

CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES
OF WILD FAUNA AND FLORA



Nineteenth meeting of the Animals Committee
Geneva (Switzerland), 18-21 August 2003

Periodic review of animal species included in the Appendices
[Resolution Conf. 11.1 (Rev. CoP12) and Decision 12.96]

PERIODIC REVIEW OF ANIMAL AND PLANT TAXA IN THE APPENDICES
[RESOLUTION CONF. 11.1 (REV.), DECISION 12.96 AND DOCUMENT SC49 DOC. 20.1]

1. This document was prepared by the Chairman of the Plants Committee and the Contact Group on Review of the Appendices of the Animals Committee. *(It will be presented at the 13th meeting of the Plants Committee as document PC13 Doc. 13.3).*
2. The purpose of this document is to provide an overview of the most recent reviews of the Appendices carried out by the Animals and Plants Committees, and present a proposed approach for implementation of document SC49 Doc. 20.1 (see 5a below).

Introduction

3. The periodic review of the Appendices is designed to review species already included in the Appendices to determine whether their listings continue to be appropriate, based on current biological and trade information, and utilizing the listing criteria adopted at the 9th meeting of the Conference of the Parties (Resolution Conf. 9.24). The reviews are conducted as part of the work of the Animals and Plants Committees (Resolution Conf. 11.1), which oversee the selection of taxa for review; establish a schedule for conducting the reviews; obtain assistance from Parties to complete the reviews; and make recommendations on further actions (i.e., preparation and submission amendment proposals for consideration at meetings of the Conference of the Parties), if warranted, based on the outcome of the reviews.
4. At the 12th meeting of the Conference of the Parties (Chile 2002), Parties adopted Decision 12.96 requesting the Standing Committee to *“develop mechanisms to obtain greater involvement of the range States in the periodic review of the Appendices and provide guidance to reach a clear recommendation after the completion of the review.”*
5. At the 49th meeting of the Standing Committee (Switzerland, April 2003), the Committee adopted document SC49 Doc. 20.1 containing recommendations for the implementation of Decision 12.96, as follows:
 - a) *The Animals and Plants Committees should share their experience regarding the undertaking of periodic reviews of species included in the Appendices (including the financing of reviews, the process, the format and output) and establish a schedule for the periodic review of the Appendices, listing the species they propose to review during the next two intersessional periods between meetings of the Conference of the Parties.*

- b) *The Secretariat should send a copy of this list to all Parties requesting that range States of the species send their comments on the need to review these species to the Secretariat, to relay to the members of the Animals or Plants Committee and of the Standing Committee.*
- c) *Taking these comments into account, the Animals and Plants Committees should in consultation with the Standing Committee finalize the selection of the species to be reviewed.*
- d) *The Animals and Plants Committees should conduct or organize the reviews, seeking information from the range States. A draft of each review (in an agreed format) should be provided by the Secretariat to the range States for comment within an agreed timeframe, and these comments should be taken into consideration before the review is considered final.*
- e) *Inter-governmental bodies having a function in relation to the management or conservation of, or trade in species selected for review should be provided with the relevant draft reviews for comment within an agreed timeframe, and these comments should be taken into consideration when finalizing the review.*
- f) *The regional representatives of the Animals, Plants and Standing Committees should seek assistance from range States within their region to support the species reviews conducted by the Animals and Plants Committees.*
- g) *In cases where a review indicates, and the technical Committee concerned agrees, that it would be appropriate to transfer a species from one Appendix to another, or to delete a species from Appendix II, the Animals or Plants Committee should, in consultation with [the Standing Committee and] the range States, prepare (or arrange the preparation of) a proposal to amend the Appendices [and keep the Standing Committee informed].*
- h) *The Secretariat on behalf of the Standing Committee should provide copies of the proposal to the range States and request that one or more should submit the proposal for consideration at the following meeting of the Conference of the Parties.*
- i) *If no range State is willing to submit the proposal, the Secretariat should request the Depository Government to submit it [as specified in Resolution Conf. 11.1 (Rev. CoP12)] and to include the comments of the range States in the supporting statement.*
- j) *Proposals resulting from the periodic review of the Appendices must be submitted for decision by the Conference of the Parties, and not be withdrawn.*

Recent review of the Appendices by the Animals Committee

- 6. At its 14th meeting (Venezuela, 1998), rather than having a selection made by a limited group of experts, the Animals Committee decided to first seek input from the Parties to CITES on taxa to be reviewed under the periodic review of the Appendices. At the request of the Animals Committee, in November 1998 the Secretariat issued Notification 1998/62 requesting suggestions from the Parties for taxa to be reviewed under the periodic review of the Appendices. Only six responses were received.
- 7. At its 15th meeting (Madagascar, 1999), the Animals Committee chose 31 animal taxa from Appendices I and II (Annex 3) to be reviewed under the periodic review of the Appendices process. These species were also intended to be used for the review of the criteria for amendment of Appendices I and II contained in Resolution Conf. 9.24 (as called for in Decision 10.71), but this was never done. During the selection of the species for review, priority was given to species that:
 - a) were listed in early Conferences of the Parties;
 - b) had ranges that were geographically varied and had varied biological properties;
 - c) had characteristics that would be useful in testing the robustness of the listing criteria; and
 - d) were involved in trade to different degrees.

8. The reviews were to be conducted by individual Parties whose representatives at AC15 had agreed to carry out the review using guidelines prepared by the Chairman of the Animals Committee (Annex 3).
9. Of 31 reviews to be conducted, only 9 were submitted for consideration at the 16th meeting of the Animals Committee (United States of America, 2000). At AC16, two new taxa were selected at AC16 for review at the 17th meeting of the Animals Committee (AC17). Furthermore, the working group on review of the Appendices discussed the guidelines for conducting such reviews outlined in document AC.16.8 (Annex 3) and the process for future reviews, including criteria for selection of species and the standardization of the reviews and questionnaires.
10. At AC17 (Viet Nam, 2001), only four reviews were submitted for consideration. Given the large number of reviews still outstanding, the working group on review of the Appendices discussed various ways for the review process to be facilitated. The possibilities of involving students in the CITES Master's course (organized by the Chairman of the Plants Committee and the International University of Andalucía) as well as graduate students through IUCN specialist groups were suggested. The working group agreed to:
 - a) constitute an intersessional contact group (comprised of observers from the United States of America, Spain, and UNEP-WCMC) to develop written guidelines for selecting species and conducting reviews, based on principles agreed to at AC16 and AC17;
 - b) request the Secretariat to conduct a pilot project to develop (based on existing models used by IUCN, the Plants Committee, etc.), test, and evaluate a rapid assessment technique for screening multiple taxa (or higher-level taxa) at one time to then determine which should be the subject of more in-depth reviews; and
 - c) request the Secretariat to contact the IUCN/SSC Crocodile Specialist Group regarding the possibility of developing a list of crocodile ranching operations authorized under Resolution Conf. 11.16, and evaluating those operations in the context of the review of the Appendices.
11. At the 18th meeting of the Animals Committee (Costa Rica, 2001), a working group discussed the draft guidelines for future reviews of the CITES Appendices drafted by the intersessional contact group (revised guidelines contained in Annex 1). The draft guidelines covered three areas: the objective of the periodic review process; identification of species to be reviewed; and process for future reviews. The working group also discussed document AC18 Inf. 13 (Annex 2) prepared by UNEP-WCMC on the development of a rapid assessment technique for screening multiple taxa (or higher-order taxa). Several amendments were proposed during discussions and the issue was referred to the working group for further work. The consultant from the IUCN/SSC Crocodile Specialist Group provided a verbal report on progress in reviewing crocodile ranching operations authorized under Resolution Conf. 11.16 (Ranching and trade in ranched specimens of species transferred from Appendix I to Appendix II) in the framework of the review of Appendices and noted that the finalization of the review would require funding. It was suggested that the scope of Resolution Conf. 11.16 could be expanded to include taxa other than crocodilians.
12. Of the 13 reviews of animal taxa carried out by the Animals Committee between 1999 and 2002, only one resulted in a proposal for amendment of the Appendices (i.e., proposal to remove *Cnemidophorus hyperythus* from Appendix II submitted by the United States of America and adopted at the 12th meeting of the Conference of the Parties in Chile in 2002).

Recent review of the Appendices by the Plants Committee

13. At its 8th meeting (Chile, 1997), the Plants Committee discussed and approved a programme of work for the periodic review of the Appendices, which was communicated to the Parties in December 1997 through Notification to the Parties No. 1009 (Annex 4). During the selection of species for review at PC8, priority was given to:
 - a) timber species (Decision 10.87 to Plants Committee);

- b) taxa included in Appendices in 1973 and during the 1st meeting of the Conference of the Parties in 1976 (excluding large taxonomic groups such as orchids, cacti, and cycads; however some species of orchids and cacti were examined);
 - c) taxa included in 1979 at the 2nd meeting of the Conference of the Parties; and
 - d) taxa included in 1983 at the 3rd meeting of the Conference of the Parties.
14. It was agreed that the reviews were to be carried out by one or several persons or Parties using the protocol described in Annex 4 under the coordination of the Chairman of the Plants Committee.
 15. In 1998, the Management Authority of the Netherlands (which volunteered to conduct the review of timber species) published the *Contribution to an evaluation of tree species using the new CITES Listing Criteria*, a comprehensive study reviewing the conservation and trade status of tree species, and the potential role of CITES.
 16. At the 9th (Australia, 1999) meeting of the Plants Committee, the results of the reviews of some 300 taxa were discussed and recommendations made. At its 9th meeting, the Plants Committee also established two working groups on review of the Appendices: one to recommend which species should be submitted to the Conference of the Parties, and a second group to carry out a self analysis of difficulties met in carrying out the review.
 17. The results of the reviews conducted within the Plants Committee between 1997 and 2000 resulted in the submission of 11 species proposals involving around 300 taxa at the 11th meeting of the Conference of the Parties (Kenya, 2000). However, some proposals were opposed by some range countries which argued that they had not been consulted during the review conducted by the Plants Committee or the countries that had prepared the proposals. In spite of the problems, the proposals from the PC were adopted almost totally by the CoP.
 18. Nevertheless, the Plants Committee agreed to send to the 12th meeting of the Conference of the Parties (Chile, 2002) a proposal to strength and facilitate the involvement of the range States, subsequently adopted by the Parties as Decision 12.96.
 18. The Plants Committee included in the Report of the Chairman to the CoP the taxa agreed to be reviewed in the following period until the next Conference (CoP12 Doc.10.2).

Proposed approach for implementation of document SC49 Doc. 20.1

20. As described above, the implementation of the periodic review of the Appendices by the Animals and Plants Committees has not been uniform (particularly the selection of species for review) and sometimes has been problematic. Due to lack of funds, in both Committees the reviews were conducted on a voluntary basis, with a significantly greater number of reviews completed by the Plants Committee compared to the Animals Committee. The reviews can take a long time to complete, and vary considerably in scope and level of detail depending on the reviewers. Some range states may not be able to volunteer to conduct the reviews or respond to questionnaires from the reviewers.
21. To ensure that the Animals and Plants Committees conduct the periodic review of the Appendices in a consistent manner, we suggest that the Animals and Plants Committees first adopt standard guidelines for the reviews (including selection of species, types of information contained in the reviews, and questionnaires and other methods used to gather information from range states) as well as a rapid assessment technique prior to the preparation of a new list of species and schedule for the next phase of periodic review of the Appendices as recommended by the Secretariat in paragraphs a), b), and c) of document SC49 Doc. 20.1. The Secretariat's recommendations in paragraphs b) through j) could be incorporated, if appropriate, as part of the guidelines for the periodic review of the Appendices.
22. We also propose that no reviews be conducted until a new resolution for amendment of Appendices I and II is adopted at the 13th meeting of the Conference to the Parties in October 2003 (see agenda items 9 and 9.4 of the PC13 and AC19 working programs, respectively). In the meantime, the

Animals and Plants Committee could work on the development of guidelines for the review of the Appendices, selection of species for review, and the preparation of a schedule for the review of the Appendices.

23. The Plants Committee should share with the Animals Committee the findings made by its working group evaluating the review of the Appendices described in paragraph 12 above.
24. With regards to the establishment of a schedule for conducting future reviews, the Animals and Plants Committees should clarify at their next meetings in August 2003 what the phrase "the next two intersessional periods between meetings of the Conference of the Parties" in paragraph 2.a) of document SC49 Doc. 20.1 means. It is unclear whether it means between the 12th and 14th meetings of the Conference of the Parties or between the 13th and 15th meetings.
25. To achieve greater involvement by range states, the following may be considered:
 - a) For species under review, contact should be made with both the relevant Management Authority and Scientific Authority of the country, both for seeking assistance with reviews and for reacting to results from a review.
 - b) Except for proposals actually developed for a meeting of the Conference of the Parties, range countries should be provided with a summary and full report of the species review for comment.
 - c) In addition to being involved in seeking assistance with reviews from countries within their regions, the regional representatives on the Plants, Animals, and Standing Committees should also be requested to follow up with countries affected by a review to encourage their response.
 - d) The review of the Appendices and Parties' responsibilities associated with this activity should be emphasized during CITES training workshops.

Annexes to this document:

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| Annex 1 | Notes on the development of a rapid assessment technique for the review of animal taxa, prepared by UNEP-WCMC. |
| Annex 2 | Document Doc. AC.16.8: Periodic review of animal taxa in the Appendices. |
| Annex 3 | Guidelines for the periodic review of animal taxa in the CITES Appendices, prepared by Contact Group on Review of the Appendices of the Animals Committee. |
| Annex 4 | Notification to the Parties No. 1009, 19 December 1997 (contains guidelines for review of the Appendices under the general co-ordination of the Chairman of the Plants Committee and the tables for summarizing the results of the review prepared by United Kingdom in 1997). |

Notes on the development of a rapid assessment technique for the review of animal taxa
(UNEP-WCMC)

Introduction

Resolution 11.1 instructs the Animals and Plants Committees to undertake periodic reviews of species included in the CITES Appendices

Moreover, since its 15th meeting, the Animals Committee have undertaken a number of actions directed towards conducting such reviews.

This document has been prepared by UNEP-WCMC, following a number of discussions on the topic with the CITES Secretariat, to provide some suggestions on the process of development of a technique for the rapid review of animal taxa.

The suggestions presented in this document take into account the need to ensure that the process is effectively *rapid*, and thus time- and cost-effective, while allowing for the identification of those cases which may require a more comprehensive review.

Flow chart of activities and decision-making process

Annex 1 to this document illustrates a flow chart with a proposed sequence of activities, and the decision-making process for the purpose of conducting rapid reviews of animal taxa.

It is proposed that once a taxon has been selected for review, the review process should commence with an analysis of the trade. It is suggested that consideration should be given to the convenience of retaining in Appendix II species that may qualify for listing according to the criteria in Resolution Conf. 9.24 Annex 2b (i.e. look-alike species) **before** proceeding to investigate the status of the population(s), since this information would be mostly irrelevant in that context and would delay the process without providing any obvious benefit.

Analysis of trade volumes

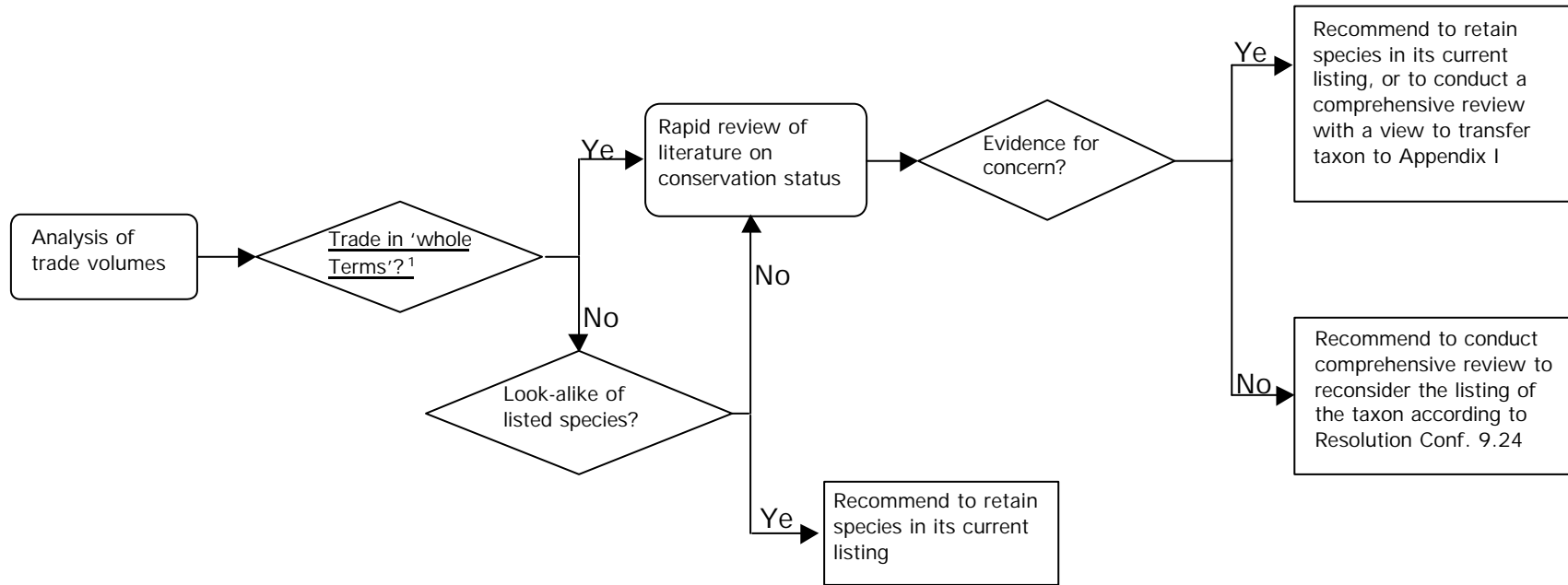
Annex 2 to this document provides an example of the synoptic tables suggested for the initial rapid analysis of trade discussed here. The data in this example refer to trade in CITES-listed Amphibians between 1990 and 2000. A final table lists taxa **not** subject to trade during the period in question.

a) Terms: It is suggested that the process of Rapid Review of taxa should focus chiefly on terms of trade that involve the taking or the destruction of whole organisms (e.g. LIV, BOD, MEA, etc.). Prior to investigating the status of the population(s) of the taxon in question, no lower limit can be established to determine levels of trade that could be considered not significant. Thus, so long as there exists trade in these terms, an assessment of the status of the population should be conducted, as suggested in the sequence of activities in Annex 1 to this document. Trade in other terms (e.g. EGG, SPE or UNS) is not included.

b) Sources: Attention is given to records of trade from the wild or from ranching operations, and to those instances in which the source has not been reported ('Not Available'). Note that the latter case often involves considerable volumes, and that in principle part or all of this trade could be of wild source, and is therefore of interest to this analysis. Trade in specimens that have been bred in captivity is not included.

Annex 1. Chart flow of activities for the rapid review of animal taxa

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¹ The expression 'whole Terms' refers in this instance to any volume of trade in Terms involving the taking or destruction of whole organisms.

CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES
OF WILD FAUNA AND FLORA



Sixteenth meeting of the Animals Committee
Shepherdstown (United States of America), 11-15 December 2000

Periodic review of animal taxa in the Appendices

BACKGROUND

This document has been prepared by the CITES Secretariat.

Introduction

1. Resolution Conf. 11.1 Annex 2 under RESOLVES paragraph h) provides, as part of the terms of reference of the Animals Committee, that the Committee shall:

undertake a periodic review of animal or plant species included in the CITES Appendices by:
 - i) *establishing a schedule for reviewing the biological and trade status of these species;*
 - ii) *identifying problems or potential problems concerning the biological status of species being traded;*
 - iii) *consulting the Parties on the need to review specific species, working directly with the range States in the selection process, and seeking their assistance in such reviews; and*
 - iv) *preparing and submitting amendment proposals resulting from the review, through the Depositary Government, for consideration at meetings of the Conference of the Parties;*
2. This paragraph in Resolution Conf. 11.1 reflects amendments made at the 11th meeting of the Conference of the Parties to clarify the review process as well as expand the role of the Committee [see subparagraphs iii) and iv)].
3. Of the 31 species and groups of species identified for review by the Committee at its 15th meeting (see Notification to the Parties No. 1999/56 provided in Annex 1), reviews have been completed for only nine species and groups of species at the time of writing (October 2000). The Committee is requested to review the list of outstanding species, and as provided in subparagraph iii), request Parties to assist with outstanding reviews.
4. A standard format for reviews has not yet been determined, resulting in the varied approach followed so far (see Doc. AC.16.8.1). The Secretariat did provide guidelines with accompanying forms to conduct such reviews after consultation with the Chairman of the Committee (as provided in Annex 2) and the Committee is requested to consider possible amendments to the guidelines that would facilitate a more uniform response.

No. 1999/56

Geneva, 30 July 1999

CONCERNING:

Review of the appendices

Animals

1. At its 15th meeting (Antananarivo, Madagascar, 5-9 July 1999) the Animals Committee discussed in detail the possible approaches to its task of undertaking a periodic review of animal species included in the CITES Appendices [in accordance with Resolution Conf. 9.1 (Rev.) Annex 2, paragraph v].
2. The Animals Committee agreed to review a number of the animal taxa currently included in the appendices. This list of taxa to be reviewed is attached to this Notification.
3. The list contains the names of Parties whose representatives at the meeting agreed to carry out the review of the species concerned.
4. Parties that are range States for the taxa under review may be contacted direct by the nominated co-ordinators of the review for information and advice.
5. At the Animals Committee there were seven species for which no Party volunteered to conduct the review. For these the Chairman of the Animals Committee awaits offers from Parties, in particular range States, to carry out the review.
6. The various activities for this review will be coordinated by Dr Marinus Hoogmoed, regional representative for Europe to the Animals Committee.

List of animal species selected by the Animals Committee for the first phase of the review of the appendices (indicating which Party, if any, had undertaken to coordinate the review)

Mammals

Party	Species	Common name	App.	Area	Date first listed
	<i>Mirounga leonina</i>	Southern elephant seal	II	Africa; S. America	1/7/75
Kenya	<i>Panthera pardus</i>	Leopard	I	Africa; Asia	1/7/75
	<i>Cephalophus sylvicultor</i>	Yellow-backed duiker	II	W. Africa	29/7/83
United States of America	<i>Saiga tatarica</i>	Saiga antelope	II	C. Asia	16/2/95
Indonesia	<i>Macaca fascicularis</i>	Crab-eating macaque	II	Asia	4/2/77
Brazil (through the regional representative)	<i>Callithrix jacchus</i>	Common marmoset	I	E. Brazil	4/2/77
Australia	<i>Pteropus macrotis</i>	Big-eared flying fox	II	Pacific islands	22/10/87

Birds

Party	Species	Common name	App.	Area	Date first listed
	<i>Caloenas nicobarica</i>	Nicobar pigeon	I	Asia	28/6/79
Argentina	<i>Rhea americana</i>	Common rhea	II	S. America	14/7/76
Australia	<i>Anas aucklandica</i>	Brown teal	I	New Zealand	1/7/75
United States of America	<i>Falco peregrinus</i>	Peregrine falcon	I	Worldwide	1/7/75
Indonesia	<i>Macrocephalon maleo</i>	Maleo megapode	I	E. Indonesia	1/7/75
Guatemala	<i>Ara macao</i>	Scarlet macaw	I	N. South America	28/10/76
Switzerland/ United Republic of Tanzania	<i>Agapornis fischerii</i>	Fischer's lovebird	II	E. Africa	6/6/81

Reptiles

Party	Species	Common name	App.	Area	Date first listed
United States of America	<i>Dermochelys coriacea</i>	Leatherback sea turtle	I	Worldwide	1/7/75
Guatemala	<i>Dermatemys mawii</i>	Central America river turtle	II	C. America	6/6/81
	<i>Boa constrictor</i>	Boa constrictor	II	N./S. America	1/7/75
Netherlands	<i>Crocodylus lacertinus</i>	Dragon lizardet	II	S. America	4/2/77
Argentina	<i>Tupinambis teguixin</i>	Tupinambis	II	S. America	4/2/77
Namibia	<i>Python anchietae</i>	Angola python	II	Africa	1/7/75

Amphibians

Party	Species	Common name	App.	Area	Date first listed
Netherlands	<i>Dyscophus antongilli</i>	Tomato frog	I	Madagascar	22/10/87
Netherlands	<i>Bufo superciliaris</i>	Cameroon toad	I	W. Africa	1/7/75
United States of America; Mexico	<i>Ambystoma mexicanum</i>	Axolotl	II	Mexico	1/7/75
Netherlands	<i>Rana tigerina</i>	Indian bullfrog	II	Indian subcontinent	1/8/85

Fishes

Party	Species	Common name	App.	Area	Date first listed
Indonesia	<i>Scleropages formosus</i>	Asian bonytongue	I	S.E. Asia	1/7/75
United Kingdom	<i>Probarbus jullieni</i>	Ikan temolek	I	S.E. Asia	1/7/75
	<i>Cynoscion macdonaldi</i>	Totoaba	I	Mexico	4/2/77

Invertebrates

Party	Species	Common name	App.	Area	Date first listed
	<i>Hirudo medicinalis</i>	Medicinal leech	II	Europe, W. Asia	22/10/87
Spain	<i>Parnassius apollo</i>	Mountain apollo butterfly	II	Europe	4/2/77
United States of America	Order: Antipatharia	Black corals	II	Tropical worldwide	6/6/81
	<i>Goniopora</i> spp.	Flower pot coral	II	Tropical worldwide	18/1/90

**Guidelines for the review of animal species listed in CITES Appendices
(pursuant to Resolution Conf. 9.1 (Rev.), Annex 2, paragraph v)**

The following should be taken into account by reviewers:

1. Consultation with range States

It is important that the range States be involved in the process from the beginning onwards. It is for that reason that the Secretariat has already sent out Notification to the Parties No. 1999/56, explaining the process and mentioning the various co-ordinators involved. It is important that a copy of this Notification be included when range States are requested to participate in the review of the Appendices.

2. Objective

Resolution Conf. 9.1 (Rev.), Annex 2, paragraph v) directs the Animals Committee to undertake a periodic review of animal species included in the CITES appendices by:

- A) establishing a schedule for reviewing the biological and trade status of these species;
- B) identifying problems or potential problems concerning the biological status of species being traded; and
- C) informing the Parties of the need to review specific species, and assisting them in such reviews.

Concerning sub-paragraph A, the Animals Committee decided to initially concentrate on species listed prior to the adoption of Resolution Conf. 9.24, in order to assess whether the current status of species listed prior to 1994 matches the criteria established in Resolution Conf. 9.24.

3. Methodology

The review of the taxa should, wherever possible, be based on the information requirements outlined in Annex 6 of Resolution Conf. 9.24, applying all the criteria and requirements included in the operative part of this resolution and its annexes. A copy of this resolution is attached.

The following information is required to do such a review:

- Conservation status and rationale for initial listing (where available)
- Summary of trade since the initial listing
- Current population status
- Information on population trends.

The Secretariat will search for relevant information in its files for each species concerned and will provide this information along with information from the proceedings of the first and second meeting of the Conference of the Parties to reviewers. The Secretariat will furthermore obtain summaries of trade data from WCMC and provide such summaries to reviewers.

Reviewers should request Parties who are range States for the species under review to provide information about the current status of the species under review. Subjects to be included in a questionnaire are suggested below.

Questionnaire:

- a) Name of the Party the questionnaire will be addressed to;
- b) Name of the reviewer in the country responsible (see Notification to the Parties No. 1999/56), including the address to which completed questionnaires should be returned;
- c) Information that should already be provided by the reviewer:
 - Name of the taxon (including all taxonomic information as required in the Annex to Resolution Conf. 9.24)
 - Area of distribution
 - Summary of trade data
 - All information currently available from other sources.
- d) Information should be requested from the Party concerning the following:
 - For communication purposes: the name and address of the person providing information on the taxa concerned.
 - Current population status
 - Information on population trends
 - Corrections/additions to the information provided to the country concerned
 - Habitat preferences/details
 - Detail on legislation (if available) under which the species receives protection at the national level
 - Detail on legislation (if available) providing protection on the international level
 - Information on national trade
 - Existing management measures
 - Known captive breeding
 - Detail on literature or other references on which the information is based.

(Note: It is important that the first communication with a Party be in the language used in that country. In such a letter, it could be requested to use English in future communications. If the texts are not too long, the Secretariat might be able to help with translations, but bear in mind that we are currently preparing for COP11.)

4. The Chairman of the Animals Committee requests that reviewers attempt, wherever possible, to follow the timetable below:

31 March 2000: Drafts/questionnaires to be sent to the Parties concerned.

31 May 2000: Reminders to Parties that have not responded.

1 July 2000: Deadline for providing sheets on reviewed taxa to the Secretariat.

1 August 2000: All sheets on reviewed taxa to be sent to the members of the Animals Committee.

Appendix I criteria

Criteria⇒ Taxon ↓	A The wild population is small, and is characterized by at least one of the following (i-v):					B The wild population has a restricted area of distribution and is characterized by at least one of the following (i-iv):				C A decline in the number of individuals in the wild, which has been either (i-ii):		D If not included in AI, species would satisfy A, B or C within 5 yrs	Trade Criteria At least one of the following (i-iv):				Appendix I (Y/N)	Application problems
	i	ii	iii	iv	v	i	ii	iii	iv	i	ii		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

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.

Appendix II criteria

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	B		Trade Criteria				Appendix II (Y/N)	Application problems
Taxon ↓	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	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 :		A species must meet at least one of the following (i-iv):					
		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						

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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

Guidelines for the periodic review of animal taxa in the CITES Appendices

This document was prepared by the Contact Group on Review of the Appendices of the Animals Committee.

Background

Resolution Conf. 11.1, Annex 2, paragraph h) directs the AC to “undertake a periodic review of animal or plant species in the CITES Appendices...”

The purpose of these guidelines is to assist in the identification of species for review, and to outline the process for conducting those reviews.

Objective of the periodic review process

The objective of the periodic review process is to determine if species are properly listed in Appendices I and II, or if a proposal to transfer the species within or off the Appendices should be recommended, utilizing the listing criteria for amendment of Appendices I and II adopted at the 9th meeting of the Conference of the Parties (Resolution Conf. 9.24).

If the reviewing Party or Regional Representative obtains information identifying previously unknown or new threats to a species (i.e., illegal trade, sharp population declines, etc.), that goes beyond the issue of whether or not the species is listed in the correct Appendix, it is recommended that such information be submitted to the Animals Committee, the Secretariat, or the Standing Committee, as appropriate, for their consideration.

Identification of species for review

The following criteria will be used for the selection of species to be subject to review.

1) The following taxa should be included in the review:

a) Appendix II species with little or no recorded trade

Note: Little trade does not always mean that trade does not constitute a threat to the species and the current listing is not warranted. Little trade may occur because of a species' small population size, low demand for the species, or a Party's Scientific Authority being unable to make the required non-detriment findings. Moreover, illegal trade could be significantly higher than legal trade.

b) higher taxa listings (i.e., genus, family, etc.)

2) The following taxa should not be included in reviews:

a) species subject to other review processes, such as those that have been or are currently subject to the Significant Trade Review process (Resolution Conf. 12.8) or that have already been evaluated for listing in the CITES Appendices as proposals submitted for consideration at COP10, COP11, and COP12.

Process for future reviews

1) Future reviews should be handled as a three-tiered process as follows:

a) Production of trade data output (organized by family and genus) to identify potential species for review (see “identification of species for review” above)

- b) Completion of an “abridged species review” containing the following information:
 - i) rationale for initial listing (whenever available)
 - ii) summary of trade data since the initial listing in the Appendices
 - iii) current population status
 - iv) population trends
 - c) In cases when the “abridged species review” is not sufficient for the AC to determine if the current CITES listing is warranted, an “in-depth species review” should be conducted, which should be based on the information requirements outlined in Annex 6 of Resolution Conf. 9.24.
- 2) Reviewers are urged to solicit input from range country Scientific and Management Authorities, as well as conduct a literature review and seek information from relevant experts, scientists, and conservation organizations. To assist in the gathering of information from range countries and relevant experts, it is highly advisable to use questionnaires similar to the ones developed by the United States of America for its reviews (copies attached), which are based on the listing criteria in Resolution Conf. 9.24.
- 3) In all cases, a Party or member of the Animals Committee should be responsible for submission of a species review, but a Party may request that a non-governmental organization or individual scientist conduct the review.

No. 1009

Geneva, 19 December 1997

CONCERNING:

Review of the Appendices

Plants

1. At its eighth meeting (Pucón, Chile, 3-7 November 1997) the Plants Committee discussed in detail the possible approaches to its task of undertaking a periodic review of plant species included in the CITES appendices [Resolution Conf. 9.1 (Rev.) Annex 3, paragraph vii].
2. The Plants Committee adopted a working programme for the review of a number of the plant taxa currently included in the appendices. This programme is attached to this Notification.
3. Parties that are range States for the taxa under review may be contacted directly by the nominated co-ordinators of the review for information and advice.

CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES
OF WILD FAUNA AND FLORA

Eighth Meeting of the Plants Committee
Pucón (Chile), 3-7 November 1997

Review of the Appendices

The working group agreed to the following approach:

Priorities:

1. Timber species (Decision of the Conference of the Parties No. 10.87 directed to the Plants Committee).
2. Taxa included in the appendices in 1973 (Plenipotentiary Conference) and 1976 (First meeting of the Conference of the Parties). For the time being large groups such as Orchidaceae spp., Cactaceae spp. and Cycadaceae spp. will be excluded from the review. Species of Orchidaceae and Cactaceae included in Appendix I will be subject to review.
3. Taxa included in 1979 (Second meeting of the Conference of the Parties).
4. Taxa included in 1983 (Fourth meeting of the Conference of the Parties).

Note. Tree ferns were already the subject of discussion in various previous meetings of the Plants Committee. A working group created at this meeting will evaluate the information available on this group and will report back to the next meeting of the Plants Committee.

Procedures:

For each of the groups mentioned above, one or several Parties or persons will be responsible for initiating the review by applying the criteria included in Resolution Conf. 9.24 to the taxa under their responsibility.

The Secretariat will inform all range States concerned about the review and that they will in the near future be contacted by the co-ordinators.

General co-ordination of the review: Margarita Clemente, Chairman of the Plants Committee.

The responsible co-ordinators are:

Group 1:

The Netherlands is currently preparing a report on the application of the CITES criteria to a number of taxa traded for timber. This review includes all species included in the CITES appendices. It is expected that this review will be completed by April 1998. The information on the CITES taxa will be extracted from this report by the Secretariat, and in consultation with the Co-ordinator for the Review, will be sent to the range States and to relevant organizations, requesting their opinion.

Group 2:

General responsibility for the review of these taxa rests with the Royal Botanic Gardens Kew, United Kingdom.

The family Didiereaceae will be dealt with by Mr Bertrand von Arx, Canada.

Group 3:

- *Ceropegia* spp. and *Frerea indica*: Jan de Koning, the Netherlands;
- *Renanthera imschootiana*, *Vanda coerulea*: Royal Botanic Gardens, Kew, United Kingdom;
- *Cephalotus follicularis*, *Byblis* spp.: Greg Leach, Australia.

Group 4:

- *Nolina interrata*, *Disocactus macdougalli*, *Pachycereus militaris*: Maurizio Sajeve, Italy;
- Remaining taxa: Bruce MacBryde, United States of America.

In addition, in his function as Chairman of the IUCN/SSC Carnivorous Plants Specialist Group, Mr Bertrand von Arx offered to review the listing of all carnivorous plants not allocated among the above-mentioned priority groups.

The Secretariat will liaise with WCMC in order to provide the various co-ordinators with the relevant information from the WCMC databases.

CITES TELEFAX

TO: Jan de Koning Fax: (0031 71) 527 51 99
 Greg Leach Fax: (0061 8) 89 81 16 47
 Bruce MacBryde Fax: (001 703) 358 22 76
 Maurizio Sajeve Fax: (0039 91) 617 60 89
 Marianne Sandison Fax: 0044 181) 332 57 57
 Bertrand von Arx Fax: (001 250) 547 97 79

C.C.: Margarita Clemente Fax: (0034 57) 29 53 33

FROM: Ger van Vliet
 Plants Officer
 CITES Secretariat

DATE: 29 January 1998 **PAGE(S):** 3

SUBJECT: Review of the appendices

To all co-ordinators for the review of the appendices - plants

In order to ensure that all information received will be used and processed in the same way, the Chairman of the Plants Committee, as overall co-ordinator for the review process, would like to suggest that the following be taken into account by the various co-ordinators:

It is important that the Range states be involved in the process from the beginning onwards. It is for that reason that the Secretariat has already sent out Notification to the Parties No. 1009, explaining the process and mentioning the various co-ordinators involved.

You will also receive a letter by Margarita Clemente addressed to 'the Management Authority of the Party concerned' requesting its co-operation with the work of the review of the appendices.

Request for information to these Parties should already contain all information currently available. Subjects to be included in a questionnaire are suggested below. It is also suggested that a separate questionnaire be used for each species, even when all species of a higher taxon are occurring in one particular country. This will also allow the Plants Committee to make separate decisions regarding population status and/or the need for including/excluding look-a-like taxa.

The Secretariat would be grateful to receive from each of the co-ordinators, as soon as possible, a full list of the species for which he is responsible, and their distribution. It can then check its file for any information available on the taxa concerned. Information from the proceedings of the first and second meeting of the Conference of the Parties has already been mailed to the relevant co-ordinators.

The Chairman requests that the co-ordinators attempt, wherever possible, to follow the time table below:

February: Drafts/questionnaires to be sent to the Parties concerned
 April: Reminders to Parties that have not responded
 May: Secretariat to send reminders to Parties that still have not responded
 15 August: Deadline for providing sheets on reviewed taxa to the Secretariat
 1 September: All sheets on reviewed taxa to be send to the members of the Plants Committee
 November: Plants Committee meeting

The review of the taxa should, wherever possible, be based on information subjects listed in Annex 6 of Resolution Conf. 9.24, applying all the criteria and requirements included in the operative part of this resolution and its annexes. A copy of this resolution is also attached to this mail message.

The co-ordinators will also be provided with the summary tables prepared by Royal Botanic Gardens, Kew (by fax). These tables should not be sent to the Parties but will be very useful for summarising conclusions on all the taxa. Please contact Marianne Sandison at Kew (M.Sandison@lion.rbgekew.org.uk) in case you wish to receive these tables in electronic format.

Questionnaire:

1. Name of the Party the questionnaire will be addressed to;
2. Name of the co-ordinator responsible (cf. Notification 1009), including address to which completed questionnaire should be returned;
3. Information that should already be provided by the co-ordinator.
 - Name of the taxon (including all taxonomic information as required in Annex to Resolution Conf. 9.24)
 - Area of distribution
 - Trade data (for as far as available)

Information should be requested from the Party concerned on the following:

For communication purposes: Name and address of botanist(s) that will provide information on the taxa concerned.

Note: It is important that the first communication with a Party be in the language used in that country. In such a letter, it could be requested to use English in future communications. If the texts are not too long, the Secretariat might be able to help with translations, but bear in mind that we are currently preparing for the Standing Committee meeting.

Information needed for the review:

- Corrections/additions to the information provided to the country concerned
- Habitat preferences/details
- Information on population trends
- Details on legislation (if available) under which the species receives protection on the national level
- Details on legislation (if available) providing protection on the international level
- Information on national trade
- Existing management measures
- Known artificial propagation
- Details on literature or other references on which the information is based

I hope this information will be helpful to you.

Kind regards,

This document presents a format that the Secretariat suggests be used by all Appendix Review Coordinators to report their results to the next meeting of the Plants Committee (PC9).

In order to enable comparison between sets of data concerning different types of taxa, as well as taxa from different regions, the table presented and explained below will focus on a more visual presentation.

Although it is obvious that the Criteria defined in Resolution Conf. 9.24 and its Annexes will be preponderant, everybody should be convinced that the origin and source of the information must be recorded accurately for future consultation and cross-checking when necessary. The availability of these data is also relevant for putative proponents who wish to develop amendment proposals.

Each section of the table should contain a minimum set of summarised information that describes best the status of the taxa. It should be a overview of all opinions collected.

The extensive comments from the different experts and range States should then be recorded at the bottom of the table under each taxa. There is two ways to do so. First, by recording the comments from each source and with proper reference to it, or by grouping together the collected information by subject.

The opinions and comments of the Range States should be highlighted in the table in order to make sure that those get proper attention when the Plants Committee makes its recommendations on the basis of the reports and the tentatively proposed action.

Additional information – such as distribution, endemism or common names - may also be gathered easily in this process and should therefore be recorded at the same time.

A couple of examples will illustrate the level of information required for inclusion in the table and as additional comments.

Information to be included in the table

1) Botanical name of taxon / 2) *Published Authority* 3) **(Appendix)**

4) Global distribution 5) Endemism	6) Evaluation of importance of trade	7) Evaluation of other threats.	8) legal protection	9) Population trends	10) New IUCN Criteria	11) Level of art. prop.	12) Application of Criteria as from Resolution Conf. 9.24	13) Tentative proposal
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14) Comments with reference of source

	ITEMS	Primary information COMPULSORY
1.	Botanical name	latin name with synonyms, vernacular (local, common) and trade names
2.	Published Authority	YES
3.	Appendix	Appendix in which the taxon is currently included (in roman numbers)
4.	Global distribution	countries in ISO code (2 letter)
5.	Endemism	Endemic: YES / NO, One or more countries
6.	Evaluation of importance of trade	Short summary of know national and international trade based on replies (use keywords). Also prevision for trade in the future is useful. Both trade in specimens of wild origin and artificially propagated should be evaluated. Summary of trade data was provided to Co-ordinator.
7.	Evaluation of other threats.	Short summary based on replies (use keywords). Also comments on the evolution of those threats in the future would be useful.
8.	Population trends	Comment on dynamics of the populations of the taxa based on replies or on synthesis from threats and trade levels.
9.	Legal protection	Summary of national legislation and estimation of impact if present listing is being changed
10.	New IUCN Criteria	Directly from source or based on replies
11.	Level of art. prop.	Information on level and availability of artificially propagated material
12.	Application of CITES Criteria as from Resolution Conf. resol. 9.24	Co-Ordinator's first Evaluation Name category that reflect best information collected (eg. 2a,B,ii) 2a or 2b (conservation reasons or look-alike)
13.	Tentative proposal	Update Appendix listing: YES / NO (delist, uplist) Short support statement for a proposal
14.	Comments with reference OR other problems linked to this taxon.	Summary report (keywords) from source reply keep track of source Source can be used again if needed for more precise information, and also as a botanical contact in various countries.

Examples

The data presented in the two examples below are samples and should not be seen as definitive for the taxa.

Nepenthes rajah Hook. f. (App. I)

4) Global distribution 5) Endemism	6) importance of trade	7) other threats.	8) legal protection	9) Population trends	10) New IUCN Criteria	11) Level of art. prop.	12) Application of Criteria	13) Tentative proposal
Borneo. MY: (Sabah, Mt. Kinabalu) End.: Yes	No legal trade	Damage to habitat and careless visitors (trampling)	All populations in national Parks	Decline of mature individuals	1* CR (C2b) 2* VU (LR (cd)) 3* EN (B1 & B2E, C2e) 4* VU 5*V	Common in cultivation, availability of inexpensive plants	Annex 1 A I), ii), B I) iv)	Keep in App. I

1* J. Schlauer from Draft of *CITES Carnivorous Plants Checklist* / 2* C. Clarke

3* R. Cantley: This species grows in at least 2 distinct sub-populations, both of which are well protected by Sabah National Parks Authority. One of the populations grows in an area public access to which is strictly prohibited without permit. However, there has been a decline in population of mature individuals in the better known and less patrolled site. This is largely due to damage to habitat and plants by careless visitors rather than organised collection of plants. *Nepenthes rajah* has become common in cultivation in recent years as a result of the availability of inexpensive clones from tissue culture. I believe that these days commercial collection of this species from the wild is negligible,

4* Parties: MA/MY: in Nat. Parks / 5* IUCN 1997 Red List of Threatened Plants (old / Pre 1994 Threat categories)

Byblis liniflora L. (II)

AU: (W.A.; N.T.; Qld) PG, ID	Little to no legal trade	habitat destruction	No specific protection, but all <i>Byblis</i> need export permits	No	---	Easy to propagate by seeds	---	Delist <i>Protection status will not change if proposal adopted</i>
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A small genus of carnivorous plants in the monotypic family Byblidaceae. At the time of entry into the CITES Appendices, the genus contained two described species. One was the wide-ranging *B. liniflora*, distributed across northern Australia and variously reported from Indonesia and Papua New Guinea. The second species, *B. gigantea*, is highly restricted to a few small populations near Perth, Western Australia. This species was the basis for the CITES listing, with *B. liniflora* listed as a look-a-like taxon. Trade in the genus arises from the carnivorous plant trade. None of the species are of significant horticultural value outside this specialist interest group.

Legal Protection: All *Byblis* species are subject to export control under the *Wildlife Protection (Regulation of Exports and Imports) Act 1982*. Export permits are required for all specimens, whether artificially propagated or harvested from the wild. This situation will not change if this proposal is adopted.

International Trade: The first reported trade was a shipment from Great Britain in 1990. The only trade for *Byblis* since 1995 is 4 plants of *B. gigantea* and 13 plants recorded only at the genus level. These are suspected to also being *B. gigantea*. (Source WCMC, Environment Australia).

Illegal trade: There is a diversity of opinion on the extent of illegal trade. It has been argued that the ease of propagation means there is little advantage in wild collection. However, there are unsubstantiated reports of international collectors engaging in illegal wild collecting in Australia. The recent recognition of new taxa will create a demand from enthusiasts.

Known artificial propagation: *Byblis* produces copious seed that can be easily germinated after 24-hour treatment with Gibberellic acid at 10 ml/l. This species is an annual and would be typically cultivated by seed. Note that seeds of Appendix-II taxa of wild origin are excluded from

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.

