



**Decision 19.189: Technical Workshop on *Aquatic species listed in the CITES Appendices*
23 – 24 April 2024 (CICG, Geneva, Switzerland)**

CRITERIA FOR THE AMENDMENT OF APPENDICES I AND II: PROCESSES TO DATE

1. This document has been prepared by the Secretariat and provides information relating to the processes to review and amend the criteria for the amendment of Appendices I and II over time. Links to documents and reports considered during these processes are provided to facilitate access to information that may be of interest to workshop participants.
2. The Secretariat notes that consultative processes involving Parties, the Standing Committee, Animals and Plants Committees, specialized agencies of the United Nations, inter-governmental and non-governmental organizations were followed to review the criteria. The scope of taxa included in the Appendices was considered throughout these processes and included a review of selected taxa by the Animals and Plants Committees to ensure that the applicability of the criteria to a broad array of taxa is assessed.
3. Annex 5 of [Resolution Conf. 9.24 \(Rev. CoP17\)](#) on the *Criteria for amendment of Appendices I and II* includes various reminders that taxon-specific considerations should be taken into consideration. The following note is included in bold at the beginning of Annex 5:

“NOTE: Where numerical guidelines are cited in this Annex, they are presented only as examples, since it is impossible to give numerical values that are applicable to all taxa because of differences in their biology.”

4. The following definitions in Annex 5 of Resolution Conf. 9.24 (Rev. CoP17) include references to taxon-specific considerations:

- **Area of distribution:**

“.....The determination that a species has a restricted area of distribution is taxon-specific and should take into account considerations such as habitat specificity, population density and endemism.”

- **Decline:**

“.... The judgement that a decline is marked is taxon-specific and can be justified by a number of considerations, for example the population dynamics of a related taxonomic group. A general guideline for a marked historical extent of decline is a percentage decline to 5%-30% of the baseline, depending on the biology and productivity of the species...”

The extremes of 5% and 30% will be applicable to only a relatively small number of species, but some species may even fall outside of these extremes. However, both these figures are presented only as examples, since it is impossible to give numerical values that are applicable to all taxa because of differences in their biology...

A general guideline for a marked recent rate of decline is a percentage decline of 50% or more in the last 10 years or three generations, whichever is the longer. If the population is small, a percentage decline of 20% or more in the last 5 years or 2 generations (whichever is the longer) may be more appropriate. However, these figures are presented only as examples, since it is impossible to give numerical values that are applicable to all taxa because of differences in their biology...”

- **Footnote 2:**

“..... In considering the percentages indicated above, account needs to be taken of taxon- and case-specific biological and other factors that are likely to affect extinction risk. Depending on the biology, patterns of exploitation and area of distribution of the taxon, vulnerability factors (as listed in this Annex) may increase this risk, whereas mitigating factors (e.g. large absolute numbers or refugia) may reduce it.”

- **Small wild population:**

“The judgement that a wild population is small is taxon-specific and can be justified by a number of considerations, for example the population of a related taxonomic group. For some low-productivity species where data exist to make an estimate, a figure of less than 5,000 individuals has been found to be an appropriate guideline (not a threshold) of what constitutes a small wild population, but the number could be higher for higher productivity species. However, this figure is presented only as an example, since it is impossible to give numerical values that are applicable to all taxa. There will be many cases where this numerical guideline does not apply.”

- **Very small wild subpopulation:**

“The judgement that a wild subpopulation is very small is taxon-specific. For some species where data exist to make an estimate, a figure of less than 500 individuals has been found to be an appropriate guideline (not a threshold) of what constitutes a very small wild subpopulation. However, this figure is presented only as an example, since it is impossible to give numerical values that are applicable to all taxa. There will be many cases where this numerical guideline does not apply.”

- **Threatened with extinction:**

“Threatened with extinction’ is defined in Annex 1. The vulnerability of a species to threats of extinction depends on its population demographics, biological characteristics (such as body size, trophic level, life cycle, breeding structure or social structure requirements for successful reproduction), and vulnerability due to aggregating habits, natural fluctuations in population size, or residency/migratory patterns. This makes it impossible to give numerical threshold values for population size or area of distribution that are applicable to all taxa.”

5. The following sections provide information relating to the criteria to amend Appendix I and II and the processes to review the criteria to amend Appendices I and II, starting with the fundamental principles in the Text of the Convention and documents and reports considered by the Standing Committee, the Animals and Plants Committees and the meetings of the Conference of the Parties to CITES.

Text of the Convention

6. Article II of the Convention sets out the fundamental principles of the Convention, namely the definition of the three CITES Appendices and the general principle that no trade in specimens of species listed in the Appendices can take place except in accordance with the provisions of the Convention:
 1. Appendix I shall include all species threatened with extinction which are or may be affected by trade. Trade in specimens of these species must be subject to particularly strict regulation in order not to endanger further their survival and must only be authorized in exceptional circumstances.
 2. Appendix II shall include:
 - (a) all species which although not necessarily now threatened with extinction may become so unless trade in specimens of such species is subject to strict regulation in order to avoid utilization incompatible with their survival; and
 - (b) other species which must be subject to regulation in order that trade in specimens of certain species referred to in sub-paragraph (a) of this paragraph may be brought under effective control.

Bern criteria

7. The first meeting of the Conference of the Parties to the Convention (CoP1, Bern, November 1976) adopted Resolution Conf. 1.1 on *Criteria for the Addition of Species and Other Taxa to Appendices I and II and for the Transfer of Species and Other Taxa from Appendix II to Appendix I* and Resolution Conf. 1.2 on *Criteria for the Deletion of Species and Other Taxa from Appendices I and II*.
8. In Resolution Conf. 1.1 the Parties *DECIDED that in determining the appropriate appendix into which a species or other taxon be placed the biological and trade status of the taxon should be evaluated together*.
9. Criteria as in Resolution Conf. 1.1:

	Biological status	Trade status
App I	<p>Information of any of the following types should be required, in order of preference:</p> <p>(a) scientific reports on the population size or geographic range of the species over a number of years,</p> <p>(b) scientific reports on the population size or geographic range of the species based on single surveys,</p> <p>(c) reports by reliable observers other than scientists on the population size or geographic range of the species over a number of years, or</p> <p>(d) reports from various sources on habitat destruction, heavy trade or other potential causes of extinction.</p> <p>Genera should be listed if most of their species are threatened with extinction and if identification of individual species within the genus is difficult.</p> <p>The same should apply to the listing of any smaller taxa within larger ones. If most of the smaller taxa are not threatened, but identification of individual species is difficult, the entire larger taxon should be placed on Appendix II.</p> <p>Taxa listed in Appendix I, because of difficulty in separating them from endangered forms within the same taxa, should be annotated as such in the appendix.</p>	<p>Species meeting the biological criteria should be listed in Appendix I if they are or may be affected by international trade. This should include any species that might be expected to be traded for any purpose, scientific or otherwise.</p> <p>Particular attention should be given to any species for which such trade might, over a period of time, involve numbers of specimens constituting a significant portion of the total population size necessary for the continued survival of the species.</p> <p>The biological status and trade status of a species are obviously related. When biological data show a species to be declining seriously, there need be only a probability of trade.</p> <p>When trade is known to occur, information on the biological status need not be as complete. This principle especially applies to groups of related species, where trade can readily shift from one species that is well-known to another for which there is little biological information.</p>
App II	<p>To qualify for Appendix II, species need not currently be threatened with extinction, but there should be some indication that they might become so. Such an indication might be a decreasing or very limited population size or geographic range of distribution.</p> <p>Information on biological status should be one of the types required for Appendix I species.</p>	<p>Species meeting the biological criteria should be listed if they presently are subject to trade or are likely to become subject to trade. The latter situation can arise where heavy trade in one species is extended to include similar species if the demand grows or if supplies of the one species are depleted.</p>

	<p>Genera should be listed if some of their species are threatened and identification of individual species within the genus is difficult. The same should apply to listing any smaller taxa within larger ones.</p>	<p>The amount of trade that a species can sustain without threat of extinction generally will be greater for species in Appendix II than for those in Appendix I, so there should be evidence of actual or expected trade in such a volume as to constitute a potential threat to survival of the species.</p> <p>Appendix II serves in part as a monitoring tool (Article IV.3) to gather such trade data.</p>
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10. At the 8th Conference of the Parties to CITES (CoP8, Kyoto, March 1992) a process to develop new criteria was initiated. Links to documents, reports and outcomes relating to the review of the criteria to amend Appendices I and II from CoP8 to date are contained in the table below.

Meeting	Document	Outcome
<p>8th Conference of the Parties to CITES (CoP8, Kyoto, March 1992)</p> <p>Process to develop new criteria</p>	<p>Document 8.50</p>	<p>Resolution Conf. 8.20 on the <i>Development of New Criteria for Amendments of the Appendices</i> adopted by CoP8.</p> <p>The Resolution sets out a process to revise the criteria through the Standing Committee, for consideration at the ninth meeting of the Conference of the Parties (CoP9, Fort Lauderdale, November 1994).</p>
<p>28th meeting of the Standing Committee (SC28, Lausanne, June 1992)</p>		<p>SC28 agreed a Terms of Reference for the development of the criteria (SC28 Summary Report – Annex 1) as well as the associated administrative arrangements.</p>
<p>29th meeting of the Standing Committee (SC29, Washington D.C., March 1993)</p>	<p>Document SC 29.2:</p> <p><i>New criteria for listing species in the CITES Appendices – A Report and Recommendations from the IUCN to the Standing Committee</i></p>	<p>SC29 considered a first draft of the new criteria for amending the Appendices (SC29 Summary Report) developed by the IUCN based on the Terms of Reference set by SC28.</p> <p>The process of validation by applying the criteria to certain species was still outstanding. Further consultation with Parties and specifically the Management Authorities was agreed, and the IUCN was requested to revise the draft based on comments made.</p>
<p>30th meeting of the Standing Committee (SC30, Brussels, September 1993)</p>		<p>An updated timeframe agreed by SC30 (SC30 Summary Report).</p>
<p>31st meeting of the Standing Committee (SC31, Geneva, 1994)</p>	<p>Documents SC31.2: Comments on Criteria in response to Notification to the Parties No. 773</p> <p>Document SC31.2.1: Criteria for Amendment of Appendices I and II (comments included)</p> <p>Document SC.31.2.2: Criteria for Amendment of Appendices I and II (clean version)</p>	<p>The SC considered the draft resolution to the Criteria for Amendment of Appendices I and II that was amended taking into consideration the comments submitted by 22 countries (SC31 Summary Report).</p>

Meeting	Document	Outcome
9th meeting of the Conference of the Parties (CoP9, Fort Lauderdale, November 1994)	Doc. 9.41 and its Annexes: <i>New criteria for amendment of Appendices I and II</i>	Resolution Conf. 9.24 was adopted (Resolutions of the Conference of the Parties). The Resolution included the following recommendation by the CoP: <i>RECOMMENDS that the text and the annexes of this Resolution be fully reviewed before the twelfth meeting of the Conference of the Parties with regard to the scientific validity of the criteria, definitions, notes and guidelines and their applicability to different groups of organisms.</i>
41st meeting of the Standing Committee (SC41, Geneva, February 1999)	Document SC. 41.19 : Review of the Criteria for Amendment of Appendices I and II. Document prepared by the Secretariat provided an initial overview of the work to be done to implement the recommendation contained in Resolution Conf. 9.24 referred to above.	SC41 agreed to request the Chair persons of the Animals and Plants Committees to prepare terms of reference for undertaking the review of the criteria for amending Appendices I and II, pursuant to Resolution Conf. 9.24, and report these terms of reference to the Conference of the Parties at its 11th meeting (SC41 Summary Report). It was further agreed to request the Chair persons of the Animals and Plants Committees to jointly oversee this review, and to complete it in time to consider the findings and develop any recommendations for consideration at the 12th meeting of the Conference of the Parties. Both Committees were encouraged to consult with international technical bodies, such as FAO and COFI, whilst ensuring that the work plan for the review remains a CITES process.
11th meeting of the Conference of the Parties (CoP11), Kenya, 2000)	Document Doc.11.25 : Procedure for the Review of Criteria for Amendment of Appendices I and II ToR for the review of the criteria contained in an Annex to document Doc.11.25. The draft ToR included inputs made at the scientific committee meetings that took place prior to the CoP.	Decision 11.2 adopted relating to the <i>Terms of reference for the review of the criteria for amendment of Appendices I and II</i> (Decision of the Conference of the Parties adopted at CoP11): <i>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.</i>

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		The ToR includes the establishment of a Criteria Working Group.
Joint Animals and Plants Committee Meeting (ACPC, Shepherdstown, December 2000)	<p>Document Doc. ACPC.1.6 relating to the process to review the criteria to amend the Appendices.</p> <p>The Annexes to the document and the relevant Information documents can be accessed through the links below:</p> <p>Doc. ACPC.1.6 Annex 1 – General comments from the Parties</p> <p>Doc. ACPC.1.6 Annex 2 – Table with detailed comments and proposed amendments</p> <p>Inf. ACPC.1.2 – Report of the first meeting of the Criteria Working Group</p> <p>Inf. ACPC.1.3 – Clean text of the draft of amended Resolution Conf. 9.24 (shared with Parties through a Notification)</p>	
45th meeting of the Standing Committee (SC45, Paris, June 2001);	<p>Document SC45 Doc. 20 on the <i>Review of criteria to amend Appendices I and II</i> that provided an update on the progress made in the implementation of the ToR adopted by CoP11.</p> <p>This included the Report of the first meeting of the Criteria Working Group (Inf. ACPC 1.2) that was shared with the joint meeting of the Animals and Plants Committees (ACPC, Shepherdstown, December 2000) and distributed to Parties through Notification to the Parties No 2000/51.</p> <p>After the second meeting of the Criteria Working Group an updated draft version of the Resolution was distributed to the Parties through Notification to the Parties No. 2001/037.</p>	SC45 Summary Report
46th meeting of the Standing Committee (SC46, Geneva, March 2002)	Document SC46 Doc. 14: Review of criteria to amend Appendices I and II . The document included a list of Annexes including:	SC46 Summary Report <i>(Note: The Chairs of the Animals and Plants Committee added a footnote to the definition of ‘decline’ in Annex 5 of</i>

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	<p>Annex 1 and 2: Parties and organizations that have provided comments to Notification to the Parties No. 2001/037; and Annex 2: Report on the Review of the criteria for amendment of Appendices I and II;</p> <p>Annex 3: Tabular presentation of the comments received and final proposed amendments to Resolution Conf. 9.24; and</p> <p>Annex 4: Proposed revision of Resolution Conf. 9.24.</p> <p>SC46 Inf. 1: Report from the Chair of the Plants Committee</p>	<p>the Resolution to expand on the definition of the word when applied to commercially exploited aquatic species in marine and large freshwater bodies. This was because, as explained in their report (document SC46 Doc. 14 Annex 3), they had “taken into account the comments received from FAO, and decided to include, as a footnote, the text provided by FAO as an example of a possible scenario for specific cases”)</p>
<p>FAO – Second Technical Consultation on the Suitability of the CITES criteria for listing Commercially-Exploited Aquatic Species (CEAS) (Windhoek, October 2001)</p>	<p>During the CITES process to review the criteria, FAO was consulted and FAO held consultation sessions to discuss CITES criteria for listing commercially exploited aquatic species. In this regard FAO prepared a document entitled: <i>Background Analysis and Framework for evaluating the status of CEAS in a CITES context</i> (Doc Y1455E).</p>	<p>The report of the discussions can be found in FAO Fisheries Report No. 667 on the <i>Second Technical Consultation on the Suitability of the CITES criteria for listing CEAS</i>.</p>
<p>12th meeting of the Conference of the Parties to CITES (CoP12, Santiago, November 2002)</p>	<p>Document CoP12 Doc. 58: Criteria for amendment of Appendices I and II</p> <p>Annex 1: Explanation of why the criteria review process concluded that the current Resolution Conf. 9.24 should be amended.</p> <p>Annex 2: The criteria review programme from CoP11 onwards.</p> <p>Annex 3: Explanation of the proposed amendments to Resolution Conf. 9.24.</p> <p>Annex 5a: Revision of Resolution Conf. 9.24</p> <p>Annex 5b: Report from the Chair of the Plants Committee</p> <p>CoP12 Com. I.3: Chair’s text Committee I Working Group on Criteria</p> <p>CoP12 Com. I.4: Proposed revisions of Resolution Conf. 9.24</p>	<p>CoP12 Com. I Rep. 4 (Rev.)</p> <p>CoP12 Com. I Rep. 7</p> <p>CoP12 Com. I Rep. 14: Document CoP12 Com. I.5 was agreed as amended with the language from the delegation of Canada and the Secretary-General.</p> <p>CoP12 Plen. 9</p> <p>Decisions adopted at CoP12</p> <p>Decision adopted on the <i>Review of the criteria for amendment of Appendices I and II</i></p> <p>Directed to the Standing, Animals and Plants Committees</p> <p>12.97 The Conference of the Parties adopted the following terms of reference for the review of the criteria for</p>

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	<p>CoP12 Com.1.5: Draft decision of the Conference of the Parties – Proposed Terms of Reference for Inter-Sessional Evaluations of CITES Listing Criteria and Guidelines following CoP12 (submitted by Argentina and Australia)</p> <p>CoP12 Com.1.6: Draft decision of the Conference of the Parties – Proposed Terms of Reference for Intersessional Evaluations of CITES Listing Criteria and Guidelines following CoP12 (prepared by the Secretariat)</p>	<p>amendment of Appendices I and II, to be completed by the 13th meeting of the Conference of the Parties.</p> <p>a) The revised version of Annex 4 of document CoP12 Doc. 58 compiled by the Chairman of the Criteria Working Group (CWG) formed by Committee I during the 12th meeting of the Conference of the Parties (the CWG12 Chairman’s text) will form a basis for further discussion, in recognition of the substantial and constructive efforts contributed by the Parties, the intersessional Criteria Working Group set up at the 11th meeting of the Conference of the Parties , FAO, the Criteria Working Group formed during the 12th meeting of the Conference of the Parties, and others.</p> <p>b) The Animals and Plants Committees shall coordinate an open, transparent and broadly consultative process involving all Parties to consider further revision of the CWG12 Chairman’s text.</p> <p>c) The process should include reviews of selected taxa, to ensure that the applicability of the criteria and guidelines to a broad array of taxa is assessed, and results of these reviews should be made widely available.</p> <p>d) The Animals and Plants Committees shall report to the Standing Committee before a date to be established by the Standing Committee.</p>
<p>49th meeting of the Standing Committee (SC49, Geneva, April 2003)</p>	<p>SC49 Doc. 19</p>	<p>SC49 Summary Report</p> <p>The Standing Committee agreed that the Animals and Plants Committees should present for comments a draft report on the review of the criteria for amendment of Appendices I and II at the 50th meeting of the Standing Committee. It agreed that the review should focus on the finalization of the text presented in document CoP12 Com. I. 3 and that only a very limited number of taxa should be selected by the Animals and</p>

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		Plants Committees for review to ensure the applicability of the criteria and guidelines. It requested the Secretariat to assist the scientific committees in their coordination of the review, particularly through the CITES website and the issuance of Notifications to the Parties where appropriate.
13th meeting of the Plants Committee (PC13, Geneva, August 2003)	<p>PC13 Doc. 9.4.1: Decision 12.97</p> <p>PC13 Doc. 9.4.2: Chair's text – Committee I working group on criteria</p> <p>PC13 Doc. 9.4.3 (Rev. 1): Proposal for Terms of Reference and Schedule (includes a proposed list of taxa to evaluate the draft criteria contained in document CoP12 Com. I.3 (Annex 1)</p>	PC13 Summary Record
19th meeting of the Animals Committee (AC19, Geneva, August 2003)	AC19 Doc. 9 : Review of the criteria for amendment of Appendices I and II (Decision 12.97)	AC19 Summary Report (includes a proposed list of taxa in AC19 WG1 Doc. 1 (Rev. 1) to evaluate the draft revised criteria contained in document CoP12 Com.I.3)
14th meeting of the Plants Committee (PC14, Windhoek, February 2004)	<p>PC14 Inf.9 and PC14 Inf. 13: Synthesis of test of applicability of criteria for selected plant taxa (Inf. 9) and animal taxa (Inf. 13)</p> <p>PC14 Inf. 10 and PC14 Inf. 11: Compilation of comments regarding the applicability of various criteria to assess the status of flora (Inf. 10) for listing under CITES Appendix I and under CITES Appendix II (Inf. 11).</p>	PC14 Summary Record
20th meeting of the Animals Committee (AC20, Johannesburg, 29 March-2 April 2004)	<p>AC20 Doc. 9.1: Evaluation of criteria</p> <p>AC20 Doc. 9.2 (Rev. 1): Conclusions of the 14th meeting of the Plants Committee</p>	AC20 Summary Report
50th meeting of the Standing Committee (SC50, Geneva, March 2004)	SC50 Doc. 30 : Criteria for amendment of Appendices I and II	SC50 Summary Report

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13th meeting of the Conference of Parties (CoP13, Bangkok, October 2004)	CoP13 Doc. 57 : Criteria for amendment of Appendices I and II	CoP13 Com. I Rep. 6 (Rev. 2) CoP13 Plen. 5 (Rev. 1) : Revised listing criteria adopted
14th meeting of the Conference of Parties (CoP14, The Hague, June 2007)	CoP14 Doc. 20.2 : Review of Resolutions – General Review Annex includes amendments relating to incorporation of text in Conf. 1.3 (<i>Deletion of species from Appendix II and III in certain circumstances</i>) and Res Conf. 10.17 (Rev.) (<i>Animal hybrids</i>) into Res Conf. 9.24. CoP14 Inf. 64 : Interpretation of Annex 2 a (FAO)	CoP adopted the proposed amendments proposed by the Secretariat in document CoP14 Doc. 20.2 (Summary Record CoP14 Plen. 4 (Rev. 2) – item 20.2
58th meeting of the Standing Committee (SC58, Geneva, July 2009)	SC58 Doc. 43 : Criteria for amendment of Appendices I and II SC requested to provide guidance on the interpretation of Annex 2a, paragraph B of Resolution Conf. 9.24 (Rev. CoP14) SC58 Inf. 6 FAO response to Document SC58 Doc. 43	SC58 Summary Record SC58: a) agreed that the interpretation of the criteria should be referred to the 15th meeting of the Conference of the Parties (CoP15) and that, in the meantime, when providing advice to the Parties on proposals to amend Appendices I or II, the Secretariat and the Food and Agriculture Organization of the United Nations should clearly indicate which interpretation they were using; b) noted that, in the past, Parties and organizations had had different interpretations as to whether a species met criterion B to Annex 2 a of Resolution Conf. 9.24 (Rev. CoP14), insofar as it related to commercially-exploited aquatic species; c) asked the Conference of the Parties to give guidance at CoP15 as to a common interpretation of the criteria B given in Annex 2 a of Resolution Conf. 9.24 (Rev. CoP14), paying particular attention to the flexibility contained in the Resolution and situations where only few data were available for the species concerned; d) asked Parties, as they prepared for the upcoming CoP15, to clearly define in their listing proposals how they

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		<p>interpreted and applied Resolution Conf. 9.24 (Rev. CoP14) using sound and relevant scientific information, and recognizing flexibility and data-poor cases; and</p> <p>e) highly appreciated the work of the FAO ad hoc Expert Panel on proposals submitted to CoPs and looked forward to the continuing cooperation with FAO as outlined in the FAO-CITES Memorandum of Understanding. agreed that the interpretation of the criteria should be referred to CoP15</p>
<p>15th meeting of the Conference of the Parties (CoP15, Doha, March 2010)</p>	<p>CoP15 Doc. 63: Criteria for the inclusion of species in Appendices I and II</p>	<p>CoP agreed on an intersessional process (Decisions adopted at CoP15) [CoP15 Plen. 5 (Rev.1); CoP15 Com. I.13; CoP15 Com. I Rec. 5 (Rev. 1)]:</p> <p>Decisions 15.28 – 15.30 on <i>Criteria for the inclusion of species in Appendices I and II</i>:</p> <p>Directed to the Secretariat</p> <p>15.28 The Secretariat shall:</p> <p>a) prepare a report that will summarize its experience in applying criterion Annex 2 a B and the introductory text to Annex 2 a of Resolution Conf. 9.24 (Rev. CoP15) to some or all of the commercially exploited aquatic species that were proposed for inclusion on Appendix II at the 13th, 14th and 15th meetings of the Conference of the Parties, highlighting any technical difficulties or ambiguous issues encountered, including, where appropriate, illustrations of these matters by comparison with application of the criteria to other species;</p> <p>b) request IUCN/TRAFFIC and the Food and Agriculture Organization of the United Nations to each prepare a report, subject to the availability of external funding, with the same requirements as the report referred to in paragraph a) above; and</p>

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		<p>c) submit its report and any received under paragraph b) above for consideration at the 25th meeting of the Animals Committee.</p> <p>Directed to the Animals Committee</p> <p>15.29 The Animals Committee shall:</p> <p>a) on receipt of any or all of the reports referred to in Decision 15.28, and having sought the participation of representative(s) of the Plants Committee, IUCN, TRAFFIC, the Food and Agriculture Organization of the United Nations and other appropriate experts, develop guidance on the application of criterion B and the introductory text of Annex 2 a of Resolution Conf. 9.24 (Rev. CoP15) to commercially exploited aquatic species proposed for inclusion on Appendix II;</p> <p>b) recommend the best way to incorporate the guidance for use when applying Resolution Conf. 9.24 (Rev. CoP15) to commercially exploited aquatic species, without affecting the application of Resolution Conf. 9.24 (Rev. CoP15) to other taxa; and</p> <p>c) submit its conclusions and recommendations at the 62nd meeting of the Standing Committee.</p> <p>Directed to the Standing Committee</p> <p>15.30 The Standing Committee shall:</p> <p>a) consider the report and recommendations submitted by the Animals Committee under Decision 15.29 together with comments or other input that the Food and Agriculture Organization of the United Nations may wish to submit; and</p> <p>b) submit the Animals Committee's recommendations, together with its comments, at the 16th meeting of the Conference of the Parties.</p>

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	<p>Preambular paragraph added in Res Conf. 9.14 (Rev. 14) (CoP15 Com. I.1) :</p> <p>Immediately before the first paragraph under 'ENCOURAGES', insert the following: "URGES Parties that are considering the submission of a proposal to amend the Appendices, in cases where there is any doubt regarding the nomenclature to follow, to consult the nomenclature specialist of the Animals Committee or the Plants Committee as early as possible in advance of submitting the proposal."</p>	<p>CoP15 Plen. 4 (Rev. 2) – see item 35.</p>
<p>25th meeting of the Animals Committee (AC25, Geneva, July 2011)</p>	<p>AC25 Doc. 10: Criteria for the inclusion of species in Appendices I and II (Decisions 15.28 and 15.29)</p> <p>Document AC25 Doc. 10 includes three Annexes relating to the application of criterion B of Annex 2 a of Resolution Conf. 9.24 (Rev. CoP15):</p> <p>Annex 1: Report of the Secretariat</p> <p>Annex 2: Report of FAO</p> <p>Annex 3: Report of IUCN/TRAFFIC</p> <p>Two information documents also published:</p> <p>AC25 Inf. 10: Application of CITES listing criteria to commercially exploited marine species (Germany)</p> <p>AC25 Inf. 12: Presentation by FAO</p>	<p>AC25 Summary record</p> <p>Intersessional working group established</p>
<p>61st meeting of the Standing Committee (SC61, Geneva, August 2011)</p>	<p>SC61 Doc. 53: Time-bound listings of species in the Appendices</p> <p>SC invited to consider:</p> <p>a) whether it wishes to initiate a policy dialogue on measures that may be available to the Parties to enhance the complementarity of CITES with other management regimes, including through making use of time-bound listings; and</p>	<p>SC61 Summary record</p> <p>The Committee decided not to accept the recommendation to establish a working group and noted that, instead, additional work was required to strengthen the Periodic Review.</p>

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	b) establishing a working group for this purpose, to report at its 62nd meeting	
26th meeting of the Animals Committee (AC26, Geneva, March 2012) (Joint meeting Dublin, March 2012)	<p>AC26 Doc.14: Criteria for the inclusion of species in Appendices I and II (Decisions 15.29) – Report of the Working Group</p> <p>Information documents:</p> <p>AC26 Inf. 6: Report of the FAO/CITES workshop to review the application and effectiveness of international regulatory measures for the conservation and sustainable use of elasmobranchs.</p> <p>AC26 Inf. 8: Report on method to identify high risk commercially-exploited aquatic organisms in trade and an analysis of the potential application of MEAs (United Kingdom)</p> <p>AC26 Inf. 9: Report on assessing the intrinsic vulnerability of harvested sharks (United Kingdom)</p>	<p>AC26 Summary record</p> <p>AC26 WG2 Doc.1</p>
62nd meeting of the Standing Committee (SC62, Geneva, July 2012)	<p>SC62 Doc. 39: Criteria for the inclusion of species in Appendices I and II</p> <p>Extract – SC62 Doc. 39:</p> <p>3. Regarding the application of Annex 2a criterion B and the introductory text to commercially exploited aquatic species, the Animals Committee noted that:</p> <p>a) While there are diverse approaches to the application of Annex 2a criterion B, there is commonality in that all Parties and those reviewing listing proposals should take a taxon-specific approach that is sensitive to species vulnerabilities and they should be mindful</p>	<p>SC62 Summary record</p> <p>The Committee supported the recommendations of the Animals Committee in document SC62 Doc. 39 and stressed the need for Parties to explain clearly which approach they chose for applying Resolution Conf. 9.24 (Rev. CoP15), Annex 2 a, criterion B, when preparing their amendment proposals.</p>

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	<p>of the precautionary approach as outlined in Annex 4 of Resolution Conf. 9.24 (Rev. CoP15).</p> <p>b) Vulnerability is defined in Annex 5 of Resolution Conf. 9.24 (Rev. CoP15) as the susceptibility to intrinsic or external effects which increase the risk of extinction, and examples of intrinsic and extrinsic factors are provided. Further, the footnote to decline in Annex 5 reiterates that “account needs to be taken of taxon- and case- specific biological and other factors that are likely to affect extinction risk.”</p> <p>c) When considering whether a species qualifies for listing on CITES Appendix II, Parties and those reviewing listing proposals should be aware that, where numerical guidelines or thresholds are provided, they are presented only as examples, since it is impossible to give numerical values that are applicable to all taxa because of differences in their biology.</p> <p>d) When considering whether a species qualifies for listing on CITES Appendix II, the analysis done by Parties and those reviewing listing proposals are influenced by their level of risk tolerance, which itself is informed by the quality and quantity of available information, their objectives, and their experiences. The variability in Parties’ and those reviewing proposals’ risk tolerance may be more pronounced when considering commercially exploited aquatic species.</p> <p>e) The foregoing points are useful to consider and be mindful of when preparing or evaluating proposals to list commercially exploited aquatic species on Appendix II.</p> <p>4. The Animals Committee finds that there are diverse approaches to the application of Annex 2a criterion B in</p>	

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	<p>Resolution Conf. 9.24 (Rev. CoP15). The Animals Committee finds that it is not possible to provide guidance preferring or favouring one approach over another. The Animals Committee recommends that Parties, when applying Annex 2a criterion B when drafting or submitting proposals to amend the CITES Appendices, explain their approach to that criterion, and how the taxon qualifies for the proposed amendment.</p> <p>5. When drafting and submitting proposals to amend the CITES Appendices with respect to commercially- exploited aquatic species, the Animals Committee encourages Parties to elucidate the vulnerabilities, as defined in Annex 5 of Resolution Conf. 9.24 (Rev. CoP15), and mitigating factors including, but not limited to, large absolute numbers, refugia and fisheries management measures that they have considered.</p> <p>6. The Animals Committee notes the lack of a definition of commercially-exploited aquatic species in the existing body of CITES documentation, and further notes that FAO documentation indicates that commercially-exploited aquatic species refer to fish and invertebrate species found in marine environments or in large freshwater bodies and subject to commercial exploitation (FAO 2001)¹.</p> <p>7. The Animals Committee noted the issue of how to determine whether a commercially exploited aquatic species qualifies for listing on CITES Appendix II when that species is found in multiple stocks or subpopulations with varying statuses. The issue was raised in the papers provided by the CITES Secretariat, FAO and IUCN/TRAFFIC (AC25 Doc. 10), further discussed by Germany (AC25 Inf. 10) and referenced in discussions of the Animals Committee working group on criteria. There</p>	

¹ Second technical consultation on the suitability of the CITES criteria for listing commercially-exploited aquatic species, www.fao.org/docrep/meeting/003/Y1455E.htm.

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	was recognition of the complexity of the issue and differing views on how to approach this matter.	
16th meeting of the Conference of the Parties (CoP16, Bangkok, March 2013)	CoP16 Doc. 17 (Rev. 1) : Criteria for the inclusion of species in Appendices I and II	CoP16 Plen. 6 (Rev. 1) Document CoP16 Doc. 71 (Rev. 1), was noted, as agreed by Committee I. Decisions 15.28, 15.29 and 15.30 were deleted, as agreed by the Committee. CoP16 Com. I Rec. 5
	CoP16 Doc. 77 : Proposals to amend the Appendices – paragraph 12 propose the adoption of decisions to address “Extinct and possibly extinct species”	CoP16 Plen 6 (Rev. 1) : Directed to the Animals and Plants Committees 16.164 The Animals and Plants Committees shall review the provisions of Resolution Conf. 9.24 (Rev. CoP16) on <i>Criteria for amendment of Appendices I and II</i> as they apply to species that are either extinct or possibly extinct and report to the Standing Committee on their findings. Directed to the Standing Committee 16.165 The Standing Committee shall consider the report of the Animals and Plants Committees referred to in Decision 16.164 and make recommendations for consideration at the 17th meeting of the Conference of the Parties, as appropriate.
	CoP16 Doc. 25 – Annex 4 (Editorial amendment – to clarify text)	Amendments to Resolution Conf. 9.24 (Rev. CoP15): <ul style="list-style-type: none"> ○ The amendment to the fourth ‘RESOLVES’ is from document CoP16 Com. II. 27: <i>RESOLVES that annotations to proposals to amend Appendix I or II should be made in accordance with the applicable Resolutions of the Conference of the Parties, be specific and accurate as to which parts and derivatives are covered by the Convention, include those parts and derivatives primarily exported from the range States and</i>

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		<p>those commodities that dominate the trade and the demand from the wild resource, and should, to the extent possible, be harmonized with existing annotations.</p> <ul style="list-style-type: none"> ○ The revised text of Annex 4 is from document CoP16 Com. I. 6; ○ The amendment to the introductory text of Annex 6 is from document CoP16 Doc. 25, Annex 4: <ul style="list-style-type: none"><i>This means that the relevant published and unpublished sources of information should be used, although for some species the amount of scientific information will be limited. Furthermore, this means that it may not be possible to address all elements of the proposal format. Analogy with related taxonomic groups or species that are ecologically similar may be used to guide judgements. Where research has been undertaken specifically to obtain information for the proposal, it should be presented in sufficient detail to be assessed by the Parties.</i> <p><i>Parties are reminded that proposals should normally be limited to 12 pages (exclusive of references cited). If the proposal is longer than 12 pages, the proponent should provide translations into the working languages of the Convention. Furthermore, this means that it may not be possible to address all elements of the proposal format.</i></p> <ul style="list-style-type: none"> ○ The amendment to the paragraph on 'Annotations' in Annex 6 is from document CoP16 Com. II. 27: <ul style="list-style-type: none"> - <i>ensure that the annotation covers those parts and derivatives primarily exported from the range States and those commodities that dominate the trade and the demand from the wild resource;</i>

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Joint session of the 27th meeting of the Animals Committee and 21st meeting of the Plants Committee (AC27/PC21, Mexico, May 2014)	AC27/PC21 Doc. 10 : Extinct or possibly extinct species	AC27 Summary Record AC27/PC21 Sum. 1 (Rev. 1)
28th meeting of the Animals Committee (AC28, Tel Aviv, August/September 2015)	AC28 Doc. 8 : Extinct or possibly extinct species (Decision 16.164)	AC28 Summary record The Committee adopted the recommendations in document AC28 Com. 1 with amendments.
66th meeting of the Standing Committee (SC66, Geneva, January 2016)	SC66 Doc. 23 : Extinct or possibly extinct species	SC66 Summary record
17th meeting of the Conference of Parties (CoP17, Johannesburg, September/October 2016)	CoP17 Doc. 83.1 : Annotations – Report of the Standing Committee CoP17 Doc. 85 : Extinct or possibly extinct species CoP17 Com. I.19 : Extinct or possibly extinct species – draft revised resolution on criteria for amendment of Appendices I and II	CoP17 Plen. Rec. 4 (Rev. 1) – see items 83 and 85
69th meeting of the Standing Committee (SC69, Geneva, November/December 2017)	SC69 Doc. 71.1 : Cooperation under the FAO-CITES 2006 MOU, with special reference to the scientific and technical evaluation of commercially exploited aquatic species listing proposals. SC69 Doc. 71.2 : Analysis of the relevance of the advice provided by the FAO Panel of Experts for proposals on marine fish species and evaluation of the conservation benefits of marine fish species listed at CITES CoP16 and CoP17 SC69 Doc. 72 : Analysis of the relevance of the criteria of Resolution Conf. 9.24 (Rev. CoP17)	SC69 Summary record

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70th meeting of the Standing Committee (SC70, Rosa Khutor, Sochi, October 2018)	SC70 Doc. 65 : Guidance on the application of Resolution Conf. 9.24 (Rev. CoP17) when preparing to list commercially exploited aquatic species in the Appendices	SC70 Summary record The Standing Committee noted document SC70 Doc. 65 after the draft decisions in it were removed.
18th meeting of the Conference of the Parties (CoP18, Colombo, May/June 2019)	CoP18 Doc. 17.2 : Proposed amendments to Resolution Conf. 4.6 (Rev. CoP17) and Resolution Conf. 9.24 (Rev. CoP17) CoP18 Doc. 18.3 : Proposed amendments to Resolution Conf. 9.24 (Rev. CoP17) – proposed amendments to Annex 6 (Format for proposals to amend the Appendices)	CoP18 Com. II Rec. 3 (Rev. 1) CoP18 Com. II Rec. 4 (Rev. 1) CoP18 Com. II.17 CoP18 Com II Rec. 15 (Rev. 1) CoP18 Plen. Rec. 2 (Rev. 2)
19th meeting of the Conference of Parties (CoP19, Panama City, November 2022)	CoP19 Doc. 87.1 : Proposed amendments to Resolution Conf. 9.24 (Rev. CoP17) – Amendments proposed to Annex 1, Annex 2a and Annex 2b to Resolution Conf. 9.24 (Rev. CoP17) and integrated in Annex 5 and Annex 6 of the same Resolution.	CoP19 Com. I Rec. 12 (Rev. 1) CoP19 Plen. Rec. 3 (Rev. 1)
	CoP19 Doc. 87.2 : Aquatic species listed in the CITES Appendices: Proposals for a new approach to the listing of sharks and rays	CoP19 Com. I Rec. 1 CoP19 Com. I Rec. 2 CoP19 Com. I. 7 CoP19 Plen. Rec. 3 (Rev.1) Directed to the Secretariat 19.189 Subject to the availability of resources, the Secretariat shall: a) convene a technical workshop to consider the application of Resolution Conf. 9.24 (Rev. CoP17) and its footnote 2 (found in annex V), with regards to relevant commercially exploited Elasmobranchii and other aquatic species, taking into account the information provided in document CoP19 Doc 87.2 and available scientific information and data; b) issue a Notification to the Parties inviting all interested Parties, members of the Animals

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		<p>Committee, the United Nations Food and Agriculture Organization and other relevant intergovernmental and nongovernmental organizations to participate in this workshop; and</p> <p>c) submit the conclusions and recommendations of this workshop to the Animals Committee for review.</p> <p><i>Directed to the Animals Committee</i></p> <p>19.190 The Animals Committee shall review the report of the workshop and make recommendations to the next meeting of the Standing Committee, as appropriate.</p> <p><i>Directed to the Standing Committee</i></p> <p>19.191 The Standing Committee shall consider the report of the workshop and the recommendations and comments of the Animals Committee and submit recommendations to the 20th meeting of the Conference of the Parties.</p>