

Decisions of the Conference of the Parties

NOTE FROM THE SECRETARIAT

The source documents for the Decisions are indicated below.

Decisions	Sources
Regarding the Strategic Plan for the Convention	
11.1	Doc. 11.12.2
Regarding the review of criteria for amendment of Appendices I and II	
11.2	Doc. 11.25 Annex
Regarding ivory	
11.3	<i>ex-10.2</i>
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11.4	Com. 11.8
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11.5	Com. 11.1 Annex 2
11.6	Com. 11.1 Annex 2
11.7	Com. 11.1 Annex 2
11.8	Com. 11.33
11.9	<i>ex-9.1</i>
11.10	<i>ex-9.2</i>
11.11	<i>ex-9.3</i>
11.12	<i>ex-9.4</i>
11.13	<i>ex-9.5</i>
11.14	Doc. 11.16, paragraph 7 b)
11.15	Com. 11.2
11.16	Com. 11.2
11.17	Com. 11.2
11.18	Com. 11.2
11.19	Com. 11.2
11.20	Com. 11.2
11.21	Com. 11.2
11.22	<i>ex-9.6</i>
11.23	<i>ex-9.7</i>
11.24	<i>ex-9.8</i>
11.25	<i>ex-9.9</i>
11.26	<i>ex-9.10</i>
11.27	<i>ex-9.11</i>
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11.32	<i>ex-9.15</i>
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11.36	<i>ex-9.19</i>
11.37	Doc. 11.19 Annex 1
11.38	<i>ex-9.20</i>
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11.43	Com. 11.22
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11.46	Com. 11.22
11.47	Doc. 11.30 (Rev. 1), paragraph 83. a)
11.48	Com. 11.32, paragraph d)
11.49	Com. 11.32, paragraph e)
11.50	Doc. 11.30 (Rev. 1), paragraph 83. k)
11.51	Doc. 11.30 (Rev. 1), paragraph 83. l)
11.52	Doc. 11.30 (Rev. 1), paragraph 83. m)
11.53	Doc. 11.30 (Rev. 1), paragraph 83. n)
11.54	Doc. 11.30 (Rev. 1), paragraph 83. o)
11.55	Doc. 11.30 (Rev. 1), paragraph 83. p)
11.56	Doc. 11.30 (Rev. 1), paragraph 83. q)
11.57	Com. 11.12
11.58	Com. 11.4 and Plen. 11.5
11.59	Com. 11.4
11.60	<i>ex-9.21</i>
11.61	<i>ex-9.22</i>
11.62	<i>ex-10.52</i> as amended on the basis of Doc. 11.38.1
11.63	Com. 11.11
11.64	<i>ex-10.54</i>
11.65	<i>ex-10.55</i>
11.66	<i>ex-9.23</i>
11.67	<i>ex-10.57</i>
11.68	Doc. 11.11.4.2 and Com. 11.30
11.69	Com. 11.34

Decisions	Sources
Directed to the Chairmen of meetings of the Conference of the Parties and Chairmen of Committees I and II and the Budget Committee	
11.70	Doc. 11.16, paragraph 7. c)
11.71	Doc. 11.16, paragraph 7. d)
Directed to the Chairmen of Committees I and II	
11.72	<i>ex-9.24</i>
11.73	Doc. 11.16, paragraph 7. e)
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11.74	Com. 11.1 Annex 2
11.75	Com. 11.1 Annex 2
11.76	Com. 11.1 Annex 2
11.77	Com. 11.2
11.78	Com. 11.33
11.79	Com. 11.33
11.80	Com. 11.22
11.81	Com. 11.32, paragraph b)
11.82	Com. 11.32, paragraph c)
11.83	Com. 11.12
11.84	<i>ex-10.67</i> as amended on the basis of Com. 11.38.1, paragraph 14
11.85	<i>ex-10.68</i>
11.86	<i>ex-10.69</i> as amended on the basis of Com. 11.38.1, paragraph 14
11.87	Com. 11.31 (Rev. 1), paragraph b)
11.88	Com. 11.31 (Rev. 1), paragraph c)
11.89	Doc. 11.19 Annex 1
Directed to the Animals Committee	
11.90	Com. 11.1 Annex 2
11.91	Com. 11.23
11.92	Com. 11.12
11.93	Com. 11.7 Annex, paragraph 3
11.94	Doc. 11.11.1 Annex, paragraph a)
11.95	Com. 11.4
11.96	Com. 11.4
11.97	Com. 11.6, last two paragraphs
11.98	Com. 11.9, paragraph a) under DIRECTS
11.99	Com. 11.9, paragraph b) under DIRECTS
11.100	<i>ex-10.76</i>
11.101	Doc. 11.11.1 Annex, paragraph b)
11.102	Com. 11.28

Decisions	Sources
11.103	Com. 11.31 (Rev. 1), paragraph a)
11.104	Com. 11.31 (Rev. 1), paragraph b), introduction
11.105	Com. 11.31 (Rev. 1), paragraph c)
11.106	Doc. 11.41.2 Annex 2
11.107	<i>ex-10.80</i>
11.108	<i>ex-10.81</i>
11.109	<i>ex-10.82</i>
Directed to the Plants Committee	
11.110	Com. 11.1 Annex 2
11.111	Com. 11.11
11.112	Com. 11.26
11.113	Com. 11.26
11.114	Com. 11.25
11.115	<i>ex-10.86</i>
11.116	<i>ex-10.87</i> as amended on the basis of Doc. 11.38.1, paragraph 20
11.117	Doc. 11.41.2, Annex 2
11.118	Com.I 11.5, item 3
Directed to the Nomenclature Committee	
11.119	Doc. 11.11.4.1, paragraphs 26-28
11.120	Com. 11.30
Directed to the Secretariat	
11.121	<i>ex-9.16</i>
11.122	<i>ex-9.27</i>
11.123	<i>ex-9.28</i>
11.124	Doc. 10.5 Annex 2, paragraph 3 and Doc. 11.7, paragraph 8
11.125	Doc. 10.5 Annex 2, paragraph 1, and Doc. 11.7, paragraph 8
11.126	Doc. 10.5 Annex 2, paragraph 2, and Doc. 11.7, paragraph 8
11.127	Doc. 11.16, paragraph 7.a)
11.128	Doc. 11.16, paragraph 7.f)
11.129	Com. 11.33, paragraph 4
11.130	Com. 11.33, paragraph 5
11.131	Com. 11.1 Annex 2
11.132	Doc. 11.21.1 Annex 3
11.133	<i>ex-9.29</i>
11.134	<i>ex-9.30</i>
11.135	<i>ex-10.118</i>
11.136	Doc. 11.20.2 Annex
11.137	<i>ex-9.31</i>

Decisions	Sources
11.138	<i>ex-9.32</i>
11.139	Com. 11.23
11.140	Doc. 11.30 (Rev. 1) Annex 2, paragraph 83. a)
11.141	Doc. 11.30 (Rev. 1) Annex 2, paragraph 83. e)
11.142	Doc. 11.30 (Rev. 1) Annex 2, paragraph 83. f)
11.143	Doc. 11.30 (Rev. 1) Annex 2, paragraph 83. g)
11.144	Doc. 11.30 (Rev. 1) Annex 2, paragraph 83. h)
11.145	Doc. 11.30 (Rev. 1) Annex 2, paragraph 83. i)
11.146	Doc. 11.30 (Rev. 1) Annex 2, paragraph 83. j)
11.147	Doc. 11.30 (Rev. 1) Annex 2, paragraph 83. l)
11.148	Doc. 11.30 (Rev. 1) Annex 2, paragraph 83. m)
11.149	Com. 11.12
11.150	Com. 11.7 Annex 1
11.151	Doc. 11.11.1 Annex
11.152	Com. 11.4
11.153	Com. 11.6
11.154	Com. 11.9
11.155	<i>ex-10.127</i> , updated
11.156	<i>ex-10.130</i> , updated
11.157	<i>ex-9.33</i> , updated
11.158	<i>ex-9.34</i>
11.159	<i>ex-9.35</i>
11.160	<i>ex-9.36</i>
11.161	<i>ex-9.38</i> , updated to eliminate items
11.162	Com. 11.29 and Com.II 11.12, item 53
11.163	Com. 11.28
11.164	Com. 11.24
11.165	Doc. 11.56 Annex, as amended on the basis of Com.II. 11.10, paragraph 56
11.166	Doc. 11.44, Annex 3
11.167	Com. 11.30
11.168	Doc. 11.11.4.2, paragraph 7
11.169	<i>ex-9.39</i>
11.170	Com. 11.34

Regarding the Strategic Plan for the Convention

- 11.1 The Conference of the Parties adopted the Strategic Vision through 2005 and the Action Plan attached as Annex 1 to these Decisions.

Regarding the review of criteria for amendment of Appendices I and II

Terms of reference for the review of the criteria for amendment of Appendices I and II

- 11.2 The Conference of the Parties adopted the terms of reference for the review of the criteria for amendment of Appendices I and II attached as Annex 2 to these Decisions.

Regarding ivory

Conditions for the disposal of ivory stocks and generating resources for conservation in African elephant range States

- 11.3 (ex-10.2¹) a) The African elephant range States recognize:
- i) the threats that stockpiles pose to sustainable legal trade;
 - ii) that stockpiles are a vital economic resource for them;
 - iii) that various funding commitments were made by donor countries and agencies to offset the loss of assets in the interest of unifying these States regarding the inclusion of African elephant populations in Appendix I;
 - iv) the significance of channelling such assets from ivory 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, at its ninth meeting, the Conference of the Parties directed the Standing Committee to review the issue of stockpiles and to report back at the 10th meeting.

¹ Amended at the 11th meeting of the Conference of the Parties

- b) 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, the 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.
- c) 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 to Appendix II of certain populations of the African elephant takes effect. The ivory stocks declared should be marked in accordance with the ivory marking system approved by the Conference of the Parties in Resolution Conf. 10.10 (Rev.). In addition, the source of ivory stocks should be given. The stocks of ivory should be consolidated in a pre-determined number of locations. An independent audit of any declared stocks shall be undertaken under the auspices of TRAFFIC International, in cooperation with the CITES Secretariat.
- d) The 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.
- e) 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.
- f) This mechanism only applies to those range States wishing to dispose of ivory stocks and agreeing to and participating in:
- i) an international system for reporting and monitoring legal and illegal international trade, through an international database in the CITES Secretariat and TRAFFIC International; and
 - ii) an international system for reporting and monitoring illegal trade and illegal hunting within or between elephant range States, through an international database in the CITES Secretariat, with support from TRAFFIC International and institutions such as the IUCN/SSC African Elephant Specialist Group and the Lusaka Agreement.

Regarding conservation of *Swietenia macrophylla*

Establishment of a Mahogany Working Group of the Conference of the Parties

- 11.4
- a) The Parties agree to establish a *Swietenia macrophylla* (bigleaf mahogany) Working Group. This Working Group should report to the Conference of the Parties at its 12th meeting.
 - b) This Working Group shall include all range States for *Swietenia macrophylla*, principal importing countries and a representative to be designated by the Plants Committee.

- c) The Mahogany Working Group shall:
 - i) review the effectiveness of current and potential Appendix-III listings;
 - ii) analyse legal and illegal trade;
 - iii) review studies of the status of the species;
 - iv) encourage the exchange of information by CITES Management and Scientific Authorities on the implementation of the Convention and import/export controls;
 - v) study appropriate measures to widen the geographic scope of Appendix-III listings;
 - vi) assess and analyse the results of the action specified in paragraphs i) to v) above;
and
 - vii) present a report on its findings as well as its recommendations for consideration at the 12th meeting of the Conference of the Parties.
- d) The Secretariat shall convene a meeting of the Mahogany Working Group within one year after the 11th meeting of the Conference of the Parties, to meet with experts in the species including: representatives from relevant multilateral organizations such as ITTO, IFF, UNFF, and FAO as well as IUCN, TRAFFIC; and other relevant technical experts as appropriate.
- e) The fulfilment of these Terms of Reference and the convening of any meetings of the Mahogany Working Group shall be dependent on the availability of funding. Interested donor agencies and conservation and trade organizations are encouraged to provide funding to facilitate this effort.

Directed to the Parties

Regarding regional representation in the Standing Committee

11.5 The following guidelines should be implemented.

A. Selection of regional members and alternate regional members

- a) The membership of the Standing Committee is determined in Resolution Conf. 11.1 Annex 1. In the selection of regional members and alternate regional members, the following considerations should be taken into account:
 - i) for regions with one member and one alternate member, a rotation in the selection is recommended; and
 - ii) for regions with more than one member and one alternate member, the selection should try to achieve a balanced representation (geopolitical, cultural, ecological).
- b) The regional candidatures should be officially submitted by the interested Parties through a governmental channel, at least 120 days before a meeting of the Conference of the Parties. These candidatures should be communicated to all the Parties of the region through the Secretariat.
- c) If more candidatures are submitted than there are positions available for any region, a vote should take place in a session of the Parties of that region to be held during the meeting of the Conference of the Parties. To be elected, a candidate should obtain an absolute majority (i.e. more than half the votes). Only the delegations duly accredited by the Conference should have the right to vote. The election should take place during the second week of the meeting.
- d) The election of a member and of the alternate should take place at the end of the term of office of their predecessors, in accordance with the above-mentioned procedure, through successive votes during a single process.

B. Timing of replacement of members and alternate members

In accordance with Resolution Conf. 11.1, the terms of office of the regional members shall commence at the close of the regular meeting at which they are elected and shall expire at the close of the second regular meeting thereafter. The Resolution does not refer to alternate members but it may be assumed that the same rule applies. It is followed in the paragraphs below:

- a) for regions with one member and one alternate member, the selection may be conducted as it has been so far, taking into account however the recommendation made in paragraph A a) i); and
- b) for regions with more than one member and one alternate member, to guarantee some continuity, not all members and alternate members should be changed at the same meeting.

Regarding regional sessions at meetings of the Conference of the Parties

- 11.6
- a) The regional sessions have an official character and should have an agenda. Proceedings should be prepared concerning the proposals and agreements dealt with.
 - b) The chairman of each regional session should be the representative of a regional member of the Standing Committee.
 - c) Each region has specific tasks to fulfil, as follows:
 - i) selection, if appropriate, of members and alternate members of the Standing Committee, which are Parties;
 - ii) selection of the members and alternate members of the Animals and Plants Committees. In accordance with Resolution Conf. 11.1 Annex 2, the members and alternate members of the Animals and Plants Committees are persons. Although this is not indicated in the Resolution, the persons to be chosen should be experts in animals or plants in general and of the region they are representing in particular. Decision 11.7 provides information on the timing of replacement that could help the regions to make their decisions;
 - iii) the regions with more than one member should decide the way the representation should be exercised until the next meeting of the Conference. This should be reviewed at each meeting; and
 - iv) other tasks depending to a large extent on the agenda of the meeting of the Conference of the Parties. The regional representatives, perhaps with the help of their alternates, should establish the agenda of the session before the session. This agenda should cover the points mentioned in paragraphs a) and b) and provide for discussion of the main items of the agenda of the meeting to be considered by the Conference of the Parties, at plenary sessions or at sessions of Committees I and II, in particular those of special interest to the region concerned.

Regarding regional representation in the Animals and Plants Committees

- 11.7 The following guidelines should be implemented.
- A. Election of the candidates
- a) The proposals for candidates as representatives should 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.
 - b) The names of the proposed candidates, and their *curricula vitae*, should be circulated to the Parties of the region concerned at least 120 days before the meeting of the Conference of the Parties at which the representatives will be elected.
 - c) Ideally the candidates should be associated with a Scientific Authority, have adequate knowledge of CITES and receive sufficient institutional support to carry out their duties. This information should also be included in the *curricula vitae*.
 - d) As long as the regional representatives are persons, a Party shall not be accepted as a proposed candidate, subject to a later identification of the person concerned

by the Party.

B. Timing of replacement of members and alternate members

- a) If the same procedure as that for the Standing Committee is applied, the present members and alternate members should be replaced as follows:
 - i) for regions with one member and one alternate member, the selection should be conducted as it has been so far for the Standing Committee, taking into account however that a rotation in the selection is recommended; and
 - ii) for regions with two members and two alternate members, to guarantee some continuity, the two members should not be changed at the same meeting.
- b) As alternate members are alternates of specified members, they should be elected at the same time as the members.
- c) If a region wishes to re-elect a member or alternate member, there is nothing to prevent it from doing so.

Regarding financing of the conservation of species of wild fauna and flora

- 11.8 The Parties should provide to the Standing Committee working group on financing conservation of species of wild fauna and flora all relevant information regarding existing funds or those being established in territories under their jurisdiction.

Regarding entry into force of Resolutions and Decisions of the Conference of the Parties

- 11.9 *(ex-9.1)* The recommendations contained in Resolutions and Decisions adopted by the Conference of the Parties shall be effective from the date on which they are sent by Notification to the Parties at the latest, unless otherwise specified in the recommendation concerned.
- 11.10 *(ex-9.2)* Their implementation by the individual Parties is subject to the procedures required under their national legislation.

Regarding submission of amendment proposals, draft resolutions and other documents

- 11.11 *(ex-9.3)* The term "the text of the proposed amendment" in Article XV, paragraph 1, of the Convention includes the substantially complete supporting statement accompanying it, and this interpretation is extended to certain amendment proposals draft resolutions and other documents submitted for consideration at meetings of the Conference of the Parties, for which deadlines for submission are established under Resolutions of the Conference.

Regarding preparation of draft resolutions of the Conference of the Parties

- 11.12 When drafting a resolution that is intended to be exhaustive, or to treat a subject comprehensively, or to make significant changes in the way in which a subject is dealt

- (ex-9.4) with, a Party should prepare the draft so that, if adopted, it will replace and repeal all existing Resolutions (or, as appropriate, the relevant paragraphs) on the same subject.
- 11.13
(ex-9.5) Unless practical considerations dictate otherwise, draft resolutions should not include:
- a) instructions or requests to Committees, Working Groups or the Secretariat, unless they are part of a long-term procedure;
 - b) decisions on the presentation of the Appendices; and
 - c) recommendations (or other forms of decision) that will be implemented soon after their adoption and will then be obsolete.
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Regarding contributions by observers at meetings of the Conference of the Parties

- 11.14 In selecting venues for future meetings of the Conference of the Parties, the Parties should make every effort to ensure that the venues selected have space for observers on the floors of the halls for the plenary sessions, Committee I, Committee II and the Budget Committee.
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Regarding implementation of Resolution Conf. 8.4

- 11.15 In paragraph 18 of document Doc. 11.21.1, the Secretariat brought to the attention of the Conference of the Parties that four Parties whose legislation was analysed during Phase 3 of the National Legislation Project, namely Fiji, Turkey, Viet Nam and Yemen, have high volumes of international trade in specimens of CITES-listed species and their national legislation is believed generally not to meet the requirements for implementation of CITES (Category 3). These Parties:
- a) before 31 October 2001 should adopt adequate legislation to implement the Convention;
 - b) may request technical assistance from the Secretariat in order to prepare such legislation. The Parties that require assistance shall receive the guidelines for the preparation of legislation, training for the CITES authorities and others responsible for the formulation of measures requiring legislation, as well as any technical support specified in their requests relevant to the development of national legislation; and
 - c) should report to the Secretariat any progress made in this regard no later than 30 April 2001.
- 11.16 All Parties should, from 31 October 2001, if so advised by the Standing Committee, refuse any import of specimens of CITES-listed species from, and any export or re-export of such specimens to, the Parties listed in Decision 11.15, if, in spite of the assistance, the Parties concerned do not adopt the legislation required under the text of the Convention.
- 11.17 The remaining Category 3 Parties whose legislation was analysed in Phase 3:
- a) should take steps to enact legislation for implementation of the Convention;
 - b) may request technical assistance from the Secretariat in order to prepare such legislation; and
 - c) should report to the Secretariat any progress made in this regard no later than six

months prior to the 46th meeting of the Standing Committee.

- 11.18 The following action should be taken in relation to the Parties identified in Decisions 10.19 to 10.23 that have not complied with those Decisions, and that have been identified as Parties having high volumes of international trade in specimens of CITES-listed species:
- a) such Parties should take all necessary measures to enact national legislation for the implementation of CITES and to ensure that this legislation will be in effect no later than 30 days before the 45th meeting of the Standing Committee;
 - b) Parties referred to in this Decision should report to the Secretariat any progress made in this regard no later than six months before the 45th meeting of the Standing Committee;
 - c) with respect to Parties referred to in this Decision that have not complied with paragraph a), the Standing Committee, at its 45th meeting, shall consider appropriate measures, which may include restrictions on the commercial trade in specimens of CITES-listed species to or from such Parties; and
 - d) Parties that are preparing national legislation to fulfil the requirements established by the text of the Convention may request technical assistance from the Secretariat.
- 11.19 The following action should be taken in relation to the Parties identified in Decisions 10.19 to 10.23 that have not yet complied with those Decisions, and that have been identified as Parties not having high volumes of international trade in specimens of CITES-listed species:
- a) such Parties should take all necessary measures to enact national legislation for implementation of CITES and to ensure that this legislation will be in effect no later than 30 days before the 46th meeting of the Standing Committee;
 - b) Parties referred to in this Decision should report to the Secretariat any progress made in this regard no later than six months before the 46th meeting of the Standing Committee;
 - c) with respect to Parties referred to in this Decision that have not complied with paragraph a), the Standing Committee, at its 46th meeting, shall consider appropriate measures, which may include restrictions on the commercial trade in specimens of CITES-listed species to or from such Parties; and
 - d) Parties that are preparing national legislation to fulfil the requirements established by the text of the Convention may request technical assistance from the Secretariat.
- 11.20 All Parties referred to in Decisions 11.15 to 11.19 should 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.
- 11.21 If any of the Parties whose legislation was analysed in Phase 3 believes that the Secretariat's analysis of legislation is not accurate, it should, by 1 August 2000, provide to the Secretariat:
- a) 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
 - b) its comments as to how such legislation applies to the implementation of CITES.

Regarding issuance of permits

- 11.22
(*ex-9.6*) The Parties should not issue permits for pre-Convention stocks, except for export to countries having become Parties to the Convention after the date of entry into force of the Convention in the issuing country or for export to States not party to the Convention.
- 11.23
(*ex-9.7*) The Parties should verify the origin and the species of specimens for which they issue export permits, in order to avoid permits being issued for specimens of Appendix-I species when the transaction is for primarily commercial purposes and no import permit has been previously issued.
- 11.24
(*ex-9.8*) The Parties should be particularly vigilant regarding the issuance of documents for very valuable specimens and specimens of species included in Appendix I.
- 11.25
(*ex-9.9*) To avoid abusive or fraudulent use, the Parties should not use forms for their internal-trade certificates that are identical to CITES forms.

Regarding acceptance of permits

- 11.26
(*ex-9.10*) The Parties should check with the Secretariat when they have doubts about the validity of permits accompanying suspect shipments.
- 11.27
(*ex-9.11*) The Parties should ask for the Secretariat's advice before accepting the import of live specimens of Appendix-I species declared as bred in captivity.

Regarding control and checking of shipments of CITES specimens

- 11.28
(*ex-10.30*) In order to improve enforcement, Parties should take the necessary measures to develop a comprehensive strategy for border controls, audits and investigations, by:
- a) taking into account the different procedures for Customs clearance of goods and Customs procedures such as transit, temporary admission, warehouse storage, etc.;
 - b) ensuring that officers in charge of control are aware of and trained in CITES matters regarding, for example, CITES requirements, identification of specimens and the handling of live animals;
 - c) 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;
 - d) conducting physical examination of goods, based on a policy of risk assessment and targeting;
 - e) increasing the quality of controls at the time of export and re-export; and
 - f) providing the necessary resources in order to reach these objectives.

Regarding illegal trade

- 11.29 (ex-9.12) When a Party is presented with a false document, it should do everything in its power to find out where the specimens are and where the false document originated.
- 11.30 (ex-9.13) When a Party is informed by the Secretariat of the fraudulent use of documents issued by that Party, it should carry out an inquiry to identify the instigators of the crime, calling on ICPO-Interpol where necessary.
- 11.31 (ex-9.14) When specimens are seized, the Parties concerned should do all they can to identify and convict those responsible.

Regarding violations of the Convention by diplomats and troops serving under the flag of the United Nations

- 11.32 (ex-9.15) The Parties are urged to remind their diplomatic missions, their delegates on mission in foreign countries and their troops serving under the flag of the United Nations that they are not exempted from the provisions of the Convention.

Regarding annual reports

- 11.33 (ex-9.16) Those Parties failing to submit annual reports regularly should make greater efforts to comply with this requirement and should inform the Secretariat urgently if the situation can be remedied through the provision of technical assistance.
- 11.34 (ex-9.17) Parties submitting their reports late should identify the main causes of this shortcoming and take urgent steps to remedy the situation.
- 11.35 (ex-9.18) Parties that do not report the plant trade at all should be encouraged to do so through the provision of technical and financial assistance to set up reporting systems.
- 11.36 (ex-9.19) Parties wishing to continue to distribute their annual reports to other Parties should undertake this responsibility themselves.
- 11.37 From 1 January 2001, Parties should not authorize any trade in specimens of CITES-listed species with any Party that the Standing Committee has determined has failed, without having provided adequate justification, to provide the annual reports required under Article VIII, paragraph 7 (a), of the Convention for three consecutive years within the deadline established in Resolution Conf. 11.17, or the extended deadline that is provided for in that Resolution.

Regarding biennial reports

11.38 (ex-9.20) The Parties should make greater efforts to provide to the Secretariat the biennial reports required under Article VIII, paragraph 7 (b), of the Convention, in particular because of the importance of information on changes that have occurred with regard to national legislation for implementation of CITES.

Regarding cooperation in monitoring illegal trade in whale parts and derivatives

11.39 (ex-10.40) All countries concerned are encouraged to voluntarily:

- a) inventory all frozen whale parts and derivatives possessed in commercial quantities, indicating the species, quantity and geographic origin; and
- b) collect and inventory skin or meat samples for DNA identification from all such frozen whale specimens.

11.40 (ex-10.41) All countries concerned should 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; and
- c) taken incidentally to other fishing operations, and if any specimens from these whales will be entered into commerce.

11.41 (ex-10.42) All countries concerned are invited to cooperate in determining sources of whale parts and derivatives, and the species concerned, in cases of smuggling, by:

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

11.42 (ex-10.43) Every country concerned is urged to submit to the CITES Secretariat any information relevant to its inventory of whale parts and derivatives and to examination of unknown whale products, for dissemination by the Secretariat to interested Parties upon request.

Regarding trade in bear specimens

11.43 Parties should send reports to the Secretariat by 31 July 2001 documenting any action taken to implement Resolution Conf. 10.8 (or any revision) for submission to the Standing Committee.

- a) Parties should report to the Secretariat on whether their national or sub-national legislation controls trade in bear parts and derivatives, as well as in products labelled as

containing parts and derivatives of bear, and whether such controls apply to all CITES-listed bear species

b) Parties should inform the Secretariat what specific penalties exist for violations of existing national and sub-national laws to regulate the trade in bear parts.

11.44 Parties are encouraged to share forensic technology to assist Parties lacking sufficient capabilities for the identification of bear parts and derivatives, and for examination of products labelled as containing parts and derivatives of bear.

11.45 Parties should consider, where appropriate, introducing measures within their territory to facilitate implementation of CITES with respect to the trade in bear parts and derivatives and products labelled as containing parts and derivatives of bear.

11.46 Parties are encouraged to evaluate the recommendations of the CITES Tiger Missions Technical Team and CITES Political Missions and, where appropriate, to apply these recommendations to the conservation of bears and trade in bear specimens, particularly with respect to bear species included in Appendix I.

Regarding conservation of the tiger and trade in tiger specimens

11.47 Range and consumer States that were visited by the Technical Team and had not reported to the Secretariat their response to the Team's recommendations by the time of the 11th meeting of the Conference of the Parties, should do so by 31 August 2000.

11.48 All Parties, non-Parties, international organizations and non-governmental organizations are encouraged to provide financial support to tiger conservation in India. However, India is encouraged to demonstrate that measures are or will be in place to allow the efficient disbursement of funds for tiger conservation.

11.49 India should establish a specialized unit to combat wildlife crime and illicit trade. The Conference of the Parties urges India to determine how the Union, working with the States, could investigate serious incidents of wildlife crime and coordinate action at Union and States levels. India should also review the process for issuing specific instructions to State police managers to increase action against wildlife crime and ensure that responses from police managers are monitored.

11.50 Parties with appropriate expertise and experience in combating poaching and illicit trade are encouraged to participate in the provision of training. Additionally, they are encouraged to provide continuing support through the secondment of enforcement officers to enable in-the-field and on-the-job training to take place. Priority for such a secondment might be given to the proposed specialized unit in India.

11.51 All range and consumer States should take measures to increase awareness of wildlife crime and illicit wildlife trade among their enforcement, prosecution and judicial authorities.

11.52 Every consumer and range State that seizes an illicit shipment of tiger parts or derivatives, and any Party that intercepts such a shipment, should communicate the details of such action to each country of origin, export or re-export that can be determined and, in any case, to the CITES Secretariat. Any country so advised, should conduct an appropriate investigation and report the result to the State of seizure and to the Secretariat.

11.53 Noting the continuing intelligence and evidence that China remains a destination for tiger parts and derivatives, the Conference suggests that China should especially be prepared to implement the preceding decision.

- 11.54 China should circulate a list of former manufacturers of traditional Chinese medicine products containing parts of tiger or other Appendix-I species, including illustrations of typical packaging. This would assist CITES enforcement agencies in consumer countries to assess whether future seizures of tiger products were newly manufactured or from old stocks that continue to be in illegal commerce. This list could be used alongside other enforcement tools, including the guide to recognition of genuine and fake tiger parts, in the TRAFFIC report 'Far From A Cure'.
- 11.55 Each range State should consider ways in which local communities might be encouraged to play a part in, and benefit from, the conservation of tigers and their habitat, for example through ecotourism. Each range State should prepare a report on its approach to this matter for the 45th meeting of the Standing Committee, so that concepts and initiatives can be shared among relevant Parties.
- 11.56 Tiger range States should seek to draw upon the experience of some African range States of endangered species, in all aspects of conservation, enforcement and ecotourism. The provision of external funding to enable exchange visits between enforcement and management personnel of such States is encouraged.
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Regarding musk deer

- 11.57 Parties that authorize export of raw musk should consider reductions in their export quotas, if biologically appropriate, until the Animals Committee has completed its consideration of musk deer in the Review of Significant Trade.
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Regarding trade in sturgeons and paddlefish

- 11.58 Starting from 1 January 2001, range States should declare coordinated intergovernmental level annual export and catch quotas per basin, or biogeographical region where appropriate, for all commercial trade in specimens of Acipenseriformes. Parties should inform the Secretariat prior to 31 December of the preceding year. Parties that fail to inform the Secretariat will automatically be treated as having a zero quota for the following year.
- 11.59 All Parties engaged in trade in sturgeon and paddlefish specimens should report to the Secretariat on the progress made to implement the measures agreed upon in Resolution Conf. 10.12 (Rev.) and on their national management strategies for Acipenseriformes prior to the 18th meeting of the Animals Committee.
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Regarding trade in plants

- 11.60
(*ex-9.21*) The Parties should carefully check material in trade in order to improve enforcement and in particular check plants declared to have been artificially propagated, both on import and on export.
- 11.61
(*ex-9.22*) Management Authorities should supply to the CITES Secretariat information on nurseries involved in the export of CITES-listed plants, in order to facilitate implementation of CITES for plants.

Regarding identification of timber

11.62 A list of agreed scientific names and their agreed vernacular names should be provided to
(*ex-10.52*²) timber importers and agencies dealing with CITES enforcement and border inspection.

Regarding the biological and trade status of *Harpagophytum*

11.63 In the light of increasing international trade in the roots of *Harpagophytum* spp. (devil's claw), the range and importing States should submit to the Secretariat all available information concerning the trade, management and biological status of *Harpagophytum* species and regulatory measures applying to them.

Regarding trade in alien species

11.64 The Parties should:
(*ex-10.54*)

- a) 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;
 - b) consider the problems of invasive species when developing national legislation and regulations that deal with the trade in live animals or plants;
 - c) consult with the Management Authority of a proposed country of import, when possible and when applicable, when considering exports of potentially invasive species, to determine if there are domestic measures regulating such imports; and
 - d) consider the opportunities for synergy between CITES and the Convention on Biological Diversity, and explore appropriate cooperation and collaboration between the two Conventions on the issue of introductions of alien (invasive) species.
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Regarding listings of geographically separate populations in the Appendices

11.65 Entire geographically separate populations should not be included in the Appendices without
(*ex-10.55*) prior consideration of negative consequences to conservation and management programmes for national populations or to sustainable development programmes involving such populations.

Regarding communication

11.66 The Parties should carefully check the telexes and telefaxes they receive to confirm the
(*ex-9-23*) validity of permits; they should ensure that the information that appears on the telexes and

² Amended at the 11th meeting of the Conference of the Parties

telexes, including the numbers, corresponds to that in the CITES Directory.

Regarding standard references and the status of species

- 11.67 (ex-10.57) The adoption of a standard checklist or reference by the Conference of the Parties does not by itself change the status vis-à-vis CITES of any entity, whether it is listed in the Appendices or not, and the status of the entity remains as intended in the proposal adopted by the Conference unless specifically changed by the adoption of a further proposal.
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Regarding names to use for *Tupinambis* species

- 11.68 Parties should use the correct names for *Tupinambis* species, as described in annotation =472 of Appendices I and II (and paragraph 14 of document Doc. 11.11.4.1) for skins newly exported from range States. For worked skins and pieces thereof that were imported before 1 August 2000 it is sufficient, for re-exports and re-imports, to use the indication *Tupinambis* spp.
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Regarding implementation of the Quito Declaration

- 11.69 The Conference of the Parties recognizes the Quito Declaration (Annex 3 to these Decisions) as the document containing the basic principles for action regarding the region of Central and South America and the Caribbean.

Directed to the Chairmen of meetings of the Conference of the Parties and Chairmen of Committees I and II and the Budget Committee

Regarding contributions by observers at meetings of the Conference of the Parties

- 11.70 The Presiding Officers at plenary sessions, and sessions of Committee I, Committee II and the Budget Committee should make every effort to allow observers time in the sessions to speak on issues (make interventions).
- 11.71 Recognizing that conservation of time, in order to complete the agenda for a meeting of the Conference of the Parties in the two-week period, is a valid concern, Presiding Officers should give observers a time limit for speaking if necessary and encourage observers not to be redundant in speaking on a particular issue.

Directed to the Chairmen of Committees I and II

Regarding consideration of draft resolutions

- 11.72 Unless practical considerations dictate otherwise, draft resolutions should not include:
(*ex-9.24*)
- a) instructions or requests to Committees, Working Groups or the Secretariat, unless they are part of a long-term procedure;
 - b) decisions on the presentation of the Appendices; and
 - c) recommendations (or other forms of decision) that will be implemented soon after their adoption and will then be obsolete.

Regarding contributions by observers at meetings of the Conference of the Parties

- 11.73 **W**hen possible, Presiding Officers should invite knowledgeable observers to participate in working groups of Committee I and Committee II.

Directed to the Standing Committee

Regarding duties of the regional representatives

- 11.74 Regional representatives should maintain a fluid and permanent communication with the Parties of their region and the Secretariat.
- 11.75 Before the meetings of the Standing Committee, the representatives should communicate to the Parties of their region the items on the agenda, to request their opinions, preferably on matters specifically relevant to the countries or the region. They should also inform them of the results of the meeting. At least two regional meetings should take place between meetings of the Conference of the Parties, one of which should be specifically to deal with proposals to be submitted to the Conference at its next meeting. The regional representatives should convene these meetings.
- 11.76 The regional representatives should report in detail on their activities, initiatives and achievements at the regional sessions 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.

Regarding implementation of Resolution Conf. 8.4

- 11.77 Beginning at its 45th meeting, and continuing at each successive meeting, as necessary, the Standing Committee shall decide the appropriate measures to be taken with respect to the Parties identified in Decisions 11.15, 11.18 and 11.19.

Regarding financing of the conservation of species of wild fauna and flora

- 11.78 The Standing Committee shall form a working group to:
- a) inventory existing funding mechanisms made available by the Parties specifically for the conservation of wild fauna and flora;
 - b) analyse the way in which these mechanisms operate, taking into account:
 - i) the origin of the funds and the way they are collected;
 - ii) principles followed in allocating these funds;
 - iii) structures of administration and control;
 - iv) amounts already involved;
 - v) probable trends concerning these sources of financing; and
 - vi) the overall effectiveness of the funds for the conservation of wild fauna and flora; and

- c) evaluate the potential use of these funding mechanisms for the purpose of improving implementation of the Convention, especially for assisting enforcement and supporting range States with *in situ* conservation, for implementation of the provisions of Article IV, paragraph 3, of the Convention and for implementation of the Strategic Plan.

11.79 The Standing Committee shall report to the Parties the result of this analysis at the meeting of the Standing Committee during the second half of 2001. These results shall be only for the discretionary use of the Parties.

Regarding trade in bear specimens

11.80 The Standing Committee shall:

- a) include the international illegal trade in bear parts and derivatives as an issue at its 45th and 46th meetings with a view to identifying additional legislative and enforcement measures that may be necessary to stop the international illegal trade in bears and bear parts and derivatives; and
 - b) report at the 12th meeting of the Conference of the Parties on progress made in bear range and consumer States in implementing the provisions of the Convention with respect to the trade in bear specimens, specifically focusing on the measures recommended in Resolution Conf. 10.8 for demonstrably reducing the illegal international trade in bear parts and derivatives as well as in products labelled as containing parts and derivatives of bears.
-

Regarding conservation of the tiger and trade in tiger specimens

11.81 The Standing Committee should continue to review, through a targeted programme, the progress of tiger range and consumer States, particularly those reviewed by the Technical and Political Missions. This review should consider: control of the illegal tiger trade; legislative and enforcement measures taken by States; and implementation of the recommendations of the Missions.

11.82 The Standing Committee should report at the 12th meeting of the Conference of the Parties upon the progress made by the Parties visited by the Technical and Political Missions. The report may contain recommendations regarding appropriate measures where no progress has been made.

Regarding musk deer

- 11.83 The Standing Committee shall undertake a review of actions taken by key musk deer range, transit and consumer States – particularly China, India, Kazakhstan, Mongolia, Nepal, the Russian Federation, Germany, France, Malaysia, Singapore, the Republic of Korea and Japan – to improve enforcement (especially in key border areas), implement trade controls and conserve and protect musk deer populations, and shall report at the 12th meeting of the Conference of the Parties.

Regarding the Timber Working Group

- 11.84 The Timber Working Group shall be maintained with its current balance of membership and approximate size until the 12th meeting of the Conference of the Parties.
(ex-10.67³)
- 11.85 The Timber Working Group shall be reconvened when tasks and issues so warrant.
(ex-10.68)
- 11.86 New terms of reference for the Timber Working Group shall be established. They should specify that, for the purposes described in paragraph c) of the section regarding parts and derivatives in Resolution Conf. 10.13 on the Implementation of the Convention for Timber Species, the 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 shall communicate these to the Secretariat for inclusion in the “Guidelines for the Preparation and Submission of CITES Annual Reports”.

Regarding trade in time-sensitive research samples

- 11.87 Following receipt of the conclusions of the Animals Committee on this issue, the Standing Committee shall:
- a) make recommendations regarding the need and opportunities for capacity-building with regard to enforcement and implementation, in the light of current approaches in national and regional legislation;
 - b) develop recommendations for consideration at the 12th meeting of the Conference of the Parties regarding the issues examined by the Animals Committee;
 - c) ensure that the recommendations provided have been made in close consultation with the Convention on Biological Diversity, to guarantee consistency with the provisions of the Convention; and
 - d) examine and evaluate different procedural and legal options for addressing these issues in compliance with CITES.
- 11.88 The deliberations on these issues should include input from relevant organizations and experts. Specifically, deliberations and decisions should be made in close consultation with

³ Amended at the 11th meeting of the Conference of the Parties

Regarding annual reports

- 11.89 The Standing Committee shall, on the basis of reports presented by the Secretariat, determine which Parties have failed, without having provided adequate justification, to provide the annual reports required under Article VIII, paragraph 7 (a), of the Convention for three consecutive years within the deadline established in Resolution Conf. 11.17, or the extended deadline that is provided for in that Resolution.

Directed to the Animals Committee

Regarding duties of members of the Committee and their alternates

- 11.90
- a) Each member should collaborate with his/her alternate regarding the work to be done between the meetings of the Animals Committee.
 - b) Each member should maintain a fluid and regular communication with the Parties in his/her region.
 - c) When a region has more than one representative, the Parties should also agree which Parties each represents. Contact persons should be identified in those countries. Also non-Parties in the region should be identified.
 - d) Each member should increase the awareness of the existence of the Animals Committee, its mandate and the issues of concern to his/her region.
 - e) Before the meetings of the Animals Committee, the members should inform the Parties in their regions about the items on the agenda and request their opinions on these, in particular on matters specifically relevant to the countries of the region.
 - f) The members should submit a written annual report to each meeting of its Committee.
 - g) The members should inform the Parties in their regions of the results of each meeting of the Animals Committee.
 - h) The members must inform the alternates well in advance if they will not attend a forthcoming Committee meeting.
 - i) A regional meeting should take place between meetings of the Animals Committee, subject to the availability of funds. The members should convene these meetings.
 - j) The organization of sub-regional meetings should be considered in large regions where it is difficult to bring all Parties together.
 - k) The members should provide to their successors all relevant information on the activities in the region.

Regarding *Tursiops truncatus ponticus* (Black Sea bottlenose dolphin)

- 11.91 The Animals Committee shall:
- a) review the issues pertaining to the conservation and trade in *Tursiops truncatus ponticus*;
 - b) evaluate the information received by the Secretariat in response to its request under Decision 11.139; and

- c) request range States to cooperate with experts to examine the genetics of this population and evaluate its distinctiveness, through the collection and analysis of tissue samples.
-

Regarding musk deer

- 11.92 The Animals Committee shall consider at its first meeting following the 11th meeting of the Conference of the Parties, as a matter of priority, the trade in musk deer, raw musk, and products containing musk in the context of the Review of Significant Trade, pursuant to Resolution Conf. 8.9 (Rev.), and present proposals for remedial actions to the Standing Committee prior to the 12th meeting of the Conference of the Parties.
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Regarding freshwater turtles and tortoises

- 11.93 The Animals Committee shall consider the trade in specimens of CITES-listed freshwater turtles and tortoises in the context of the Review of Significant Trade, pursuant to Resolution Conf. 8.9 (Rev.).
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Regarding the biological and trade status of sharks

- 11.94 The Chairman of the Animals Committee shall maintain liaison with the Secretary of the Committee on Fisheries of the United Nations Food and Agriculture Organization to monitor the implementation of the International Plan of Action for the Conservation and Management of Sharks, and report at the 12th meeting of the Conference of the Parties on progress made with this.
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Regarding trade in sturgeons and paddlefish

- 11.95 The Animals Committee shall consider Acipenseriformes species (sturgeons and paddlefish) in the Review of Significant Trade, as recommended in Resolution Conf. 10.12 (Rev.) pursuant to Resolution Conf. 8.9 (Rev.) and report at the 12th meeting of the Conference of the Parties.
- 11.96 The Animals Committee shall review the Secretariat's report resulting from implementation of Decision 11.152 and, at its 18th meeting, decide upon actions to be taken by Parties on the implementation of CITES and regarding regional management strategies, and report at the 12th meeting of the Conference of the Parties.
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Regarding seahorses and other members of the family Syngnathidae

- 11.97 The Animals Committee shall:
- a) review, with the assistance of experts as may be needed, the outcomes of the technical workshop convened by the Secretariat and other available information concerning the biology, catch and bycatch of and trade in seahorses and other syngnathids and develop appropriate recommendations; and
 - b) prepare, for consideration at the 12th meeting of the Conference of the Parties, a

discussion paper on the biological and trade status of seahorses and other syngnathids to provide scientific guidance on the actions needed to secure their conservation status.

Regarding trade in hard corals

- 11.98 The Animals Committee shall, as part of its consideration of corals in accordance with Resolution Conf. 8.9 (Rev.), consider the application of Article IV, paragraph 3, of the Convention, as an alternative to Article IV, paragraph 2 (a), when making non-detriment findings for corals in trade and shall make recommendations for consideration at the 12th meeting of the Conference of the Parties.
- 11.99 The Animals Committee shall provide advice to the Secretariat, for dissemination to the Parties, on the genera of corals for which it is practical to recognize specimens in trade to the level of species and the genera for which specimens in trade may be acceptably identified to the level of genus only for the purposes of implementing Resolutions Conf. 11.17 and Conf. 10.2 (Rev.).
-

Regarding trade in alien species

- 11.100 Cooperation shall be established with the IUCN/SSC Invasive Species Specialist Group in the implementation of their document "IUCN Guidelines for the Prevention of Biodiversity Loss Due to Biological Invasion", of which parts are related to the trade in and transport of live specimens of species of wildlife.
(*ex-10.76*)
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Regarding operations that breed Appendix-I animal species for commercial purposes

- 11.101 The Animals Committee, in cooperation with range States, and with experts in captive breeding where appropriate, shall develop, for consideration at the 12th meeting of the Conference of the Parties, a list comprising Appendix-I species (or geographically distinct populations thereof) that are:
- a) critically endangered in the wild; and/or
 - b) known to be difficult to breed or keep in captivity.

- 11.102 The Animals Committee shall examine the complex issues related to the origin of founder breeding stock and the relationship between *ex situ* breeding operations and *in situ* conservation of the species and, in collaboration with interested organizations, identify possible strategies and other mechanisms by which registered *ex situ* breeding operations may contribute to enhancing the recovery and/or conservation of the species within the countries of origin, and report its findings at the 12th meeting of the Conference of the Parties.
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Regarding trade in time-sensitive research samples

- 11.103 The Animals Committee (in consultation with the Plants Committee, if necessary) shall examine the issues related to the international transfer of samples of species included in the CITES Appendices. The terms of reference for this work shall be to examine the following issues with regard to the need to establish or recommend procedures for expeditious transfer of biological samples in specified situations:
- a) identification of the various types of samples transferred internationally for purposes of research;
 - b) categorization of purposes for which samples are transferred internationally, in terms of their commercial, non-commercial and strict conservation elements, e.g. veterinary and diagnostic samples;
 - c) categorization of the recipient institutions and other recipients of such samples; and
 - d) evaluation of the need for expedited transfer of samples in each of the categories.
- 11.104 The Animals Committee shall submit its conclusion to the Standing Committee.
- 11.105 The deliberations on these issues should include input from relevant organizations and experts. Specifically, deliberations and decisions should be made in close consultation with the Secretariat of the Convention on Biological Diversity⁴.
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Regarding implementation of Resolution Conf. 8.9 (Rev.)

- 11.106 Resolution Conf. 8.9 (Rev.) shall be implemented in accordance with the following procedure.
- a) UNEP-WCMC shall produce a print-out from the CITES database showing the recorded net levels of trade in all Appendix-II species over the five most recent years.
 - b) In preparing these data, UNEP-WCMC shall analyse the available trade information, and highlight for the Animals Committee any inadequacies and deficiencies in the trade data available, in order to assist the Committee with its review.

⁴ **Note from the Secretariat:** *This Decision is also included in the Decisions directed to the Standing Committee. In view of the other Decisions on this subject directed to the latter Committee, it is expected to take responsibility for communication with the Secretariat of CBD, whereas the Animals Committee is expected to take responsibility for ensuring consultation with experts.*

- c) Species for which the average net trade over this period has exceeded a level determined by the Animals Committee to be 'safe' should be selected and a print-out should be produced showing the levels of export and re-export of these species by country. This will constitute the list of taxa that might be subject to significant levels of trade.
- d) On the basis of knowledge available in the Animals Committee and information from other relevant experts, species of immediate concern will be selected because of their recorded trade levels.
- e) The Secretariat should, within 30 days after the meeting of the Animals Committee at which species are selected, notify range States of the species selected, providing an explanation for this selection and requesting comments and cooperation in providing information on the taxon to assist the review.
- f) When necessary, consultants shall be engaged to compile information about the biology and management of the selected species and shall contact the range States and/or relevant experts to obtain information for inclusion in the compilation.
- g) The consultants shall summarize their conclusions about the effects of international trade on the selected species and should divide them into three categories:
 - i) Category 1 shall include species for which the available information indicates that the provisions of Article IV of the Convention are not being implemented;
 - ii) Category 2 shall include species for which it is not clear whether or not the provisions of Article IV of the Convention are being implemented; and
 - iii) Category 3 shall include species for which the level of trade is evidently not a problem.
- h) Before consideration by the Animals Committee, the Secretariat shall transmit the review documents prepared by the consultants to relevant range States, seeking comments and, where appropriate, additional information. Range States should be given six weeks to respond.
- i) The Animals Committee should review the information provided by the consultants and the responses received from the Parties concerned and, if appropriate, revise the categories proposed by the consultants.
- j) Species in Category 3 should be eliminated from the review process⁵.
- k) With respect to species in Categories 1 and 2, the Secretariat, on behalf of the Animals Committee, shall consult the range States to seek comments regarding possible Article IV implementation problems identified by the Committee. Range States should be given six weeks to respond.
- l) If a response satisfactory to the Animals Committee is received, the species shall be eliminated from the review process¹ with respect to the State concerned.
- m) Otherwise, the Animals Committee shall, in consultation with the Secretariat, formulate recommendations in accordance with the provisions of Resolution Conf. 8.9 (Rev.), relating to species in Categories 1 and 2.

⁵ *The elimination of a species from the review process will be decided on the basis of considerations related to the implementation of Article IV only. Other problems identified in the course of the review process will have to be addressed by other means.*

n) These recommendations shall be transmitted to the States concerned by the Secretariat, which shall, in consultation with the Animals Committee, determine whether the recommendations have been implemented and report to the Standing Committee in accordance with Resolution Conf. 8.9 (Rev.).

11.107
(ex-10.80) When formulating recommendations, care shall be taken to specify intentions precisely and not leave the country concerned and the Secretariat to try to interpret what the Animals Committee wanted.

11.108
(ex-10.81) Where a State subject to a recommendation of the Animals Committee has agreed to set an export quota considered as cautious by the Secretariat, the case shall be reviewed again by the Committee in due course.

11.109
(ex-10.82) Trade in animal species for use in traditional medicines shall be reviewed to assess the implications for wild populations.

Directed to the Plants Committee

Regarding duties of members of the Committee and their alternates

- 11.110
- a) Each member should collaborate with his/her alternate regarding the work to be done between the meetings of the Plants Committee.
 - b) Each member should maintain a fluid and regular communication with the Parties in his/her region.
 - c) When a region has more than one representative, the Parties should also agree which Parties each represents. Contact persons should be identified in those countries. Also non-Parties in the region should be identified.
 - d) Each member should increase the awareness of the existence of the Plants Committee, its mandate and the issues of concern to his/her region.
 - e) Before the meetings of the Plants Committee, the members should inform the Parties in their regions about the items on the agenda and request their opinions on these, in particular on matters specifically relevant to the countries of the region.
 - f) The members should submit a written annual report to each meeting of the Committee.
 - g) The members should inform the Parties in their regions of the results of each meeting of the Plants Committee.
 - h) The members must inform the alternates well in advance if they will not attend a forthcoming Committee meeting.
 - i) A regional meeting should take place between meetings of the Plants Committee, subject to the availability of funds. The members should convene these meetings.
 - j) The organization of subregional meetings should be considered in large regions where it is difficult to bring all Parties together.
 - k) The members should provide to their successors all relevant information on the activities in the region.

Regarding the biological and trade status of *Harpagophytum*

- 11.111 The Plants Committee shall:
- a) review information submitted to the Secretariat in accordance with Decision 11.63;
 - b) summarize the biological and trade status of *Harpagophytum* species subject to international trade; and

- c) prepare a report on the biological and trade status of *Harpagophytum* species, at least six months before the 12th meeting of the Conference of the Parties, for consideration at that meeting.

Regarding *Aquilaria* spp.

- 11.112 The Plants Committee shall continue its review of the genus *Aquilaria*, in order to:
- a) determine how species within the genus may be distinguished from each other when in trade, particularly when traded as agarwood;
 - b) determine measures, other than improved identification, that might improve accurate reporting of trade in specimens of *Aquilaria malaccensis*; and
 - c) determine whether additional species in the genus should be included in Appendix II of the Convention, either because of similarity of appearance or because their biological and trade status qualify them for inclusion in Appendix II.
- 11.113 If it is determined, as a result of this review, that additional species should be included in Appendix II, the Plants Committee shall specify which species should be included in Appendix II under the provisions of Article II, paragraph 2 (a), and which species should be included in Appendix II under the provisions of Article II, paragraph 2 (b).

Regarding *Guaiacum* spp.

- 11.114 The Plants Committee shall:
- a) undertake a review of the genus *Guaiacum* to:
 - i) clarify the current taxonomy of this genus as it is most widely understood;
 - ii) resolve how species within the genus may be distinguished from each other when in trade; and
 - iii) assess the status in the wild, the status in trade and threats to the species; and
 - b) based on the results of this review, recommend the preparation of proposals to amend the Appendices with respect to these species, as appropriate.

Regarding trade in alien species

- 11.115 Cooperation shall be established 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 in and transport of live specimens of species of wildlife.
(*ex-10.86*)

Regarding the periodic review of the Appendices

11.116 In accordance with the terms of reference specified in Resolution Conf. 11.1 Annex 2, (ex-10.87⁶) paragraph h) under 'RESOLVES', all timber species currently included in the Appendices shall be reviewed and the results of this review shall be reported at the 12th meeting of the Conference of the Parties.

Regarding implementation of Resolution Conf. 8.9 (Rev.)

11.117 Resolution Conf. 8.9 (Rev.) shall be implemented in accordance with the following procedure.

- a) UNEP-WCMC shall produce a print-out from the CITES database showing the recorded net levels of trade in all Appendix-II species over the five most recent years.
- b) In preparing these data, UNEP-WCMC shall analyse the available trade information and highlight for the Plants Committee any inadequacies and deficiencies in the trade data available, in order to assist the Committee with its review.
- c) Species for which the average net trade over this period has exceeded a level determined by the Plants Committee to be 'safe' should be selected and a print-out should be produced showing the levels of export and re-export of these species, by country. This will constitute the list of taxa that might be subject to significant levels of trade.
- d) On the basis of knowledge available in the Plants Committee, and information from other relevant experts, species of immediate concern will be selected because of their recorded trade levels.
- e) The Secretariat should within 30 days after the meeting of the Plants Committee at which species are selected, notify range States of the species selected, providing an explanation for this selection and requesting comments and cooperation in providing information on the taxon to assist the review.
- f) When necessary, consultants shall be engaged to compile information about the biology and management of the selected species and shall contact the range States and/or relevant experts to obtain information for inclusion in the compilation.
- g) The consultants shall summarize their conclusions about the effects of international trade in the selected species and should divide the species into three categories:
 - i) Category 1 shall include species for which the available information indicates that the provisions of Article IV of the Convention are not being implemented;
 - ii) Category 2 shall include species for which it is not clear whether or not the provisions of Article IV of the Convention are being implemented; and
 - iii) Category 3 shall include species for which the level of trade is evidently not a problem.

⁶ Amended at the 11th meeting of the Conference of the Parties

- h) Before consideration by the Plants Committee, the Secretariat shall transmit the review documents prepared by the consultants to relevant range States, seeking comments and, where appropriate, additional information. Range States should be given six weeks to respond.
- i) The Plants Committee should review the information provided by the consultants and the responses received from the Parties concerned and, if appropriate, revise the categories proposed by the consultants.
- j) Species in Category 3 should be eliminated from the review process⁷.
- k) With respect to species in Categories 1 and 2, the Secretariat, on behalf of the Plants Committee, shall consult the range States to seek comments regarding possible Article IV implementation problems identified by the Committee. Range States should be given six weeks to respond.
- l) If a response satisfactory to the Plants Committee is received, the species shall be eliminated from the review process¹ with respect to the State concerned.
- m) Otherwise, the Plants Committee shall, in consultation with the Secretariat, formulate recommendations in accordance with the provisions of Resolution Conf. 8.9 (Rev.), relating to species in Categories 1 and 2.
- n) These recommendations shall be transmitted to the States concerned by the Secretariat, which shall, in consultation with the Plants Committee, determine whether the recommendations have been implemented and report to the Standing Committee in accordance with Resolution Conf. 8.9 (Rev.).

Regarding annotations for medicinal plants in the Appendices

- 11.118 The Plants Committee shall consider the annotations in Appendices I and II relating to species of plants used for medicinal purposes and shall make recommendations to clarify the annotations, for consideration at the 12th meeting of the Conference of the Parties.

⁷ *The elimination of a species from the review process will be decided on the basis of considerations related to the implementation of Article IV only. Other problems identified in the course of the review process will have to be addressed by other means.*

Directed to the Nomenclature Committee

Regarding the work programme

- 11.119
- a) Between CoP11 and CoP12, complete the consolidation of a checklist for orchid genera in trade not covered in Volumes 1 to 3 of the orchid checklists. This will be the final volume for orchids.
 - b) Maintain and update the databases from which the checklists were generated, to facilitate publication of updates to these lists as required by the Parties. In addition, all of the databases require work to enable them to be made available in electronic form to the Parties. The most work required is for the upgrade to the Cactus Checklist database. The key databases should be converted and maintained at a level to allow printing 'on demand' for future publications.
 - c) At the same time, CD-ROMs should be developed and searchable checklists should be established on the World Wide Web. It is beyond the scope of the nomenclature programme to fund such projects fully. It is hoped that the provision of limited seed funding will encourage organizations and institutions to develop, host and maintain Web sites and transfer checklists to CD-ROMs.

Regarding nomenclature of amphibian species

- 11.120
- The Nomenclature Committee shall review, for adoption, the standard reference Amphibian Species of the World, by D.R. Frost, printed out by the Secretariat seven months before each second meeting of the Conference of the Parties, starting with the 12th meeting.

Directed to the Secretariat

Regarding the text of the Convention

- 11.121
(ex-9.16) Note shall be taken of the following proposals, which should be put on the agenda of the next extraordinary meeting of the Conference of the Parties, whenever this may be convened, as amendments to the Convention:
- a) the provisions of Article XVI, regarding the listing of Appendix-III parts and derivatives, should be brought into line with Convention procedures for Appendices I and II (Article XV);
 - b) paragraph 5 of Article XIV should read: "Notwithstanding the provisions of Article IV, any export of a specimen" etc.;
 - c) paragraphs 3 (b) and 5 (b) of Article III should include "either a Management Authority or a Scientific Authority of the State" etc.; and
 - d) correction of errors of an orthographical nature discovered in the text of the Convention.
-

Regarding decisions of the Conference of the Parties

- 11.122
(ex-9.27) When the Conference of the Parties adopts any draft resolution that is designed merely to add points to the recommendations (or other decisions) in existing Resolutions, or to make a minor amendment thereto, the existing Resolutions shall be replaced by revised versions with the agreed changes.
- 11.123
(ex-9.28) A document containing all the current decisions that have been made by the Conference of the Parties and recorded in the Proceedings of the meetings of the Conference shall be compiled. As far as possible, the decisions should be sorted according to the body to which they are directed. Where this is not possible, they should be sorted by subject, using the subjects of the Resolutions for guidance.
- This document shall be updated after each meeting of the Conference of the Parties, to contain all the recommendations (or other forms of decision) that are not recorded in Resolutions and that remain in effect. The Secretariat shall distribute to the Parties a copy of the updated document soon after each meeting of the Conference.
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Regarding sponsorship for attendance at meetings of the Conference of the Parties

- 11.124 If the representative of a Party at a meeting of the Conference of the Parties is also an observer for a non-governmental organization, the Secretariat shall not provide sponsorship for that person through the Delegates' Project.
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Regarding registration of observers at meetings of the Conference of the Parties

- 11.125 Any body or agency that informs the Secretariat of its desire to be represented at a meeting of the Conference of the Parties and that wishes to be considered as an international

agency or body in accordance with Article XI, paragraph 7 (a), should be registered by the Secretariat only if it demonstrates, to the satisfaction of the Secretariat that it is:

- a) qualified in protection, conservation or management of wild fauna and flora: and
- b) an organization in its own right, with a legal persona and an international character, remit and programme of activities.

11.126 Rule 3, paragraph 4, of the Rules of the Procedure for meetings of the Conference of the Parties should be interpreted by the Secretariat such that it may not accept any additional names of observers of bodies and agencies (other than the United Nations and its Specialized Agencies) after the one-month deadline, and that it may not accept any changes in the names after this deadline except where a body or agency has registered no more than two observers before the deadline and the Secretariat is satisfied that the person whose name is to be replaced is prevented from attending through *force majeure*.

Regarding contributions by observers at meetings of the Conference of the Parties

11.127 The Secretariat and the host country of each meeting of the Conference of the Parties should make every effort to ensure that each approved observer is provided with at least one seat on the floor in the meeting rooms of the plenary sessions, Committee I, Committee II and the Budget Committee, unless one-third of the Party representatives present and voting object.

11.128 The Secretariat should make every effort to ensure that informative documents on the conservation and utilization of natural resources, prepared by observers for distribution at a meeting of the Conference of the Parties and approved by the Secretariat, are distributed to the participants in the meeting.

Regarding financing of the conservation of species of wild fauna and flora

11.129 To ensure maximum use of available funds, especially the Global Environment Facility (GEF), the Secretariat, in cooperation with the Secretariat of the Convention on Biological Diversity, shall approach the Secretariat of GEF to determine which projects for the sustainable management of species of wild fauna and flora included in the Appendices of CITES are eligible for financing from GEF.

11.130 The Secretariat shall report to the Standing Committee on progress, at its meeting to be held during the second half of 2001.

Regarding publicity materials

11.131 In view of the need for publicity materials for plant and animal species included in the Appendices, the Secretariat shall:

- a) develop a programme of work for the preparation of these materials;
- b) prepare a budget estimate for this programme of work;
- c) submit the programme and budget estimate to the Standing Committee at its first ordinary meeting after the 11th meeting of the Conference of the Parties;

- d) carry out the work as directed by the Standing Committee; and
 - e) report at the next meeting of the Conference of the Parties.
-

Regarding implementation of Resolution Conf. 8.4

11.132 The Secretariat shall:

- a) consider the information on specific provisions adopted by the Parties to give effect to obligations specified in Article VIII of the Convention and Resolution Conf. 8.4 and amend the analyses of legislation and the ratings accordingly;
 - b) advise the Parties concerned of any amendments to the analyses of their legislation and to their ratings, indicating the actions that they should take to give effect to obligations under the Convention;
 - c) provide technical assistance to Parties that request advice in the formulation of legislative proposals for CITES implementation, and assistance to achieve effective enforcement both of the Convention and of legislation adopted to implement the Convention, giving priority to those Parties identified as having national legislation that is believed generally not to meet the requirements for implementation of the Convention (Category 3). The Secretariat shall cooperate with the Parties and, to the extent possible with available resources shall provide:
 - i) guidelines for the preparation of the appropriate measures;
 - ii) training for the CITES authorities and others responsible for the formulation of environmental policies requiring legislation; and
 - iii) any specific support requested by the Parties relevant to the fulfilment of the requirements; and
 - d) report at the 12th meeting of the Conference of the Parties:
 - i) the legislation adopted by the Parties to implement the Convention and any recommendations relating to Parties that have not adopted such legislation;
 - ii) any progress concerning technical assistance provided to the Parties in the development of their national legislation for implementation of CITES; and
 - iii) the conclusions of the analysis of legislation updated or begun since 1999.
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Regarding permits and certificates

11.133 Practical support in the printing of permits and certificates with adequate security guarantees shall be given to those Parties that request it.
(*ex-9.29*)

11.134 When external funding is available, permit and certificate forms shall be printed on security paper for those Parties requesting it.
(*ex-9.30*)

Regarding control and checking of shipments of CITES specimens

11.135 The Secretariat shall cooperate with the World Customs Organization, ICPO-Interpol and (ex-10.118) competent national authorities to:

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

Regarding the implementation of Resolutions

11.136 The Secretariat shall analyse all information that it receives from the Parties regarding problems in the implementation of existing Resolutions and shall prepare a document for the first meeting of the Standing Committee in 2001, outlining its findings and proposing solutions where appropriate.

Regarding reports on alleged infractions and other implementation problems

11.137 Separate reports on infractions shall be submitted to the Conference of the Parties for (ex-9.31) consideration at each regular meeting.

Regarding competent authorities of non-party States

11.138 An updated list of competent authorities and scientific institutions containing only those (ex-9.32) authorities and institutions details of which were communicated by the State concerned less than two years previously shall be maintained and communicated at regular intervals to the Parties.

Regarding *Tursiops truncatus ponticus* (Black Sea bottlenose dolphin)

11.139 The Secretariat shall:

- a) request that range States for Black Sea bottlenose dolphins, *Tursiops truncatus ponticus*, provide the following information, to assist the Animals Committee in its work:
 - i) the number of dolphins taken from the wild each year (including age, sex, capture methods and capture mortality);
 - ii) the number of dolphins exported each year;
 - iii) the population status, if available;
 - iv) any non-detriment findings issued by Scientific Authorities for this subspecies; and

- v) if available, the number of dolphins killed incidental to fishing operations, if any;
- b) request that Parties that have authorized import of these dolphins provide details of the imported animals (numbers, sex, holding facilities and mortalities);
- c) urge Parties not to allow any export (or re-export) of live dolphins without evidence from the Management Authority of the country of destination that the animals will be received and maintained in proper facilities; and
- d) coordinate measures with the relevant international organization on these matters, specifically the Bern Convention, the Bucharest Convention, the Bonn Convention and ACCOBAMS.

Regarding conservation of the tiger and trade in tiger specimens

- 11.140 The Secretariat should report at the 45th meeting of the Standing Committee on the communications it receives in response to Decision 11.47. It should additionally report upon the implementation of undertakings by Parties in response to the recommendations of the Technical Team. The Standing Committee shall consider such responses and decide whether further action is appropriate.
- 11.141 The Secretariat should bring to the attention of all Parties, ICPO-Interpol and the World Customs Organization, the apparent resurgence in illicit trade involving skins of cat species and seek their cooperation in combating this.
- 11.142 The Secretariat should provide to the Standing Committee at its 45th meeting an assessment of the effectiveness of the legislative changes relating to trade in tiger parts and derivatives introduced by Japan.
- 11.143 The Secretariat should seek invitations to visit tiger range States that remain non-Parties to CITES (Bhutan, Democratic People's Republic of Korea and Lao People's Democratic Republic) to encourage their accession. Parties neighbouring those States, the United Nations Environment Programme and NGOs should also give such encouragement.
- 11.144 The CITES Secretariat should seek to establish a Memorandum of Understanding with the Secretariat of the Global Tiger Forum, or another appropriate means of creating a closer link between the two organizations.
- 11.145 The Conference of the Parties having adopted the terms of reference for the Tiger Enforcement Task Force (attached as Annex 4 to these Decisions), the Secretariat should seek external funding to allow the establishment of the Task Force to examine, among other things, ways in which illicit trade in tiger specimens can be combated and how to improve the collation of information relating to poaching of tigers and trade in their parts. The participation of ICPO-Interpol and the World Customs Organization should be encouraged. Attention should be given to range States as a priority.
- 11.146 The Secretariat should organize a workshop, or workshops, in tiger range States to provide training for enforcement personnel. These should include a train-the-trainer element. The Secretariat should report at the 12th meeting of the Conference of the Parties on how States have made use of and disseminated the training provided.
- 11.147 The Secretariat should support any activities undertaken in relation to Decision 11.51, in particular by range States, and report on these at the 45th meeting of the Standing Committee.
- 11.148 The Secretariat should communicate to ICPO-Interpol and the World Customs Organization the importance of the exchanges of information referred to in Decision 11.52 and request

their participation in facilitating this.

Regarding musk deer

- 11.149 The Secretariat shall conduct an analysis of the use of musk in perfume industries and in traditional medicines in Asia and in Asian communities outside Asia in order to identify the level of demand, trends, and user groups, and shall report at the 12th meeting of the Conference of the Parties.
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Regarding freshwater turtles and tortoises

- 11.150 The Secretariat shall:
- a) subject to available funds, convene a technical workshop in order to establish conservation priorities and actions to achieve sustainable trade in freshwater turtles and tortoises and invite the Chairman of the Animals Committee as well as representatives from range, exporting and consumer States and relevant inter-governmental and non-governmental organizations to participate in this workshop, to be held within 12 months after the 11th meeting of the Conference of the Parties. Recommendations elaborated at the Workshop on Trade in Terrestrial and Freshwater Turtles and Tortoises in Asia, held in Cambodia in December 1999, should be considered at the technical workshop. The findings and recommendations of this workshop should be reported to the Animals Committee by the Secretariat before the 12th meeting of the Conference of the Parties;
 - b) encourage Parties, intergovernmental and non-governmental organizations and other appropriate bodies to assist capacity-building and training efforts throughout the Asian region with respect to the trade in freshwater turtles and tortoises; and
 - c) encourage Parties and trading companies involved in the trade in freshwater turtles and tortoises to assist in raising funds for the workshop.
-

Regarding trade in shark specimens

- 11.151 The Secretariat shall continue to liaise with the World Customs Organization to promote the establishment and use of specific headings within the standard tariff classifications of the Harmonized System to discriminate between shark meat, fins, leather, cartilage and other products.
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Regarding trade in sturgeons and paddlefish

- 11.152 The Secretariat shall prepare a report with recommendations regarding implementation by Parties of the measures agreed upon in Resolution Conf. 10.12 (Rev.) and, after review by the Parties concerned, submit it for consideration at the 18th meeting of the Animals Committee.

Regarding seahorses and other members of the family Syngnathidae

11.153 The Secretariat shall:

- a) assist in obtaining funds from interested Parties, intergovernmental and non-governmental organizations, exporters, importers and other stakeholders, to support a technical workshop of relevant experts on the conservation of seahorses and other syngnathids;
- b) contingent on the availability of external funding, cooperate with other relevant bodies, including the fisheries sector, to convene a technical workshop to consider and review biological and trade information that would assist in establishing conservation priorities and actions to secure the conservation status of seahorses and other syngnathids;
- c) request Parties to provide, for discussion at the technical workshop, all relevant available information concerning the status, catches and bycatches of, and trade in, seahorses and other syngnathids and on any domestic measures for their conservation and protection, and to review the adequacy of such measures;
- d) encourage scientific research to promote the long-term conservation and sustainable use of seahorses and other syngnathids; and
- e) explore ways to enhance the participation of fishermen, traders and consumers in the conservation and sustainable use of seahorses and other syngnathids.

Regarding trade in hard corals

11.154 The Secretariat shall:

- a) issue an interim Notification to the Parties pending the results of Decision 11.99 to guide Parties in the early implementation of Resolution Conf. 11.10; and
- b) amend Notification to the Parties No. 1999/85 on Annual Reports as follows:
 - i) in section 3 b) first indent, replace “higher taxonomic level” with “level of order (Scleractinia)”;
 - ii) delete section 3 b) second indent;
 - iii) in section 5 a), “Description of specimens and units of quantity”, revise the description of ‘raw’ – COR – to explain that this refers only to dead coral and coral rock (as defined in the Annex of Resolution Conf. 11.10) and should be reported by weight (kg); and
 - iv) also in section 5 a), “Descriptions of specimens and units of quantity”, revise the description of ‘live’ – LIV – to explain that specimens of live coral and coral rock substrate (as defined in the Annex of Resolution Conf. 11.10) transported in water should be recorded by number of pieces only.

Regarding timber species

11.155 The potential for silvicultural techniques (e.g. enrichment plantings, assisted natural (ex-10.127⁸) 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. 11.11, shall be investigated to determine whether these concepts provide useful bases for establishing trade regimes for timber species listed in the Appendices.

11.156 The Secretariat shall:
(ex-10.130¹)

- a) investigate the reasons for non-reporting on timber trade, in particular by importing countries;
- b) investigate the extent to which Parties (in particular the main countries of export and import of CITES-listed species) have informed the traders in their countries of CITES procedures; and
- c) report back on these issues at the 12th meeting of the Conference of the Parties.

Regarding significant trade in Appendix-II species

11.157 IUCN shall be contracted to coordinate, in collaboration with the UNEP World Conservation Monitoring Centre, the conduct of the field studies required for Appendix-II species identified by the Animals Committee as being subject to significant levels of trade, and to raise the funds necessary for such studies.
(ex-9.33⁹)

Regarding trade in plants

11.158 The attempts to effect a more constructive collaboration with the International Tropical Timber Organization shall be continued.
(ex-9.34)

11.159 The Parties shall be notified when any Party confirms that it issues phytosanitary certificates for export of artificially propagated plants of Appendix-II species.
(ex-9.35)

11.160 Information provided by the Parties on nurseries involved in the CITES export trade in the major source countries shall be compiled and a directory of this information shall be published.
(ex-9.36)

11.161 Arrangements shall be made for the following activities:
(ex-9.38¹)

- a) a field survey of the conservation status of *Notocactus* (*Parodia* subgenus *Notocactus*);
- b) a survey of the genus *Ferocactus* in trade, drawing together information from the range States, i.e. Mexico and the United States of America, and the major importing countries of Europe and Japan;

⁸ Amended at the 11th meeting of the Conference of the Parties

⁹ Amended at the 11th meeting of the Conference of the Parties

- c) a search of information on the impact of commercial collection on wild populations of *Cypripedium*; levels of propagation in Europe, the United States of America and Japan should be clarified;
 - d) a review of the levels of trade in Appendix-I cycads in the family Zamiaceae, i.e. the genera *Ceratozamia*, *Encephalartos* and *Microcycas*; and
 - e) an investigation of the international trade in aloe products including an assessment of the impact on wild populations and methods of improving trade controls.
-

Regarding the universal labelling system for the identification of caviar

11.162 The Secretariat shall:

- a) explore, in collaboration with the Animals Committee and relevant Parties, mechanisms for the effective and secure labelling of caviar that is subject to repackaging and re-export, together with appropriate administrative control procedures, and report its findings and recommendations at the 12th meeting of the Conference of the Parties; and
 - b) monitor, in collaboration with the Animals Committee, implementation of the universal labelling system for caviar, and report deficiencies in the system at the 12th meeting of the Conference of the Parties.
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Regarding operations that breed Appendix-I animal species for commercial purposes

11.163 The Secretariat shall circulate, as a matter of urgency, a Notification seeking nominations from Parties of Appendix-I species that are critically endangered in the wild and/or known to be difficult to breed or keep in captivity, for consideration by the Animals Committee for inclusion in Annex 3 of Resolution Conf. 11.14 and submission to the Standing Committee for approval. This Annex should be periodically reviewed and amended by means of the same procedure.

Regarding movement of sample reptile skins and other related products

11.164 The Secretariat shall, in consultation with the Animals Committee, the IUCN/SSC Crocodile Specialist Group and the World Customs Organization:

- a) review the ways in which Parties could streamline procedures for issuing export or re-export documents for samples and product samples made of crocodilian or other reptile skins; and
- b) prepare a proposal for consideration at the 12th meeting of the Conference of the Parties regarding the amendment of relevant resolutions in effect and/or draft a new resolution.

Regarding trade in traditional medicines

- 11.165 The Secretariat shall, in consultation with the Animals and Plants Committees:
- a) compile an inventory of operations where artificial propagation or captive breeding of CITES species is conducted for medicinal purposes;
 - b) develop projects aimed at assisting Parties in improving CITES implementation with regard to international trade in medicinal products derived from Appendix-II species;
 - c) continue developing the list of species of plants and animals and their parts traded for their medicinal properties;
 - d) where appropriate, incorporate in its programme for assisting Scientific Authorities the implementation of the Convention in relation to animals and plants traded for medicinal purposes; and
 - e) report at the 12th meeting of the Conference of the Parties on the progress made with regard to the work outlined above.

Regarding establishment of a working group to examine bushmeat as a trade and wildlife management issue

- 11.166 The Secretariat shall:
- a) note the concerns, issues and suggestions contained in document Doc. 11.44 'Bushmeat as trade and wildlife management issue' and, taking this document as a starting point, convene a working group of interested range and donor States to examine issues raised by the trade in bushmeat, with the aim of identifying solutions that can be willingly implemented by range States; and
 - b) contact organizations such as the International Tropical Timber Organization, the Secretariat of the Convention on Biological Diversity, the Food and Agriculture Organization of the United Nations, and others that can make a contribution to achieve better and sustainable management of the bushmeat trade under their own mandates, and invite them to participate in the above-mentioned working group.

Regarding the nomenclature of CITES-listed species

- 11.167 The Secretariat shall:
- a) make a print-out of the standard reference *Amphibian Species of the World*, by D.R. Frost, seven months before every second meeting of the Conference of the Parties, starting with the 12th meeting of the Conference of the Parties, and submit the print-out for review and adoption by the Nomenclature Committee;
 - b) after adoption of the printed version by the Nomenclature Committee, send a Notification to the Parties to announce the accepted standard reference for amphibians valid as from the date of distribution of the Notification, and with the Notification provide the pertinent pages regarding CITES-listed species of amphibians, either in a printed form or on a CD-ROM, whichever is most cost-effective; and
 - c) make allowance in its annual budget from 2004 onwards for distribution of the information specified in paragraph b).
- 11.168 The Secretariat shall replace Notification to the Parties No. 1999/29 with a new one stating that:
- a) *Brachypelma andrewi* is a synonym of *Euathlus truncatus* and therefore not included in the CITES Appendices; and
 - b) *Brachypelma annintha* and *Brachypelma harmorii* are synonyms of *Brachypelma smithii*.

Regarding the standard reference of Orchidaceae

- 11.169 Each standard reference shall be made available to the Parties immediately after its completion.
(*ex-9.39*)

Regarding implementation of the Quito Declaration

- 11.170 The Secretariat shall:
- a) identify a coordinating mechanism to work jointly with UNEP/ROLAC and other multilateral environmental agreements to implement the Quito Declaration (Annex 3 to these Decisions); and
 - b) identify financial resources for the purpose of implementing the actions that derive from the Quito Declaration, especially those referring to:
 - i) organization of regional meetings, at least one regional meeting before each meeting of the Conference of the Parties; and
 - ii) support for the different activities to be carried out by the regional representatives regarding CITES implementation.

Purpose

TO ENSURE THAT NO SPECIES OF WILD FAUNA OR FLORA BECOMES OR REMAINS SUBJECT TO UNSUSTAINABLE EXPLOITATION BECAUSE OF INTERNATIONAL TRADE

The purpose of the Strategic Plan is to improve the working of the Convention so that international trade in wild fauna and flora is increasingly and consistently conducted at sustainable levels. Where uncertainty remains as to whether trade is sustainable, the precautionary principle will prevail as the ultimate safeguard. However, a successful outcome of the implementation of the Strategic Plan will be a reduction in the need to bring the precautionary principle into play. The Strategic Plan confirms the recognition by the Parties that sustainable trade in wild fauna and flora can make a major contribution to securing the broader and not incompatible objectives of sustainable development and biodiversity conservation. It also recognizes that the Convention must continue to ensure that proper trade mechanisms are put in place. These depend upon the availability of and access to reliable scientific data and to information generated by effective monitoring systems to counter over-exploitation. But information by itself is not enough and such trade mechanisms also require strong national capacity backed by good cooperation at national, regional and global levels. In order to achieve this purpose, seven goals have been identified as the key components of the Strategic Plan. It is important to realize that the successful achievement of Goal 7, allied to Goal 5, will greatly enhance the achievement of Goals 1, 2, 3 and 4. Securing a strong financial basis must therefore be given a major effort, without overlooking the importance of the other goals.

Introduction

The Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) was signed on 3 March 1973. The Convention resulted from an expression of concern by the 1972 United Nations Conference on the Human Environment in Stockholm, Sweden, concerning the rate at which the world's wild fauna and flora were being threatened by unregulated international trade. Drafts of what became the Washington Convention or CITES were sent to governments by the World Conservation Union (IUCN) in 1967, 1969 and 1971. The final draft, after review by governments, the General Agreement on Tariffs and Trade (GATT), the Food and Agriculture Organization (FAO) and others, was discussed at a Plenipotentiary Conference in Washington, DC, United States of America. At its conclusion, 21 of the 80 countries represented at the Conference signed the Convention. The Convention entered into force, after ratification by 10 countries, on 1 July 1975.

In the intervening 25 years, the number of countries that have acceded to the Convention has continued to increase. With more than 150 Parties, CITES is widely regarded as one of the most important legal international conservation instruments. During this period, the Conference of the Parties has shown itself to be capable of adapting to changing circumstances and, through the adoption of Resolutions, has demonstrated an ability to construct practical solutions to increasingly complex wildlife trade problems. For example, the Parties have adopted 'ranching' and other control techniques such as annual quotas for managing the harvesting of some Appendix-I-listed species at levels that do not threaten their conservation status. In 1994 the Conference of the Parties identified the information requirements necessary to extend the ranching concept for specific application to marine turtles.

More recently, proposals to amend the Appendices to the Convention have become increasingly complex and sensitive. As a result, at its eighth meeting (Kyoto, 1992), the Conference of the Parties initiated a process to review the 'Bern Criteria' that had been in place since 1976 and were proving to be too general and inadequate. This resulted in the adoption of new and more objective criteria that are scientifically based to guide amendments to Appendices I and II. In adopting the new criteria, the Parties recognized the increasing acceptance by the international community to apply the precautionary principle to the decision-making process. Accordingly, its application is embraced in considerations involving the transfer of species from Appendix I to Appendix II. When the new criteria were adopted in 1994, the Parties, as an expression of the need for a flexible approach to CITES implementation, agreed to incorporate a review process into the new criteria. This process has commenced and will strengthen the scientific basis of the decision-making process for amending the Appendices to the Convention.

At its ninth meeting (Fort Lauderdale, 1994), the Conference of the Parties commissioned a review of the Convention's effectiveness. The principal purposes of the review were to evaluate the extent to which the Convention had achieved its objectives and the progress made since CITES came into being and, most importantly, to identify deficiencies and requirements necessary to strengthen the Convention and help plan for the future. At its 10th meeting (Harare, 1997), the Conference agreed to an Action Plan for implementing certain findings and recommendations of the review. A central finding was the need for a strategic plan.

With this Strategic Plan, the Conference of the Parties to the Convention has mapped the Convention's direction as it enters the new millennium. The plan forms the basis for the Convention's participation in the wider international nature conservation arena as developed since the 1992 Earth Summit in Rio de Janeiro and includes issues such as:

- stewardship of natural resources and their use at sustainable levels;
- safeguarding of wildlife as integral to the global ecosystem on which all life depends;
- need for deeper understanding of the cultural and economic issues at play in producer and consumer countries; and
- wider involvement of civic society in the development of conservation policies and practices.

Strategic Plan

This Plan presents the Convention's Strategic vision as it enters the new millennium. It clearly focuses on a limited number of priority goals and objectives deemed critical to meeting the Convention's purpose to ensure that no species of wild fauna or flora becomes or remains subject to unsustainable exploitation because of international trade. If actively pursued, this Plan will bring the Convention's purpose closer to reality by the year 2005.

GOAL 1: ENHANCE THE ABILITY OF EACH PARTY TO IMPLEMENT THE CONVENTION

The effectiveness of the Convention depends on a coordinated process of implementation that guarantees, in the long term, the achievement by all Parties of the Convention's purpose and objectives outlined in this Strategic Plan. The need for a coordinated process has grown as the Convention faces up to trade issues involving species that often fall beyond the direct reach of the Management and Scientific Authorities. It is also recognized that for trade to be carried out in a responsible manner and based on sustainable use, social and economic incentives are needed to bring local communities and local authorities into partnership with government under an appropriate legislative, policy and financial framework.

Enhanced ability at the national level therefore means improving the following:

- organizational capacity and cooperation;
- policy formulation;
- community, local authority and government partnerships;
- direct benefit and revenue derivation;
- availability of information on which decisions are based;
- national legislation and law enforcement capability; and
- better accessibility and understanding of the Convention's requirements.

These improvements, in turn, should enable a better management of wild animals and plants, and thus reduce the need to include species in the CITES Appendices. It is also important to consider the potential of regional coordination and collaboration for national capacity-building efforts. Finally, strong national

and regional participation in the deliberations and implementation of the Convention can only be fully effective if the three working languages are given proper respect and equity.

Objective 1.1

To assist in the development of appropriate domestic legislation and policies that encourage the adoption and implementation of social and economic incentives allied to legal instruments that:

- promote and regulate sustainable management of wild fauna and flora;
- promote and regulate responsible trade in wild fauna and flora; and
- promote the effective enforcement of the Convention.

Objective 1.2

To strengthen the administrative, management and scientific capacity of Parties by improving the coordination between Management and Scientific Authorities and other national agencies responsible for wild animals and plants.

Objective 1.3

To strengthen the enforcement capacity of the Parties and to improve coordination among Management Authorities and other agencies (e.g. police, Customs and veterinary and phytosanitary services).

Objective 1.4

To facilitate development and use of appropriate technologies and information management systems that enhance and expedite the collection, submission and exchange of accurate information.

Objective 1.5

To encourage organizations capable of supporting the Convention to assist the Secretariat and Parties in building national information management capacities through training and other activities, and to facilitate improved access to and management of databases.

Objective 1.6

To ensure that all Parties have at least one designated Scientific Authority with experts in wild fauna and flora.

Objective 1.7

To improve the coordination between CITES Management and Scientific Authorities, and increase the effectiveness of the latter.

Objective 1.8

To encourage Parties to develop and implement effective management programmes for the conservation and recovery of species, so that the species will no longer satisfy the criteria for inclusion in the Appendices.

Objective 1.9

To encourage the proper funding of CITES implementation and enforcement by Parties, and the adoption of national mechanisms that have resource users make a greater contribution to such funding.

Objective 1.10

To use fully the potential of regional coordination and collaboration in capacity-building efforts.

Objective 1.11

To review and simplify, where possible, existing measures, procedures, mechanisms, and recommendations for the implementation of the Convention.

Objective 1.12

To ensure equity of the three working languages.

GOAL 2: STRENGTHEN THE SCIENTIFIC BASIS OF THE DECISION-MAKING PROCESSES

The work associated with effective implementation of the Convention entails not only the efficient conduct of business at meetings of the Conference of the Parties and its Committees, but also, and perhaps more importantly, the day-to-day implementation activities of Parties. While other factors may come into play in these arenas, they do not override the need for sound, scientifically-based decisions in all areas of the Convention's application and at all levels of its implementation. Increasingly, the Conference of the Parties is required to address and resolve difficult, complex scientific, trade and management issues involving species that are economically important resources. It is vital to ensure that the Convention's Appendices correctly reflect the conservation and management needs of species, and that decisions regarding these Appendices are grounded in sound scientific information. This view was reaffirmed at the ninth meeting of the Conference of the Parties (Fort Lauderdale, 1994) with the adoption of new criteria for amending Appendices I and II. In this regard, sound scientific activities and practical follow-up action to enhance the conservation and recovery of taxa included in the Appendices are vital elements if the Convention is to be implemented effectively. Within the context of the requirement for non-detriment findings, the Convention is grounded in sound biological principles.

Continued strengthening of the treaty's scientific basis is critical to the continued success of the Convention and its relevance as a major international instrument to ensure that wild animals and plants subject to international trade are used at levels that are sustainable by the wild populations. Vital to this goal is an enhancement of the ability of Scientific Authorities to make the necessary scientific findings and fulfil their other scientific obligations under the Convention.

Objective 2.1

To ensure that the Convention's Appendices correctly reflect the conservation and management needs of species.

Objective 2.2

To ensure that decisions to amend the Convention's Appendices are founded on sound and relevant scientific information and meet agreed biological and trade criteria for such amendments.

Objective 2.3

To improve the scientific basis on which Scientific Authorities make non-detriment findings.

Objective 2.4

To develop innovative technologies and encourage relevant research, including research into CITES implementation and enforcement, and to pursue these objectives, where appropriate, at the regional level.

GOAL 3: CONTRIBUTE TO THE REDUCTION AND ULTIMATE ELIMINATION OF ILLEGAL TRADE IN WILD FAUNA AND FLORA

The illegal trade in wild animals and plants is a major factor in the depletion of the world's natural resources in exchange for commercial gain. It undermines the conservation efforts of developing countries, affects the income of rural populations and has driven several species to the brink of extinction.

All countries, whether they are consumers or producers of wild animals and plants, share responsibility to reduce and eventually eliminate illegal trade in wildlife. Successful achievement of this responsibility

entails coordination and cooperation at all levels – local, national, regional and global. Experience has shown that CITES enforcement would greatly benefit from a higher degree of coordination among the authorities and enforcement agencies within party States. Heightened local awareness of and involvement in wildlife protection activities can further national efforts in combating illegal trade. Also, heightened awareness of and understanding by the judiciary of their potential role in deterring illegal activities relating to wild fauna and flora would further strengthen a Party's effort to stem illegal trade. Enforcement of the Convention is primarily a matter of national competence, but bilateral, regional and global cooperation is elementary in combating illegal international trade effectively. As for a number of other CITES goals, the need for regional cooperation to combat wildlife crime is clearly essential. CITES implementation and enforcement depends to a large degree on efficient border and trade controls. Consequently, the involvement of WCO and ICPO-Interpol in enforcement questions is critical.

Objective 3.1

To promote a high degree of cooperation, coordination and collaboration between national and international law enforcement agencies.

Objective 3.2

To stimulate and participate in bilateral, regional and global efforts to combat illegal trade in wild fauna and flora.

Objective 3.3

To encourage mutual technical assistance, including the exchange of information, in enforcement matters.

Objective 3.4

To develop appropriate management strategies and incentives for promoting a change from illegal to legal use of wild fauna and flora.

Objective 3.5

To promote awareness of CITES issues and a greater understanding by the judiciary of the social and economic significance of conservation threats posed by illegal trade in wild fauna and flora.

GOAL 4: PROMOTE GREATER UNDERSTANDING OF THE CONVENTION

To ensure better implementation of CITES, public support and participation must be enhanced through continuous educational processes that not only raise the profile of the Convention but also recognize its beneficial contribution to conservation through sustainable trade management. Involvement of local communities, NGOs, relevant trade associations, the scientific community, media and the general public is essential to heighten an understanding of the Convention. Efforts are necessary at the regional, national and international levels to provide and disseminate accurate information about the aims and functioning of the Convention in order to heighten awareness and improve its implementation. Special attention also needs to be given to public understanding of issues relating to plants.

Objective 4.1

To strengthen communication and collaboration with national and international NGOs.

Objective 4.2

To strengthen alliances with relevant local communities, consumer groups and traders.

Objective 4.3

To promote greater awareness among and cooperation with the scientific community.

Objective 4.4

To produce and disseminate informative materials to a broad public at a local, national and regional levels.

Objective 4.5

To improve communication and collaboration with the media.

Objective 4.6

To strengthen knowledge, promote awareness and facilitate enforcement of flora issues in CITES.

GOAL 5: INCREASE COOPERATION AND CONCLUDE STRATEGIC ALLIANCES WITH INTERNATIONAL STAKEHOLDERS

The Convention states that the Executive Director of the United Nations Environment Programme (UNEP) shall provide a Secretariat. Therefore, the maintenance of an optimal working relationship with UNEP is critical to the proper administration of the Convention. Additionally, the Governing Council of UNEP, at its 20th session (Nairobi, 1999), noted the importance of promoting interlinkages among multilateral environmental conventions and international processes in an effort to achieve a better focus on international policy-making. It calls upon Parties to give due consideration to ways and means to strengthen coherent interlinkages among relevant conventions. Numerous linkages also exist between the aims of CITES and those of other multilateral environmental agreements. Specifically, the missions of CBD and CITES are closely related, thus necessitating a high degree of cooperation and synergy. Cooperation and coordination with species management conventions and agreements are equally important. A number of international organizations such as IUCN and UNEP-WCMC have a wealth of scientific and technical information at their disposal and continue to increase this knowledge through research programmes as well as the updating and maintenance of extensive databases. Again, close cooperation with these organizations is essential for an efficient distribution of responsibilities.

Finally, as CITES achieves its conservation objectives mainly through trade measures, it is important to ensure the continuing recognition and acceptance of CITES measures by WTO and to ensure the mutual supportiveness of the decision-making processes between these bodies.

Objective 5.1

To ensure an optimal working relationship with UNEP, as well as close coordination and synergy with CBD and other relevant multilateral environmental agreements.

Objective 5.2

To ensure close cooperation and coordination with related conventions, agreements and associations.

Objective 5.3

To ensure greater coordination of scientific and technical programmes and, where appropriate, more efficient distribution of responsibilities with relevant technical partners such as IUCN, UNEP-WCMC, TRAFFIC and others.

Objective 5.4

To ensure continuing recognition and acceptance of CITES measures by WTO and to ensure the 'mutual supportiveness' of the decision-making processes between these bodies.

GOAL 6: PROGRESS TOWARD GLOBAL MEMBERSHIP

In order for the Convention to achieve its mission, as many countries as possible that are engaged in trade in wild animals and plants should become Parties. Although membership has grown steadily to more than 150 Parties, there are still countries that have not yet become party to CITES.

The 1983 Gaborone amendment to Article XXI of the Convention envisions accession to the Convention of regional economic integration organizations to which Parties have transferred competence in areas of CITES implementation. To bring such organizations within the Convention, acceptance of the amendment should progress.

Objective 6.1

To secure at least 20 more Parties to the Convention by 2005 with a special focus on range countries of species subject to significant trade and important consumer countries of wild plants and animals, as well as countries located in regions with relatively low representation.

Objective 6.2

To encourage acceptance of the 1983 Amendment to Article XXI of the Convention and the subsequent accession by eligible regional economic integration organizations.

GOAL 7: PROVIDE THE CONVENTION WITH AN IMPROVED AND SECURE FINANCIAL AND ADMINISTRATIVE BASIS

Successful implementation and enforcement of the Convention requires an appropriate level of funding as well as efficient fiscal management and a strong and professional Convention Secretariat. In addition to the need for adequate support at the national level, there is continuing financial need to meet the requirements of operational effectiveness of the Convention and to provide a platform for international coordination and cooperation. Present funding barely covers the Convention's primary expenditures. Programme expenditure on capacity building, scientific research and other projects in support of the aims of the Convention largely depend on voluntary contributions by donors. This financial support is welcome but, if CITES is to continue to play a major role in species conservation, a more stable flow of financial resources is required.

Objective 7.1

To resolve the problem of late and inadequate contributions to the CITES Trust Fund.

Objective 7.2

To ensure that the decisions of the Conference of the Parties take full account of financial implications for the CITES Trust Fund.

Objective 7.3

To secure additional funding for actions under the Convention.

Objective 7.4

To encourage additional voluntary contributions and to seek new ways of securing financial assistance from the donor community.

Objective 7.5

To increase the level of realistic planning and forecasting, and to improve financial and implementation reporting.

Delivering the Strategic Plan through the Action Plan

This Strategic Plan presents a cogent overview of the specific aims of the Convention through 2005. It outlines seven specific goals to meet the Convention's mission, and identifies specific objectives to be achieved to meet those goals. This broad framework is designed to provide a unified focus to the Parties in their implementation of the Convention, and as guidance to the Conference of the Parties, its committees and the Secretariat.

The Strategic Plan also serves as an effective outreach and educational tool to provide a context for the Convention to others. It should be recognized that in order for the strategic planning to contribute successfully to the achievement of the Convention objectives, that process must be able to respond to an ever-changing world. The Strategic Plan is not a static document. Therefore, the Parties must continue to evaluate progress toward these goals and modify the Strategic Plan over time.

Measurable performance indicators should be established for each of the seven major goals to help identify progress toward their successful implementation.

While the Strategic Plan presents an effective framework to focus the Convention through 2005, delivery of that framework requires detailed actions by the Parties, the Secretariat and the three Permanent Committees at meetings of the Conference of the Parties. In order to focus these actions and coordinate their implementation, an Action Plan has been prepared. The Action Plan consists of a matrix of action items by responsible entities to indicate what must be done and by whom to help achieve each objective.

As action points are successfully completed, progress toward achievement of the objective must be evaluated and the Action Plan modified accordingly, with the addition or deletion of action points as required.

Procedures should be developed for periodic review and evaluation of ongoing progress toward completion and revision of the Action Plan, for review of the status of the goal performance indicators, and to evaluate the subsequent achievement of the goals of the Strategic Plan. Between meetings of the Conference of the Parties, this responsibility should be assigned to the Standing Committee.

Acronyms and abbreviations

CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
FAO	Food and Agriculture Organization of the United Nations
GATT	General Agreement on Tariffs and Trade
IATA	International Air Transport Association
ICPO-Interpol	International Criminal Police Organization
IUCN	World Conservation Union
MEA	Multilateral Environmental Agreements
UNEP	United Nations Environment Programme
UNEP-WCMC	UNEP World Conservation Monitoring Centre
WCO	World Customs Organization
WTO	World Trade Organization

Action Plan

The goals and objectives laid down in the Strategic Plan determine the pathway that must be followed. To move along that pathway requires actions and these have been set out in this Action Plan.

Action points		Action by
<p>Objective 1.1</p> <p>To assist in the development of appropriate domestic legislation and policies that encourage the adoption and implementation of social and economic incentives allied to legal instruments that:</p> <ul style="list-style-type: none"> – promote and regulate sustainable management of wild fauna and flora; – promote and regulate responsible trade in wild fauna and flora; and – promote the effective enforcement of the convention. 		
1.1.1	Develop templates of best practice policy and legislative provisions, including several forms recognizing differences in language/culture/legal system.	Secretariat
1.1.2	Develop a planning guide to policy and legislation provisions, including a scientific basis for decision making which is woven into the legislation (to enhance capacity building).	Secretariat
1.1.3	Exchange experience on provisions that work well or not well.	Parties, Secretariat
1.1.4	Ensure adequate review and adoption of policies and legislation (e.g. land tenure; access to natural resources; harvesting; transporting, handling and housing of live specimens; and effective seizures, fines and penalties) which may be having a significant impact on the conservation status of species or implementation of the Convention.	Parties, Secretariat, Animals Committee
1.1.5	Enhance compliance with implementation of recommendations and Decisions of the Conference of the Parties.	Parties, Secretariat
1.1.6	Develop further regulations to prevent unnecessary loss during catching, storage and transportation of live animals.	Parties, Secretariat, Animals Committee
<p>Objective 1.2</p> <p>To strengthen the administrative, management and scientific capacity of Parties by improving the coordination between Management and Scientific Authorities and other national agencies responsible for wild animals and plants.</p>		
1.2.1	Convene regional and within-Party workshops to identify functional roles and train all levels of administration and related agencies.	Parties, Secretariat
1.2.2	Develop a national directory of government officials responsible for CITES issues.	Parties
1.2.3	Improve coordination between Scientific Authorities and other agencies (e.g. universities, museums) to maximize transfer of knowledge and skills.	Scientific Authorities, Secretariat
1.2.4	Collate and make accessible lists of specialists (national and regional).	Scientific and Management Authorities

Action points		Action by
Objective 1.3		
To strengthen the enforcement capacity of the Parties and to improve coordination among Management Authorities and other agencies (e.g. Police, Customs and veterinary and phytosanitary services).		
1.3.1	Convene regional and within-Party workshops to identify functional roles and train all levels of administration and related agencies responsible for CITES enforcement.	Parties, Secretariat
1.3.2	Produce modular procedural manuals pertaining to enforcement that can be customized for national and regional differences.	Parties, Secretariat
1.3.3	Develop a national directory of government officials responsible for CITES enforcement issues.	Parties
1.3.4	Collate and make accessible lists of taxonomic, forensic and identification experts.	Scientific and Management Authorities
1.3.5	Identify focal points in agencies (e.g. Police, Customs, veterinary and phytosanitary services) responsible for assisting CITES enforcement.	Parties
1.3.6	Provide training for staffs of enforcement agencies, and improve the distribution of existing public awareness tools for enforcement purposes.	Parties
Objective 1.4		
To facilitate development and use of appropriate technologies and information management systems that enhance and expedite the collection, submission and exchange of accurate information.		
1.4.1	On the basis of information from Parties, evaluate needs, capabilities and opportunities related to information technologies and management.	Secretariat, with three permanent Committees
1.4.2	Encourage use of technology such as the Internet and CD-ROM for data and information exchange and training.	Secretariat, Parties
1.4.3	Develop and implement an information management strategy and training programmes based on 1.4.1 and 1.4.2.	Secretariat, Parties
1.4.4	Develop a simple guide to the Review of Significant Trade.	Secretariat, Animals and Plants Committees
1.4.5	Develop and enhance databases that include information related to species in trade, CITES Decisions and procedures.	Secretariat, Animals and Plants Committees
Objective 1.5		
To encourage organizations capable of supporting the Convention to assist the Secretariat and Parties in building national information management capacities through training and other activities, and to facilitate improved access to and management of databases.		
1.5.1	On the basis of information from Parties, evaluate national capacity and training needs.	Secretariat
1.5.2	Identify organizations with potential for assisting in training and capacity building.	Secretariat
1.5.3	Develop a list of available databases and information sources consistent with Objective 1.4.	Secretariat
1.5.4	Make relevant databases user-friendly.	Secretariat
1.5.5	Enhance compliance with implementation of recommendations and Decisions of the Conference of the Parties.	Parties, Secretariat

Action points		Action by
Objective 1.6		
To ensure that all Parties have at least one designated Scientific Authority with experts in wild fauna and flora.		
1.6.1	Advise and assist Parties in exploring options and models for establishing Scientific Authorities.	Secretariat
1.6.2	Pursue on a regular basis progress toward the designation of Scientific Authorities by all Parties.	Secretariat
Objective 1.7		
To improve the coordination between CITES Management and Scientific Authorities, and increase the effectiveness of the latter.		
1.7.1	Develop a manual specifying the obligations and procedures of the Scientific Authorities in order to encourage the development of specific training courses for them.	Secretariat with Animals and Plants Committees
1.7.2	Develop regional directories that list the botanists and zoologists in each region who are experts in CITES-listed species.	Plants Committee, Animals Committee
1.7.3	Communicate to the Parties the importance and advisability of including plants experts within the structure of the Scientific Authorities.	Plants Committee
1.7.4	Facilitate workshops and training programmes in issuance of non-detriment findings.	Secretariat
1.7.5	Ensure that Management Authorities consult with Scientific Authorities on all permits to be issued that require Scientific Authority findings, and that those findings are independent and cannot be overridden.	Parties
Objective 1.8		
To encourage Parties to develop and implement effective management programmes for the conservation and recovery of species, so that the species will no longer satisfy the criteria for inclusion in the Appendices.		
1.8.1	Share experience gained by different countries in conservation, management and the recovery of species with other countries.	Parties, Secretariat
1.8.2	Promote establishment of effective programmes for species conservation, management and recovery.	Parties, Secretariat
1.8.3	Establish national and regional networked rescue centres for animals and plants.	Parties
1.8.4	Develop and incorporate scientific baselines in management plans for traded Appendix-II species, designed to ensure that any trade is sustainable.	Parties
1.8.5	Report biennially on progress related to this objective.	Parties, Secretariat
Objective 1.9		
To encourage the proper funding of CITES implementation and enforcement by Parties, and the adoption of national mechanisms that have resource users make a greater contribution to such funding.		
1.9.1	On the basis of information from Parties, evaluate existing mechanisms for obtaining funds from resource users for conservation benefit, and share this information to encourage other Parties to adopt such mechanisms.	Parties, Secretariat

Action points		Action by
1.9.2	Ensure adequate funding for necessary research and investigation on CITES species.	Parties
Objective 1.10		
To use fully the potential of regional coordination and collaboration in capacity-building efforts.		
1.10.1	Identify and make available information on existing regional entities that could be used to assist with information sharing, capacity building and funding.	Secretariat, Standing Committee
1.10.2	Interact with existing regional networks, organizations and focal points.	Secretariat, Standing Committee, Parties
1.10.3	Ensure that representatives on all committees are enabled by their Governments to carry out their responsibilities.	Secretariat, Parties
Objective 1.11		
To review and simplify, where possible, existing measures, procedures, mechanisms, and recommendations for the implementation of the Convention.		
1.11.1	On the basis of information from Parties, identify those measures, procedures and mechanisms that would benefit from review and simplification.	Parties, Secretariat
1.11.2	Make recommendations on possible review, modification and consolidation.	Secretariat
1.11.3	Continue consolidation process of Resolutions and recommendations as appropriate.	Secretariat
1.11.4	Produce modular procedural manuals for CITES implementation that can be customized for national and regional differences.	Parties, Secretariat
Objective 1.12		
To ensure equity of the three working languages.		
1.12.1	Continue to ensure that all meetings of the permanent Committees are interpreted in all three working languages, and endeavour to ensure that all documents are made available in all three working languages.	Parties, Secretariat
1.12.2	Review current translation systems and recommend cost-effective alternatives to improve efficiency and cut costs.	Secretariat
1.12.3	Ensure that the three permanent Committees and the Conference of the Parties do not discuss any document not made available in advance in all three languages.	Secretariat, Conference of the Parties
Objective 2.1		
To ensure that the Convention's Appendices correctly reflect the conservation and management needs of species.		
2.1.1	Ensure periodic review and refinement of the listing criteria to ensure their applicability to broad taxonomic groups, scientific validity and utility.	Parties
2.1.2	Regularly review the Appendices to ensure that listed taxa satisfy the relevant criteria.	Animals and Plants Committees
2.1.3	Continue the Review of Significant Trade as initiated by the Parties in Resolution Conf. 8.9 (Rev.).	Animals and Plants Committees

Action points		Action by
2.1.4	Evaluate trade and biological information on currently unlisted species subject to significant international trade to determine whether they would qualify for and benefit from CITES listing.	Animals and Plants Committees
Objective 2.2		
To ensure that decisions to amend the Convention's Appendices are founded on sound and relevant scientific information and meet agreed biological and trade criteria for such amendments.		
2.2.1	All proposals to amend the Appendices should conform to the relevant criteria.	Parties
2.2.2	Encourage Parties to consult with the Animals and Plants Committees as appropriate to assist in the preparation of proposals to amend the Appendices.	Secretariat, Animals and Plants Committees
2.2.3	For identified commodities, develop standardized units of measure for permits, trade analysis and reporting.	Secretariat, Animals and Plants Committees
2.2.4	Encourage the analysis of annual report information in the development of proposals to amend the Appendices.	Parties, Secretariat
Objective 2.3		
To improve the scientific basis on which Scientific Authorities make non-detriment findings.		
2.3.1	Develop practical guidance for making non-detriment findings, including a manual and checklist, and samples of non-detriment findings and case studies.	Secretariat with Animals and Plants Committees
2.3.2	Facilitate national and regional training for Scientific Authorities in the issuance of scientifically based non-detriment findings; include the use of the aforementioned guidance on non-detriment findings.	Secretariat with Animals and Plants Committees
2.3.3	Ensure that the necessary scientific information is taken into consideration when making non-detriment findings (e.g. life history, ecological adaptability, distribution, abundance, population trends and management programme).	Parties
2.3.4	Ensure that management plans involve periodic research, monitoring, testing, evaluation and opportunities for improvement (including adaptive management).	Parties
2.3.5	Provide opportunities for Scientific Authorities to exchange information and data (e.g. sharing of non-detriment findings; sharing of data, management plans and case studies; postings to a website; and communication through a listserver).	Parties, Secretariat, Animals and Plants Committees
Objective 2.4		
To develop innovative technologies and encourage relevant research, including research into CITES implementation and enforcement, and to pursue these objectives, where appropriate, at the regional level.		
2.4.1	In collaboration with enforcement agencies, identify the needs for and potential benefits of innovative technologies.	Secretariat, Animals and Plants Committees, Parties
2.4.2	In collaboration with Parties, international agencies, and relevant research entities, identify the available technologies (e.g. digital technology, microchips, barcodes, holograms, DNA testing) relevant to assisting the better implementation of the Convention.	Secretariat, Animals and Plants Committees
2.4.3	Encourage the adoption and use of such technologies in CITES processes and procedures (e.g. licensing, verification, enforcement, communication).	Secretariat, Parties

Action points		Action by
2.4.4	Develop with relevant institutions collaborative research projects for testing the appropriateness of new and forthcoming technologies.	Secretariat, Animals and Plants Committees
2.4.5	Assess progress on a regional basis.	Standing, Animals and Plants Committees
Objective 3.1		
To promote a high degree of cooperation, coordination and collaboration between national and international law enforcement agencies.		
3.1.1	Establish, communicate and agree on international priorities for enforcement.	Parties, Secretariat
3.1.2	Encourage each enforcement agency to identify suitable contacts for WCO, Interpol, and other relevant international enforcement entities.	Parties
3.1.3	Share information on illegal trade, seizures and ongoing investigations with other relevant Parties.	Parties
3.1.4	Liase with Interpol and WCO working groups on environmental crime.	Parties, Secretariat
Objective 3.2		
To stimulate and participate in bilateral, regional and global efforts to combat illegal trade in wild fauna and flora.		
3.2.1	Develop and expand effective regional cooperative efforts, particularly among countries with common borders.	Parties, Secretariat
3.2.2	Initiate and expand regional enforcement contact networks.	Parties
3.2.3	Convene regional enforcement training workshops.	Parties, Secretariat
3.2.4	Facilitate exchange of intelligence information.	Parties, Secretariat
3.2.5	Formally recognize and award exemplary enforcement actions.	Parties, Secretariat
Objective 3.3		
To encourage mutual technical assistance, including the exchange of information, in enforcement matters.		
3.3.1	Encourage enforcement agencies to share technology (e.g. forensic).	Parties
3.3.2	Collaborate in the production of pertinent identification materials.	Parties, Secretariat
3.3.3	Promote development of new technologies for the identification of specimens in trade.	Parties, Secretariat
Objective 3.4		
To develop appropriate management strategies and incentives for promoting a change from illegal to legal use of wild fauna and flora.		
3.4.1	Develop and implement appropriate economic, education, and awareness programmes that lead to greater local involvement in wildlife management, and stimulate participation in combating illegal trade within and from producer countries.	Parties
3.4.2	Develop and implement targeted awareness programmes that promote voluntary compliance with wildlife trade regulations by user groups in consumer countries.	Parties

Action points		Action by
3.4.3	On the basis of information from Parties, develop templates of best practice in regard to the strategies and incentives concerned, and encourage Parties to adopt them.	Secretariat
Objective 3.5		
To promote awareness of CITES issues and a greater understanding by the judiciary of the social and economic significance of conservation threats posed by illegal trade in wild fauna and flora.		
3.5.1	Contribute papers and articles to law journals and other publications.	Parties, Secretariat
3.5.2	Attend and contribute to legal conferences.	Parties, Secretariat
3.5.3	Provide training to raise awareness of judges and prosecutors.	Parties, Secretariat
3.5.4	Encourage the judiciary to apply more appropriate penalties when dealing with wildlife crime.	Parties, Secretariat
Objective 4.1		
To strengthen communication and collaboration with national and international NGOs.		
4.1.1	Recognize the significant contributions of NGOs to CITES process and encourage greater NGO participation in CITES outreach.	Parties, Secretariat
4.1.2	Encourage Parties to enhance communication and collaboration with local and national NGOs.	Secretariat
4.1.3	Improve availability of CITES information to a broad spectrum of NGOs.	Parties, Secretariat
4.1.4	Collaborate with NGOs in public education and outreach campaigns.	Parties, Secretariat
4.1.5	Meet regularly with local and national NGOs.	Parties
4.1.6	Meet regularly with international NGOs.	Secretariat
Objective 4.2		
To strengthen alliances with relevant local communities, consumer groups and traders.		
4.2.1	Identify audiences to be targeted and their needs.	Parties, Secretariat
4.2.2	Develop campaigns and materials for the distribution of information to targeted groups, with a specific focus on Appendix II.	Parties, Secretariat
4.2.3	Promote awareness of the impacts of consumption patterns and demands on species conservation.	Parties, Secretariat
4.2.4	Meet regularly with targeted groups and encourage their active participation.	Parties, Secretariat
Objective 4.3		
To promote greater awareness among and cooperation with the scientific community.		
4.3.1	Identify audiences to be targeted within the scientific community (e.g. specialist groups, universities, scientific societies, museums, academic institutions).	Parties, Secretariat
4.3.2	Participate actively at scientific meetings and conferences, and encourage participation in CITES issues by the scientific community.	Secretariat, Scientific Authorities, Animals and Plants Committees
4.3.3	Encourage the scientific community to focus their efforts on national CITES priorities.	Parties

Action points		Action by
Objective 4.4		
To produce and disseminate informative materials to a broad public at a local, national and regional levels.		
4.4.1	Develop information that is culturally and locally relevant, as well as technically accurate.	Parties, Secretariat
Objective 4.5		
To improve communication and collaboration with the media.		
4.5.1	Inform media about CITES-related activities and its regional and global achievements.	Parties, Secretariat
4.5.2	Identify national media outlets and contacts for dissemination of CITES information.	Parties, Secretariat
4.5.3	Develop factual media packets on relevant CITES issues (e.g. fact sheets, CD-ROMs, videos).	Parties, Secretariat
Objective 4.6		
To strengthen knowledge, promote awareness and facilitate enforcement of flora issues in CITES.		
4.6.1	Ensure that adequate attention is given to plant conservation in all activities related to the implementation of this Plan.	Parties, Secretariat
Objective 5.1		
To ensure an optimal working relationship with UNEP, as well as close coordination and synergy with CBD and other relevant multilateral environmental agreements.		
5.1.1	Enhance national liaison between CITES and national MEA focal points.	Parties
5.1.2	Enhance regional and international liaison between CITES and MEA focal points.	Parties, Secretariat
5.1.3	Develop and implement joint projects with other MEAs (e.g. capacity building, trade controls, enforcement, scientific and technical coordination, project development and implementation).	Parties, Secretariat
Objective 5.2		
To ensure close cooperation and coordination with related conventions, agreements and associations.		
5.2.1	Develop a mechanism to ensure transfer and exchange of information between CITES and relevant conventions, agreements and associations for species of concern.	Parties, Secretariat
5.2.2	Consider the criteria and Decisions of other Conventions, agreements and associations when considering the proposals to amend the Appendices, draft resolutions and decisions.	Parties, Secretariat
5.2.3	Encourage other Conventions, agreements and associations, when making their decisions, to consider the criteria designed and Decisions made by CITES Parties.	Parties, Secretariat
Objective 5.3		
To ensure greater coordination of scientific and technical programmes and, where appropriate, more efficient distribution of responsibilities with relevant technical partners such as IUCN, UNEP-WCMC, TRAFFIC and others.		
5.3.1	Identify responsibilities of relevant technical partners and ensure adequate coordination and mutual awareness of work programmes to avoid duplication.	Parties, Secretariat

Action points		Action by
5.3.2	Develop mechanisms to disseminate information to Parties on actions of relevant technical partners and furtherance of the Convention.	Secretariat
5.3.3	Inform Secretariat of Parties' projects with technical partners.	Parties
Objective 5.4		
To ensure continuing recognition and acceptance of CITES measures by WTO and to ensure the 'mutual supportiveness' of the decision-making processes between these bodies.		
5.4.1	Enhance national liaison between CITES and WTO focal points.	Parties
5.4.2	Enhance regional and international liaison between CITES and WTO.	Secretariat
Objective 6.1		
To secure at least 20 more Parties to the Convention by 2005 with a special focus on range countries of species subject to significant trade and important consumer countries of wild plants and animals, as well as countries located in regions with relatively low representation.		
6.1.1	Identify priority non-Party countries and pursue their accession.	Secretariat
6.1.2	Engage in bilateral discussions with non-Parties to encourage their accession and adoption of appropriate implementing legislation.	Parties, Secretariat
Objective 6.2		
To encourage acceptance of the 1983 Amendment to Article XXI of the Convention and the subsequent accession by eligible regional economic integration organizations.		
6.2.1	Identify which additional countries are needed to accept the 1983 Amendment to Article XXI, so that it can enter into force.	Secretariat
6.2.2	Meet with appropriate officials of those countries.	Secretariat, relevant Parties
Objective 7.1		
To resolve the problem of late and inadequate contributions to the CITES Trust Fund.		
7.1.1	Analyse the budgeting process of the Secretariat in context of budgeting and financial management of different countries and pursue appropriate remedies (e.g. computation of financial year, dealing with currency conversion).	Standing Committee, Secretariat
7.1.2	Encourage Parties to pay their contributions in a timely manner.	Secretariat
7.1.3	Recommend incentives and remedies to ensure payment of contributions.	Standing Committee, Secretariat
Objective 7.2		
To ensure that the decisions of the Conference of the Parties take full account of financial implications for the CITES Trust Fund.		
7.2.1	Ensure that the work programmes of meetings of the Conference of the Parties are designed to consider the financial implications of all decisions prior to adopting a final budget.	Parties, Secretariat

Action points		Action by
7.2.2	Comply with relevant Resolutions requesting information on budgetary implications when presenting proposals and draft resolutions to the Conference of the Parties.	Parties, Secretariat
7.2.3	Evaluate the budgetary implications for the Trust Fund and potential for donor funding for proposals with substantive impact, prior to adoption of such proposals.	Conference of the Parties
7.2.4	In the budgeting process, identify priorities for projects and actions under the Trust Fund and for donor funding.	Conference of the Parties
Objective 7.3		
To secure additional funding for actions under the Convention.		
7.3.1	Establish a fund-raising strategy.	Parties, Secretariat
7.3.2	Create a position within the Secretariat that focuses on acquisition of funding.	Parties, Secretariat
7.3.3	Encourage development of new funding mechanisms.	Parties, Secretariat
7.3.4	Encourage additional voluntary contributions.	Parties, Secretariat
7.3.5	Enhance fund-raising efforts with foundations and corporations.	Parties, Secretariat
7.3.6	Establish funding mechanisms that access funding from resource users in importing and exporting countries.	Parties, Secretariat, Standing Committee
7.3.7	Develop a marketing strategy for the Convention.	Secretariat
Objective 7.4		
To encourage additional voluntary contributions and to seek new ways of securing financial assistance from the donor community.		
7.4.1	Initiate dialogue through UNEP to explore mechanisms for accessing Global Environment Facility (GEF) funding for CITES priorities.	Parties, Secretariat
7.4.2	Establish a fund-raising strategy linking with the strategy in 7.3.	Parties, Secretariat
Objective 7.5		
To increase the level of realistic planning and forecasting, and to improve financial and implementation reporting.		
7.5.1	Analyse the current budgeting and planning process to improve forecasting.	Parties, Secretariat
7.5.2	Explore opportunities for refining the budgeting process and presentation to maximize efficiency and transparency, leading to improved reporting, decision-making and accountability.	Parties, Secretariat, Standing Committee
7.5.3	Ensure that all meetings of the Standing Committee include meetings of the Finance Subcommittee.	Standing Committee

Selection of taxa

1. The Chairmen of the Animals and Plants Committees, in collaboration with the Secretariat, should prepare separate lists of species for review.
2. The taxa should be selected on the basis of the results of the Animals and Plants Committees' work on the regular review of the appendices, but may include, where appropriate, taxa that have not been subject to that review.
3. In order to evaluate the applicability of the criteria to all organisms, using all appropriate sources, the Animals and Plants Committees should identify a variety of other taxa, or groups of taxa, not currently included in the appendices to the Convention, as additional candidates for review.
4. The lists should be circulated to the members of the Animals and Plants Committee for their consideration and comments.
5. The species assessments resulting from the review of the appendices should follow the format detailed in Annex 2 A and B.

The review process

6. A Criteria Working Group, comprising 12 individuals, should be established by the Conference of the Parties at its 11th meeting.
7. Representation on the Working Group should be on the basis of expertise across all major taxonomic groups drawn from a representative or alternate representative of the Animals Committee (appointed by its Chairman) and a representative or alternate representative of the Plants Committee (appointed by its Chairman) from each of the six CITES regions. The Criteria Working Group should be serviced by the Secretariat.
8. At its first meeting, convened by the Secretariat, the Criteria Working Group should elect a Chairman and Vice-chairman from among the members of the Group.
9. The Criteria Working Group should have the authority, in consultation with the Secretariat, to co-opt, as and when necessary, up to four external experts to assist it in conducting the review, including representatives from organizations such as FAO and ITTO.
10. The Criteria Working Group should address *inter alia* the following questions:
 - a) Are the present criteria in Resolution Conf. 9.24, Annexes 1 and 2, and definitions and notes in Annex 5 scientifically valid and applicable to and sufficient for all taxonomic groups of plants and animals?
 - b) Are the present guidelines in Annex 5 useful in assisting Parties to apply Resolution Conf. 9.24 when making proposals to amend the appendices to the Convention?
 - c) Does the format in Annex 6 address the biological information requirements and focus the proponent on the information required to assess a proposal against the criteria?
11. The species assessments, provided by the Animals and Plants Committees, will assist the Working Group to identify any deficiencies in Resolution Conf. 9.24. If deficiencies are identified, the Working Group should develop proposals for consideration at the 12th meeting of the Conference of the Parties.

12. The results of the review should be fully documented and a preliminary report will be submitted to the Secretariat for circulation to the Parties, to interested intergovernmental organizations, and to non-governmental organizations, seeking their comments. Respondents will have 60 days in which to provide written comments to the Secretariat.
13. The analyses and any conclusions reached by the Criteria Working Group should be reviewed at a joint meeting of the Animals and Plants Committees taking into account the comments received.
14. A final report, amended as appropriate, should be prepared by the Chairmen of the Animals and Plants Committees for submission to the Conference of the Parties at its 12th meeting, including if necessary any proposed amendments to Resolution Conf. 9.24.
15. N.B. Some text included in Resolutions adopted at the tenth meeting of the Conference of the Parties and in draft resolutions for the 11th meeting might more properly be included in Resolution Conf. 9.24. If the Criteria Working Group is proposing amendments to Resolution Conf. 9.24, it should take these into account.

Funding

16. At its 11th meeting, the Conference of the Parties should allocate sufficient funds in the Budget of the Secretariat for the period 2000-2002 to finance the activities of the Criteria Working Group and the associated joint meeting of Animals and Plants Committees. The amount of the budget required will be indicated by the Secretariat.

Timetable

17. The following timetable is suggested on the assumption that the 12th meeting of the Conference of the Parties will be held in the second half of the year 2002.

1999	SC41:	Requests the Chairmen of the Animals and Plants Committees to prepare terms of reference for the review process.
	Chairmen:	The Chairmen of the Animals and Plants Committees will prepare a draft proposal for the Terms of Reference for review of the criteria, for presentation to the 42nd meeting of the Standing Committee.
2000	April:	11th meeting of the Conference of the Parties to agree on a review process.
	June-July:	The Secretariat to convene a meeting of the Criteria Working Group.
	August:	The Criteria Working Group to submit a report to the Secretariat for circulation to and consultation with the Parties and relevant international organizations.
	November:	Joint meeting of the Animals and Plants Committees (including the co-opted experts from the Criteria Working Group); preparation of draft report.
2001	April-May:	Consultation with the Parties.
	November:	The Chairmen of the Animals and Plants Committees prepare the final report for submission to the Standing Committee before the end of the year.
2002	February-March:	The Standing Committee considers the adoption of the report and its presentation to CoP12.

Appendix-I biological criteria

A. The wild population is small, and is characterized by at least one of the following:

- i) an observed, inferred or projected decline in the number of individuals or the area and quality of habitat; or
- ii) each sub-population being very small; or
- iii) a majority of individuals, during one or more life-history phases, being concentrated in one sub-population; or
- iv) large short-term fluctuations in the number of individuals; or
- v) a high vulnerability due to the species' biology or behaviour (including migration).

B. The wild population has a restricted area of distribution and is characterized by at least one of the following:

- i) fragmentation or occurrence at very few locations; or
- ii) large fluctuations in the area of distribution or the number of sub-populations; or
- iii) a high vulnerability due to the species' biology or behaviour (including migration); or
- iv) an observed, inferred or projected decrease in any one of the following:
 - the area of distribution; or
 - the number of sub-populations; or
 - the number of individuals; or
 - the area or quality of habitat; or
 - reproductive potential.

C. A decline in the number of individuals in the wild, which has been either:

- i) observed as ongoing or as having occurred in the past (but with a potential to resume); or
- ii) inferred or projected on the basis of any one of the following:
 - a decrease in area or quality of habitat; or
 - levels or patterns of exploitation; or
 - threats from extrinsic factors such as the effects of pathogens, competitors, parasites, predators, hybridization, introduced species and the effects of toxins and pollutants; or
 - decreasing reproductive potential.

D. The status of the species is such that if the species is not included in Appendix I, it is likely to satisfy one or more of the above criteria within a period of five years.

A species should be included in Appendix II when <i>either</i> A or B and at least <i>one</i> of the trade criteria is met:									
Criteria⇒	A It is known, inferred or projected that unless trade in a species is subject to strict regulation, it will meet at least one of Appendix I criteria in the near future	B It is known, inferred or projected that the harvesting of specimens from the wild for international trade has, or may have, a detrimental impact on the species by either :		Trade Criteria A species must meet at least one of the following (i-iv):				Appendix II (Y/N)	Application problems
		i) exceeding, over an extended period, the level that can be continued in perpetuity	ii) reducing it to a population level at which its survival would be threatened by other influences	i	ii	iii	iv		

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- Key: Y taxon satisfies the criteria
 N1 taxon does not meet the criteria: sufficient information
 N2 taxon does not meet the criteria: insufficient information
 N3 taxon does not meet the criteria: no information

The representatives of the Parties to the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) of the Region of Central and South America and the Caribbean, having met in Quito, Ecuador, from 29 February to 2 March 2000;

RECOGNIZING the importance of the Convention as a valuable instrument to protect the species of wild fauna and flora in the region and to guarantee their sustainable use;

CONSIDERING that, from 10 to 20 April 2000, the 11th meeting of the Conference of the Parties to the Convention will be held in Nairobi, Kenya;

CONCLUDE AND RECOMMEND to:

- a) emphasize the need to enhance cooperation amongst neighbouring countries or countries belonging to the same sub-region in order to coordinate the efforts against illegal trade, recognizing that one of the threats that affect wildlife species of the region is the illicit trade;
- b) promote, when appropriate, the adoption or enhancement in each country of effective legislation. The purpose of this legislation is to regulate the trade in CITES-listed species and to penalize offenders engaging in illicit activities. To this end, the Parties commit themselves to review their legislation and, if necessary, proceed to its amendment, in order to ensure effective implementation of the Convention;
- c) promote the development of exchange programmes to share well-founded scientific information, in order to conserve the species protected under CITES. This information will be compiled by competent regional institutions, with the help, if necessary, of international experts. The Parties recognize that up-to-date and accurate information is essential to arrive at non-detriment findings regarding the survival of species, at the same time recognizing the benefits derived from management plans or pilot projects of an experimental nature;
- d) promote capacity building programmes at a national and regional level, aimed at officials responsible for the implementation of the Convention, at different levels and institutions;
- e) promote the creation of a regional fund for the purpose of financing programmes for compilation and exchange of scientific data, population studies and management plans for wild species. The Parties commit themselves to collaborate closely with the CITES Secretariat, as well as with international and regional organizations, in fund-raising activities that will allow them to carry out such studies and programmes;
- f) consider regional cooperation as a special priority for the protection of wildlife. For this reason, the Parties commit themselves to strengthening the existing mechanisms of regional cooperation with the purpose of establishing harmonized policies and coordinating mechanisms to carry out activities related to the application within CITES in the region;
- g) establish or, where appropriate, improve coordination mechanisms among relevant government agencies. In this sense, the Parties shall endeavour to ensure permanent consultations amongst institutions responsible for the environment, for external trade, for foreign affairs, for agriculture, as well as Customs and Police agencies, the judiciary and other competent authorities; and
- h) recommend that all efforts be made to ensure the continuity and periodicity of regional meetings.

The representatives of the Parties to CITES at the First CITES Regional Meeting for Central and South America and the Caribbean (Quito, March 2000) wish to express their special thanks to the Ecuadorian Government for its important contribution in organizing and hosting this regional meeting, as well as to the CITES Secretariat for its support throughout the whole process. Financial support from the Netherlands and Spain is gratefully acknowledged.

Adopted in San Francisco de Quito (Ecuador), 2 March 2000, in two identical copies, in Spanish and in English.

Victoria Lichtschein
ARGENTINA
Regional Representative

Dimas Botello
PANAMA
Regional Representative

Danilo Silva
ECUADOR
Chairman of the Meeting

Annex 4

Terms of reference of the Tiger Enforcement Task Force (TETF)

The TETF is an enforcement group with the objective of combating illicit trade in tigers and tiger parts and derivatives, as defined by the Conference of the Parties at its 11th meeting. The TETF operates in accordance with the basic principles and rules specific to the enforcement activities performed.

1. The activities of the TETF will be coordinated by the CITES Secretariat following agreement with the participating Parties. The Secretariat will arrange for the secretarial and administrative support.
2. The TETF will consist of middle to senior officials drawn from law enforcement agencies and/or Customs authorities of CITES Parties of tiger range and consumer States for the length of time agreed upon by participating Parties.
3. The TETF will provide technical advice on wildlife crime and illicit trade, and intelligence support to Parties to the Convention. Only country representatives will be responsible for operations within their territory.
4. The TETF will, when targeting wildlife crime and illicit trade in tiger specimens, ensure that the relevant CITES Management Authorities are kept informed, on a need to know basis, of its activities and maintain ongoing liaison with such authorities.
5. The CITES Secretariat will report upon the work of the TETF at each meeting of the Standing Committee and will be responsible for the dissemination of information useful for the Parties.
6. The TETF will, when appropriate, liaise and cooperate with ICPO-Interpol, the World Customs Organization and appropriate regional law enforcement groups.
7. The TETF will establish and maintain a network and lines of communication for the handling of intelligence data relating to wildlife crime and illicit trade in tiger specimens to the law enforcement agencies of the Parties.
8. The TETF will be tasked with disseminating information relating to developments in law enforcement and forensic science techniques, relevant to the tiger, to all CITES Parties that can benefit from such information. To this end, the TETF may engage in and/or support specific training at international, regional and national levels in cooperation with the relevant CITES Management Authorities and/or law enforcement agencies.
9. The TETF should where appropriate and relevant, seek to draw upon the wildlife trade knowledge of the TRAFFIC Network and other sources.
10. The TETF will not disclose intelligence obtained during its activities to any individual or organization, other than ICPO-Interpol, the World Customs Organization, relevant CITES Management Authorities and/or governmental law enforcement agencies of a CITES Party.
11. The TETF will, when appropriate, be expected to provide advice to Parties, the CITES Secretariat, the Animals Committee and the Standing Committee, to assist in the development of project proposals, strategies, draft resolutions and decisions to assist in the enforcement and implementation of the Convention at international, regional national and levels. The TETF will be expected to respond to requests for expert advice from the CITES Secretariat, the Standing Committee and the Conference of the Parties.
12. The number and level of activities of the TETF is subject to the availability of funding.
13. Any participating Party may withdraw its representative from the task force by informing the other participating Parties of its intent 90 days before the withdrawal.