-sharing systems for conservation of the tiger and control of trade in tiger parts and derivatives through international co-operative efforts;
- b) Thailand, which convened a workshop in October 1994 to map distribution of tigers and the status of their forest habitat in a Geographic Information System and to initiate regional co-operative action in this regard;
- c) Nepal, which convened a workshop in March 1996 of 11 tiger range countries to prepare a manual on systemic census techniques for tigers;
- d) the Russian Federation, which with the co-operation of other governments and NGOs, has established effective antipoaching patrols, officially expanded protected areas for tigers, adopted a national strategy for the

conservation of the Amur tiger, and completed a national tiger census;

- e) China, which convened a meeting of Asian countries, including tiger range and consumer nations, to discuss means of strengthening co-operation on wildlife trade matters, resulting in the Beijing Statement (1995); and
- f) Viet Nam, which hosted as workshop in March 1995 to promote co-operation between Lao People's Democratic Republic, Cambodia and Viet Nam to conserve tigers;

**THE CONFERENCE OF THE PARTIES TO THE CONVENTION**

**URGES:**

- a) all Parties and non-Parties, especially tiger range and consumer States, to adopt comprehensive legislation and enforcement controls as a matter of urgency, with the aim of eliminating trade in tiger parts and derivatives, in order to demonstrably reduce the illegal trade in tiger parts and derivatives by the 11th meeting of the Conference of the Parties;
- b) the Secretariat, where possible, to assist those Parties seeking to improve their legislation, by providing to them technical advice and relevant information;
- c) all Parties seeking to improve their legislation controlling the trade in tigers and tiger parts and derivatives, or to adopt such legislation, including penalties adequate to deter illegal trade, and to consider introducing national measures to facilitate implementation of CITES, such as voluntarily prohibiting internal trade in tigers and tiger parts and derivatives and products labelled as containing parts and derivatives of tiger;
- d) all Parties to treat any product claiming to contain tiger specimens as a readily recognizable tiger derivative and therefore subject to Appendix-I provisions, as provided for in Resolution Conf. 9.6, and where it does not now exist, to enact legislation to fully implement Appendix-I provisions for such products;
- e) those Parties and non-Parties in whose countries stocks of tiger parts and derivatives exist to consolidate and ensure adequate control of such stocks;
- f) all range States and consumer States that are not party to CITES to accede to the Convention at the earliest possible date; and
- g) tiger range and non-range States to support and participate in international tiger conservation programmes, and consider joining the Global Tiger Forum;

**RECOMMENDS:**

- a) that the governments of tiger range States and, where appropriate, non-range States, establish co-operative bilateral and multilateral arrangements for the management of shared wildlife species and protected habitats with common boundaries in order to achieve more effective control of illegal transborder movement of tigers and tiger parts and derivatives;
- b) that Parties and non-Parties convene regional workshops on law enforcement needs associated with transborder movement of tiger products and derivatives, with technical assistance from the CITES Sec-

retariat, and where available, financial support from interested governments and NGOs;

- c) that all range and consumer States strengthen communication and sharing of information by designating at least one contact person in order to establish a regional network to assist in the control of the illegal trade in tiger parts and derivatives; and
- d) all Parties and non-Parties to use fully the ECO-MESSAGE initiative of the Interpol, which relates to standard procedures for intelligence data exchange, for improved collaborative enforcement in the control of tiger trade;

REQUESTS:

- a) countries with the relevant expertise to assist range and consumer States to encourage and support, as a matter of urgency, the development of a forensic protocol for identifying tiger-bone derivatives in manufactured medicines, and establishment of forensic facilities and to provide other technical assistance to aid the detection and accurate identification of tiger parts and derived manufactured products; and
- b) that, given that biological and distribution data are essential for the implementation of the Convention, donor nations assist in funding the infrastructure and the provision of expertise to develop computer databases and mapping, as well as any other necessary conservation management and enforcement techniques;

RECOMMENDS that the governments of tiger-consumer States:

- a) work with traditional-medicine communities and industries to develop strategies for eliminating the use and consumption of tiger parts and derivatives;
- b) carry out appropriate education and awareness campaigns, making use of indigenous knowledge and traditional wisdom, directed at appropriate rural urban communities and other targeted groups in range States, on the ecological importance of the tiger, its prey and its habitat; and
- c) where necessary and appropriate, remove tiger products and derivatives from the official pharmacopoeia,

and include acceptable substitute products that do not endanger other wild species, and introduce programmes to educate industry and user groups in consumer States in order to eliminate the use of tiger-derived substances and promote the adoption of alternatives; and

CALLS UPON all governments and intergovernmental organizations, international aid agencies, and non-governmental organizations to provide, as a matter of urgency, funds and other assistance to stop the illegal trade in tigers and tiger parts and derivatives and to ensure the survival of the tiger in the wild.

In addition, the Conference of the Parties adopts the following decision directed to the Standing Committee:

The Standing Committee shall:

- a) continue its review of tiger trade issues in range and consumer States, by including illegal trade in tiger parts and derivatives as a priority issue at its 40th and 41st meetings, and to report to the Parties on progress made, with a view towards identifying on a country-by-country basis additional legislative and enforcement measures that may be necessary to stop the illegal trade in tigers and tiger parts and derivatives; and, as necessary, to advise those countries directly;
- b) in consultation with interested Parties and where appropriate, undertake technical and political missions to tiger range and consumer nations, to assist in developing strategies for improving tiger trade control and related activities;
- c) report to the 11th meeting of the Conference of the Parties on progress made in tiger range and consumer States in implementing the provisions of the Convention with respect to tiger trade and the measures included in this Resolution, including specific recommendations for reducing the illegal trade in tiger parts and derivatives, including manufactured medicines; and
- d) continue to review on an annual basis the progress of tiger range and consumer nations in controlling the illegal tiger trade, and the implementation of legislative and enforcement measures taken by them.

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES

(prepared by the Secretariat from document Doc. 10.79.1 approved as amended by Committee II)

**Traditional Medicines**

RECOGNIZING that wild fauna and flora are used in many forms of traditional medicine and that continued and uncontrolled use of several endangered species in these medicines has been the subject of concern among range states and consumer countries in view of the potential threat to the long-term survival of these species and the development of traditional medicine on a sustainable basis;

RECOGNIZING that most traditional medicine systems in East Asia were derived from traditional Chinese medicine which is a rational system of thought and practice developed over several millennia and involving extensive clinical observation and testing;

AWARE that the World Health Organization has acknowledged the importance of traditional medicines to the world's medicinal security and that millions of people depend on these medicines for primary health care;

CONVINCED of the need to improve understanding about the significance of traditional medicines in the world's health care systems whilst addressing the problems of over-exploitation of certain wild species;

ACKNOWLEDGING that many forms of traditional medicine depend on the sustainable harvesting of wild species for human healing;

RECALLING Resolutions Conf 8.15 and 9.19 which acknowledge that pressure on wild populations may be relieved by captive breeding and artificial propagation;

RECOGNIZING the importance of research into the use of substitutes for endangered species;

BELIEVING that adequate measures should be taken to conserve wild species at risk of over-exploitation to avoid their becoming threatened to the point where more severe measures may be necessary as in the case of the rhinoceroses and the tiger;

CONVINCED of the importance of comprehensive national legislation and its effective enforcement for the implementation of the Convention in all Party states;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS the Parties to:

- a) work closely with traditional medicine practitioner and consumer groups in developing public education and awareness programmes towards the reduction and eventual elimination of illegal use of endangered species and the need to avoid over-exploitation of other wild species;
- b) to ensure that, in accordance with Resolution Conf. 9.6, their national legislation effectively controls trade in all parts and derivatives of species used for healing purposes and in medicinal products containing or purporting to contain them;

- c) strengthen efforts to enforce legislation governing trade in threatened and endangered species and capitalize on the value of such action in focusing public attention on the importance of safeguarding wild populations;
- d) promote the development of techniques, including the application of forensic science, for identifying parts and derivatives used in traditional medicines;
- e) investigate the potential for further use in traditional medicines of substitutes for threatened wild species ensuring that this does not lead to other species becoming threatened; and
- f) consider, where appropriate and with sufficient safeguards, the application of artificial propagation and, in certain circumstances, captive breeding, to meet the needs of traditional medicine where this would relieve pressure on wild populations of species in accordance with national legislation; and

URGES potential donors to assist with funding actions to implement the measures in this Resolution.

In addition, the Conference of the Parties adopts the following draft decisions:

**Decision directed to the Animals Committee**

The Animals Committee, in its implementation of Conf. 8.9 shall review trade in animal species for use in traditional medicines to assess the implications for wild populations.

**Decisions directed to the Secretariat**

The Secretariat shall:

- a) include within the implementation of Resolution Conf. 8.4, a review of measures taken by Parties in their national legislation to control the import and export of medicinal products containing parts and derivatives of species listed in the appendices of the Convention;

and, subject to the availability of funds:

- b) review the need for measures to improve implementation of the Convention for monitoring trade in parts and derivatives of species listed in Appendices I and II which are traded in semi-processed form, manufactured form, or in manufactured medicinal products;
- c) collate information on proven identification techniques for parts and derivatives and the availability of substitutes for threatened wild species, including opportunities for further research;
- d) review the role of captive breeding and artificial propagation in the supply of products for traditional medicine;

and report to the Standing Committee before the 11th meeting of the Conference of the Parties.

REPORT OF THE WORKING GROUP ON REGIONAL REPRESENTATION  
(prepared from document Com. 10.38 adopted by the Conference of the Parties  
as amended by the Chairman of the working group)

Revision of Document Doc. 10.7

The working group held its first meeting on 17.06.97 at 12h30, with the following membership:

Colombia  
Japan  
United States of America  
Uruguay  
Chile (Chairman)  
CITES Secretariat

The second and last session took place on 18.06.97 at 13h00, with the participation of:

Colombia  
Costa Rica  
Uruguay  
Tunisia  
United States of America  
Chile (Chairman)

Preamble

As stated in paragraph 13 of document Doc. 10.7, that document should be considered by the Parties when meeting at the regional level during the 10th meeting of the Conference of the Parties. They should report to the Conference of the Parties, which should then decide whether amendments to Resolution Conf. 9.1 are necessary and/or whether guidelines or possibly decisions valid for all the regions should or could be established regarding their representation in the Standing Committee and the Animals and Plants Committees.

In accordance with its terms of reference, the working group made the following comments regarding the document under consideration, underlining that it was not considered in the regional meetings, in order to inform the Conference of the Parties, in view of its future decision. It must be stated that all these comments pursue the final goal of including the concepts of **communication, co-ordination and consultation between the Parties to the Convention and their representatives on the Standing Committee and on the Animals and Plants Committees.**

Changes to Annex 1 of document Doc. 10.7

A. In the subtitle: **Selection of regional members and alternate regional members**

Inclusion of the following paragraphs after paragraph 3 and deletion of paragraph 4.

4. It is proposed that the regional candidatures be officially submitted by the interested Parties through a governmental channel, at the latest 120 days before a meeting of the Conference of the Parties. These candidatures must be communicated to all the Parties of the region through the Secretariat.

If more candidatures are submitted than the available positions for any region, a vote shall take place in a session of the Parties of that region during a meeting of the Conference of the Parties. To be elected, a candidate must obtain an absolute majority (i.e. half the votes plus one). Only the Parties duly accredited by the Conference shall have the right to vote. The election shall take place during the second week of the meeting.

5. The election of a member and of his/her alternate shall take place at the end of the period, in accor-

dance with the above-mentioned procedure, through successive votes during a single process.

B. In the subtitle: **Shared or split representation**

Replacement of the paragraphs 5 to 10 by the following paragraph:

6. The regions with more than one member shall decide the way the representation shall be exercised until the next meeting of the Conference. This shall be reviewed at each meeting.

C. In the subtitle: **Status of alternate members**

It is proposed to eliminate paragraphs 11 and 12 and the subtitle as it does not provide any additional elements.

D. In the subtitle: **Timing of replacement ...**

No change is proposed.

E. In the subtitle: **Regional meetings ...**

Replacement of the text of paragraph 20 by the following:

14. The regional meetings shall have an official character and an agenda, and proceedings shall be prepared concerning the proposals and agreements dealt with.

Inclusion of a subtitle: **Duties of the regional representatives**

21. They shall maintain a fluid and permanent communication with the Parties and the Secretariat.

Before the meetings of the Standing Committee, the representative shall communicate to the Parties the items on the agenda, to request their opinions, preferably on matters specifically relevant to the countries or the region. On his/her part, he/she shall inform them of the results of the meeting. At least two regional meetings shall take place between meetings of the Conference of the Parties, one of which shall be specifically to deal with proposals to be submitted to the Conference at its next meeting. The regional representatives shall convene these meetings.

The regional representatives shall report in detail on their activities, initiatives and achievements at the regional meetings that are taking place during meetings of the Conference of the Parties. The Parties may make comments on these reports, which should be included in the proceedings.

Changes to Annexes 2 and 3 of document Doc. 10.7

It is proposed to add the following text to both Annexes 2 and 3, before the existing subtitle.

Election of the candidates

The proposals for candidates as representatives to the Committees shall be supported by the relevant governments in order to ensure as far as possible that they will obtain the necessary means to undertake their activities.

The names of the proposed candidates to the Animals and Plants Committees, and their *curricula vitae*, shall

be circulated to the Parties of the region at least 120 days before the meeting at which the representatives will be elected.

As long as the regional representatives on the Animals and Plants Committees are persons, a Party shall not be accepted as a proposed candidate, subject to a later identification of the persons concerned by the Party.

#### Changes to Resolution Conf. 9.1

The working group did not try to consider all the possible changes that could be made to Resolution Conf. 9.1, a task

that it would be better to undertake at future regional meetings before the next meeting of the Conference of the Parties. However, the proposed change, which envisages the concept of assessment of the accomplished management, was accepted by consensus.

1. Considering the need for the regional representatives to have the necessary means to properly administer the Convention and considering also the need to have regional representatives who demonstrate a proactive attitude, it is proposed that the duration of the mandate of the representatives be two years with the possibility to be re-elected for an additional period.

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES

[prepared by the Secretariat from document Doc. 10.73 (Rev. 2) Annex approved as amended by Committee II]

**Frequent Transborder Movements of Personally Owned Live Animals**

RECALLING that Article VII, paragraph 3, of the Convention provides that, other than in certain circumstances, the provisions of Articles III, IV and V shall not apply to specimens that are personal or household effects;

RECOGNIZING that, because the Convention does not define the term "personal or household effects", in Article VII, paragraph 3, this term may be interpreted by the Parties in different ways;

NOTING that Resolution Conf. 8.13, adopted at the eighth meeting of the Conference of the Parties (Kyoto, 1992), recognizes the use of coded microchip implants for marking live animals of Appendix-I species in trade, without excluding the use of other appropriate methods;

AWARE that live animals of species listed in the appendices to the Convention are often involved in frequent movement across international borders for a variety of legitimate purposes, including but not limited to companion or competition animals, and animals moved as household effects or for falconry purposes;

NOTING that the repeated granting of permits and certificates under Articles III, IV, V or VII of the Convention for live animals that undergo frequent movement across international borders poses problems of a technical and administrative nature and that such movement needs to be monitored closely to prevent illegal activities;

DESIRING that exemptions provided by the Convention not be used to avoid the necessary measures for the control of international trade in live animals of species listed in the appendices to the Convention;

RECOGNIZING that Article XIV, paragraph 1(a), of the Convention provides that the provisions of the present Convention shall in no way affect the right of Parties to adopt stricter domestic measures regarding the conditions of trade, taking, possession or transport of specimens of species included in Appendix I, II or III, or the complete prohibition thereof;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS:

- a) that the term "personal or household effects" in Article VII, paragraph 3, shall, for the purpose of the application of this Resolution include personally owned live animals that are based and registered in the owner's State of usual residence;
- b) that any Party may, only after agreement between Parties concerned issue to an owner of a legally acquired personally owned live animal residing in its State and registered with the Management Authority of the State of residence and wishing to travel to other States, a separate certificate of ownership for each live animal in his possession travelling to another State as personal or household effects;
- c) that a Management Authority shall not issue a certificate of ownership for a live animal of a species listed in the appendices that is a personal or household effect unless it is satisfied that the live animal is legally possessed by the applicant and that the animal has not been acquired in contravention of the provisions of the Convention;

- d) that the Management Authority shall require the applicant for a certificate of ownership to provide pertinent data regarding the live animal, including the species, sex, mark number or other identification, and the name and address of the applicant and the owner;
- e) that the certificate issued in accordance with paragraph b) above should include in box 5, or in another box if the standard permit form referred to in Resolution Conf. 9.3 is not used, the following language: "The specimen covered by this certificate, which permits multiple transborder movements, is owned for personal non-commercial use and may not be transported for commercial purposes. If the certificate holder is no longer in the possession of the live animal, the certificate must be immediately returned to the issuing Management Authority.";
- f) that when a live animal that is the subject of a certificate of ownership issued pursuant to this Resolution is no longer in the possession of the owner (escape, death, sale, theft, etc.), the original certificate of ownership shall be immediately returned to the issuing Management Authority;
- g) that certificates of ownership issued for live animals as personal or household effects be valid for a maximum period of three years to allow multiple imports, exports and re-exports of the individual live animal;
- h) that the Parties concerned treat certificates of ownership as a type of "passport" that allows the movement of live animals accompanied by their owners across their borders upon presentation of the original certificate to the appropriate border control officer who:
  - i) inspects and validates the original with an ink stamp, signature and date to show the history of movement from State to State; and
  - ii) does not collect the original at the border, but allows it to remain with the specimen;
- i) that Parties concerned inspect such live animal specimens to ensure that the live animals are transported and cared for in a manner that minimizes the risk of injury, damage to health or cruel treatment;
- j) that Parties concerned require that live animals that are personal or household effects be securely marked or otherwise appropriately identified and that this mark is included on the certificate so that the authorities of the State into which a live animal enters can verify that the certificate of ownership corresponds to the live animal in question;
- k) that when, during a stay in another State, a live animal travelling under a certificate of ownership produces progeny, the holder of the certificate of ownership must comply with the requirements of Articles III, IV or V to export and import such progeny from the State where the progeny was produced to his usual State of residence. For progeny produced from specimens travelling under a certificate of ownership, a certificate of ownership may be issued for such progeny when such progeny assumes the parent's State of residence;
- l) that when, during a stay in another State, a certificate of ownership for a live animal is lost, stolen or accidentally destroyed, only the Management Authority that issued the document may issue a duplicate. This

duplicate will bear the same number, if possible, the same date of validity as the original document, a new date of issuance, and contain the following statement: "This certificate is a true copy of the original";

- m) that the owner shall not sell or otherwise transfer a live animal that is a personal or household effect when

travelling outside of his usual State of residence, under the conditions of the certificate of ownership; and

- n) that Parties maintain records on the number of certificates issued and if possible include the certificate number and the scientific name of the species in their annual reports.

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES  
(prepared from document Doc. 10.91 by a working group of Committee II)

**Conservation of Sturgeons (Acipenseriformes)**

AWARE that Sturgeons represent a very valuable renewable biological and economic resource;

RECOGNIZING that in recent years their numbers and status have been affected by such negative anthropogenic factors as regulation of flow, decrease in natural spawning sites, poaching and illegal trade in sturgeon caviar and products;

RECOGNIZING also that some range States are not yet Parties to CITES and this fact could adversely affect the conservation of sturgeons;

NOTING that more scientific studies are urgently needed in order to assess the sustainability of sturgeon fisheries management;

CONSIDERING that Eurasian range States of sturgeons are in need of funds in order to develop management programmes for sturgeon conservation;

THE CONFERENCE OF THE PARTIES TO THE  
CONVENTION

URGES those Parties and countries that are range States of species in the order Acipenseriformes to:

- a) encourage scientific research particularly in the Eurasian region to promote the sustainability of sturgeon fisheries through management programmes;
- b) curtail the actual illegal fishing and export of sturgeon specimens by improving the enforcement of existing laws regulating fisheries and export in close contact with the CITES Secretariat, Interpol and World Customs Organization;
- c) explore ways of enhancing the participation of representatives of all agencies responsible for sturgeon fisheries in the conservation and sustainable-use programmes for these species; and
- d) promote regional agreements between range States of sturgeon species aiming at proper management and sustainable utilization of sturgeons;

RECOMMENDS:

- a) that Parties should provide the CITES Secretariat with copies of applicable legislation on CITES, including legislation on sturgeon species, particularly referring to the export of personal effects (property);
- b) that range States should inform the Secretariat about legal exporters of sturgeon parts and derivatives;

- c) that importing countries should be particularly vigilant in controlling the unloading of sturgeon products;
- d) that Parties should ensure that all relevant agencies within a Party co-operate on the necessary organization, scientific, and control mechanisms needed to implement the sturgeon listing, and any projects designed to conserve sturgeon species;
- e) that Parties should consider the harmonization of their national legislation related to personal exemptions for caviar, to allow for the personal effects exemption under Article VII, paragraph 3, and consider limiting this exemption to no more than 250 g per person;
- f) that range States of sturgeon species included in Appendix II in accordance with Article II, 2(a), should consider the feasibility of developing annual export quotas of sturgeon products and communicate such quotas to the CITES Secretariat;
- g) that Parties should monitor the storage, processing and re-conditioning of sturgeon products in Customs free zones and free ports, and from airline and cruise line catering;
- h) that the CITES Secretariat, in consultation with the Animals Committee, should explore the development of a uniform marking system for sturgeon products and aquaculture stocks to assist in subsequent identification of these species while consulting with appropriate experts in fisheries, aquaculture and industry, and particularly in collaboration with range States; and
- i) that Parties immediately endorse the consideration of the trade in sturgeon products by the Animals Committee under the Significant Trade Review process pursuant to Resolution Conf. 8.9;

URGES the range States, in collaboration with the CITES Secretariat and other international organizations from both industry and the conservation community, with external funding, to develop a strategy including action plans for the conservation of Eurasian sturgeon species; and

URGES Parties, international organizations, United Nations Specialized Agencies as well as intergovernmental and non-governmental organizations and industry to provide financial assistance for projects on sturgeon species developed by the range States in collaboration with the CITES Secretariat.

DRAFT DECISION OF THE CONFERENCE OF THE PARTIES  
(prepared by the delegation of Switzerland after discussion in Committee I)

**Annotations in the Appendices**

**Decision directed to the Standing Committee**

The Standing Committee shall consider ways and means of clarifying legal and implementation issues related to the use

of annotations in the appendices and shall present a report to the 11th meeting of the Conference of the Parties.

Annex 3

Budget Estimates for the Medium-term Plan 1998-2002

(figures provided in USD are only indicative, using the exchange rate of USD 1.00 = CHF 1.43)

Budget line	Description	1998		1999		2000		2001		2002	
		CHF	USD								
1100	Professional staff	2,213,666	1,548,018	2,277,666	1,592,773	2,343,666	1,638,927	2,460,849	1,720,874	2,619,316	1,831,689
1200	Consultants	85,000	59,441	180,000	125,874	105,000	73,427	110,250	77,098	207,000	144,755
1300	Support staff	1,203,000	841,259	1,706,000	1,193,007	1,254,000	876,923	1,316,700	920,769	1,961,900	1,371,958
1600	Travel	230,000	160,839	455,000	318,182	260,000	181,818	273,000	190,909	523,250	365,909
2100	Sub-contracts	554,000	387,413	584,000	408,392	569,000	397,902	597,450	417,797	671,600	469,650
3200	Training	90,000	62,937	50,000	34,965	90,000	62,937	94,500	66,084	57,500	40,210
3300	Meetings/Committees	180,000	125,874	230,000	160,839	182,000	127,622	191,625	134,004	264,500	184,965
4000	Premises and equipment	150,000	104,895	160,000	111,888	170,000	118,881	178,500	124,825	184,000	128,671
5100	Maintenance costs	175,000	122,378	185,000	129,371	185,000	129,371	194,250	135,839	212,750	148,776
5200	Reporting costs	56,250	39,336	181,250	126,748	96,250	67,308	101,063	70,673	208,437	145,760
5300	Sundry	315,000	220,280	465,000	325,175	315,000	220,280	330,750	231,294	534,750	373,951
5400	Hospitality	10,000	6,993	10,000	6,993	10,000	6,993	10,500	7,343	11,500	8,042
	Total allocations	5,261,916	3,679,662	6,483,916	4,534,207	5,580,416	3,902,389	5,859,437	4,097,508	7,456,503	5,214,338
6000	Administrative costs – UNEP (13%)	684,049	478,356	842,909	589,447	725,454	507,311	761,727	532,676	969,345	677,864
<b>9999</b>	<b>GRAND TOTAL</b>	<b>5,945,965</b>	<b>4,158,018</b>	<b>7,326,825</b>	<b>5,123,654</b>	<b>6,305,870</b>	<b>4,409,699</b>	<b>6,621,164</b>	<b>4,630,184</b>	<b>8,425,849</b>	<b>5,892,202</b>