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

May 1997

CITES ANIMALS COMMITTEE
13TH MEETING

PRUHONICE, CZECH REPUBLIC
23 to 27 September 1996

SUMMARY RECORDS

• Secretariat of the Convention on International Trade in
CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES
OF WILD FAUNA AND FLORA

13th Meeting of the CITES Animals Committee
Pruhonice, Czech Republic, 23 to 27 September 1996

SUMMARY RECORDS

Members:

Oceania: R. W. Jenkins (Australia), Chairman

Africa: J. Hutton (Zimbabwe)
J. Ngog Nje (Cameroon)

Asia: C.-H. Giam (Singapore)
T. Soehartono (Indonesia)

Europe: R. Blanke (Germany)

North America: C. Dauphiné (Canada)

South and Central America and the Caribbean: M. Quero de Peña (Venezuela)
O. F. Lara (Guatemala)

Alternates:

Africa: E. L. M. Severre (Tanzania)

Europe: J. Kucera (Czech Republic)

Secretariat:
J. Barzdo
O. Menghi
M. Pani

Rapporteurs:
N. Cox
A. Haywood
First Session: Monday 23 September 1996

1. Welcome

The meeting was opened with a speech of welcome from Mr Ales Sulc, the Deputy Minister for the Environment of the Czech Republic. The Chairman thanked Mr Sulc on behalf of all delegates and representatives at the meeting.

2. Admission ofObservers

3. Adoption of Provisional Agenda and Working Programme

The Chairman agreed that substantive discussions of the Working Group on Transport of Live Animals could be delayed until Tuesday afternoon. The agenda and working programme were adopted with this amendment.

4. Adoption of Summary Record of the 12th Animals Committee

The Chairman noted that the text on the discussion of Resolution Conf. 5.16 on page 4, third paragraph, erroneously referred to captive breeding. The current references to captive breeding should be deleted from the paragraph and a sentence should be added stating that the principles in this paragraph applied equally to captive-bred specimens. The summary was adopted as amended.

It was agreed that a summary of the closed session of the previous meeting of the Animals Committee would be edited where appropriate and circulated to all participants as an attachment to the Summary Record of the 13th meeting.

14. Implementation of Resolution Conf. 8.9

The Secretariat introduced document Doc. AC.13.14 and requested that the Animals Committee decide how to follow up the recommendations recorded in this document. The formulation of the recommendations made to Canada and Greenland regarding Monodon monoceros (narwhal) was questioned. The Secretariat stated that Canada had submitted the information required to fulfil the primary recommendation, however it was continuing consultations with Greenland Canada regarding the secondary recommendations. Mr C. Dauphiné (representative of North America) reported that more research had been recommended on the sustainability of the narwhal harvest and that these plans would be described to satisfy the second recommendation of the Animals Committee.

In the discussion it was noted that, where range States have been asked to provide further information about a species, they have six weeks to respond. After that the Animals Committee may continue with the process of developing appropriate primary and secondary recommendations. The observer from the United States of America noted that evaluation of compliance with recommendations would be facilitated if they were more specific and action-oriented.

With respect to document Doc. AC.13.14.2, the observer from the European Commission pointed out that the initiation of a further cycle of species reviews prior to the tenth meeting of the Conference of the Parties was not in keeping with the procedure laid out in the Decision made by the Conference of the Parties at its ninth meeting on the process for implementing Resolution Conf. 8.9. The Chairman also drew attention to the extensive caseload still being dealt with by the Animals Committee as a result of previous reviews.

Consequently, it was agreed that the Committee should not now initiate reviews of additional species but should restrict its work in relation to Resolution Conf. 8.9 to
species that had already been subject to review.

The observer from IUCN reported that discussions were under way to undertake field projects in the following countries with respect to the species indicated:

Bolivia: Tayassu tajacu, Tayassu pecari

Togo: Kinixys belliana, K. homeana and K. erosa
       Python regius, P. sebae
       Chamaeleo senegalensis

Madagascar: Agapornis canus
           Coracopsis vasa
           Chamaeleo spp.

United Republic of Tanzania: Malacochersus tornieri
                           Geochelone pardalis

Mozambique: Agapornis lilianae
            Poicephalus cryptoxanthus
            Poicephalus meyeri

Malaysia: Indotestudo elongata
          Manouria emys

The observer from the United States of America introduced document Doc. AC.13.14.1.1, a draft resolution, which referred to the need for standardization of units when reporting trade and issuing permits for specimens of coral, and to problems of identification of taxa. Dr J. Hutton (representative of Africa) recommended that, since coral sand was not considered to be readily recognizable, this should also be recorded in the draft resolution. The Secretariat suggested that some elements from the draft might best be dealt with in other ways, rather than in a draft of a new resolution. It was agreed that the observer from the United States of America and the Secretariat should collaborate to formulate recommendations from the Animals Committee.

Second Session: Monday 23 September 1996

14. Implementation of Resolution Conf. 8.9 (continuation)

The observer from TRAFFIC USA introduced document Doc. AC.13.14.2.1 regarding trade in hard corals. The draft report on this trade had been sent to range States for comment in May 1996 and 12 States had submitted comments. These would be taken into account in the revision of the draft report for the Animals Committee. The document was noted. The Committee will formulate recommendations with respect to corals, if any are necessary, when it sees the final report from TRAFFIC USA.

The Secretariat introduced document Doc. AC.13.14.2.2 regarding farming of Python regius in Ghana and asked whether the Committee was satisfied with the action taken and the information provided by Ghana. It was noted that a field study of the species in Ghana, funded by the European Union, was expected to start in March, 1997. Questions raised by Ms M. Quero de Peña (representative of Central and South America and the Caribbean), regarding release of pythons into the wild, and by IFAW, regarding survivorship of hatchlings and re-release of females, would be relayed by the Secretariat to the consultant undertaking the study. Dr J. Hutton recommended that the consultant refer to the Reintroduction Guidelines produced by the IUCN Reintroduction Specialist Group. The Secretariat undertook to convey these points to the consultant. The
Committee agreed to consider whether further action was needed with respect to this species in Ghana after the results of the field study are available.

A review of the situation in Guyana had been requested by the United States of America because the ban on wildlife exports had been lifted. It was agreed that the recommendations made to Guyana in 1994 (but not formulated as primary and secondary recommendations) would be reformulated by the Committee in the context of Resolution Conf. 8.9 and sent to the Management Authority of Guyana.

The Secretariat introduced document Doc. AC.13.15, on Evaluation of CITES Project Proposals. After some discussion, it was agreed that project proposals should be submitted to the Chairman who would send them to relevant experts and regional representatives in the Committee for review. At the request of Dr R. Blanke (representative of Europe), it was agreed that all members would be sent the title of each proposed project and could then request copies of the full project proposals.

8. Implementation of Resolution Conf. 9.22 on the Universal Tagging System for the Identification of Crocodile Skins

The observer from the United States of America stated that action was necessary to clarify ambiguous language in part C of Resolution Conf. 9.22 regarding ‘tags’ and ‘part tags’. They did not wish to amend the Resolution but suggested that a Notification interpreting the language of the Resolution should be sent to the Parties by the Secretariat. The Secretariat indicated that it might need to consult with the Standing Committee on this subject. It was agreed that the representative of United States of America would convene a working group to produce a proposal for the Animals Committee. The working Group developed draft language for a Notification from the Secretariat.

18. Use of CITES-listed Animals by the Pharmaceutical Industry

The observer from the Japan Wildlife Research Centre introduced document Doc. AC.13.18, proposing a study on the use of CITES-listed animals by the pharmaceutical industry. The representative of the United Kingdom reported that TRAFFIC International was preparing a similar study, the results of which would be made available to the tenth meeting of the Conference of the Parties. The representative of China suggested that TRAFFIC’s findings might eventually form the basis of a broader study by the Japan Wildlife Research Centre.

The observer from the United States stated that his delegation would present further information on this subject later in the meeting.

5. Regional Representation on the Animals Committee

The Secretariat introduced document Doc. AC.13.5. Following a discussion, it was agreed that all members of the Committee should conduct consultations within their respective regions regarding points 1 to 4 of the Annex to the document, as these would need to be taken into account at the regional meetings that would take place during the tenth meeting of the Conference of the Parties.

With respect to point 5 in the Annex, Dr Hutton and Dr Blanke felt that it would not be appropriate to specify any particular length of service for Committee members in an amendment to Resolution Conf. 9.1. There was no agreement on the proposed amendment and it was agreed that the members of the Committee should discuss this point too within their regions.
The Chairman undertook to inform the Chairman of the Plants Committee about the result of the discussions in the Animals Committee.

12. Periodic Review of Animal Taxa Included in the Appendices

A copy of document Doc. AC.13.12 had been sent in advance to each regional representative in the Committee, for review.

**Africa**

The representatives of Africa did not recommend any changes to the current listings.

Regarding the proposed removal of *Erymnochelys madagascariensis*, the Secretariat undertook to contact Madagascar to determine its position.

**Central and South America and the Caribbean**

The regional representatives informed the Committee that the range States of *Bradypus variegatus* and *Peltocephalus dumerilianus* would draft proposals to remove these species from the appendices.

**Dermatemys mawii** - the regional representatives recommended that further studies be undertaken, involving all range States, to determine whether this species should be removed from or retained in the appendices.

**Crocodilurus lacertinus** - the regional representatives recommended retention of this species in the appendices. However the representative of the Netherlands indicated that the skin of the species was rather thin and unsuitable for the reptile-skin trade and he provided other information supporting the removal of the species from the appendices. He undertook to provide a summary of this information in writing to the representatives of Central and South America and the Caribbean for discussion in the region.

**Bufo retiformis** - Mexico had recommended removing this species from the appendices.

**Cnemidophorus hyperythrus** - this species was to be reviewed by Mexico and the United States of America.

**Cyprogenia aberti**, **Fusconaia subrotunda**, **Lampsilis brevicula** and **Lexingtonia dolabelloides** - the United States of America was considering preparation of a proposal to remove these species from the appendices.

**Asia and Oceania**

**Dendrolagus bennettianus**, **Dendrolagus lumholtzi**, **Burramys parvus**, **Turnix melanogaster**, **Pedionomus torquatus**, **Hoplocephalus bungaroides**, **Rheobatrachus spp.** - Australia was preparing proposals to remove these species from the appendices.

New Zealand was preparing a proposal to remove *Paryphanta* spp. from the appendices.

The representative of Oceania undertook to consult Indonesia regarding *Dendrolagus ursinus*. He would also request further information on *Gallirallus australis hectori*.
No proposals were to be prepared to amend the current listings in the appendices of the other taxa listed in document Doc. AC.13.12.

Third Session: 24 September 1996

6. Implementation of Resolution Conf. 9.17 on the Status of International Trade in Shark Species

The Chairman described the work completed to date to implement Resolution Conf. 9.17. He had requested the United States of America to co-ordinate the production of a discussion paper on the biological status of sharks (document Doc. AC.13.6 and Annex), using the submissions from various Parties, together with information from FAO, intergovernmental fisheries organizations and other available information. In inviting the observer from the United States of America to present the document, the Chairman noted that it represented the product of wide consultation through several drafts.

The observer from Panama made the following statements on a point of order:

a) Although the subject was included on the Agenda of the Standing Committee by Panama, discussion was prevented by the United States of America on the grounds that the matter had been referred by the Parties to the Animals Committee.

b) The United States of America had requested that only CITES Secretariat staff should represent the Secretariat at international meetings. The matter was resolved by the Standing Committee, which had agreed that there should be consultation with the Chairman of the relevant Committee.

c) The Chairman of the Animals Committee had requested a single document on implementation of Resolution Conf. 9.17 and Panama and the United States of America were supposed to work together to produce this document. The United States of America produced the first draft document three weeks later.

The observer from Panama reserved the right to comment on the document provided by the United States of America during the meeting of the working group that would discuss this issue.

The observer from the United States of America regretted the comments of Panama, and remarked that Panama had informed the United States of America at an earlier meeting that the document was acceptable.

In an effort to clarify what was perceived as some confusion, the observer from United States of America described the regulatory process required and under way in the United States of America in preparation for the tenth meeting of the Conference of the Parties. She stressed that comments and information were now being requested to amend the appendices and that no decisions had been made concerning proposals.

The observer from the United States of America introduced document Doc. AC. 13.6 (and its Annex) providing an overview of the impacts on the biological status of shark populations worldwide. This summary was complemented by documents compiled by TRAFFIC International and the IUCN/SSC Shark Specialist Group.

The observer from the IUCN/SSC Shark Specialist Group introduced document Doc. AC.13.6.2 detailing the biological status and life-history characteristics of particular
species subject to international trade and directed fisheries. She recommended that all threatened Chondrichthyan fishes (including Batoids) should also be covered by the action taken in accordance with Resolution Conf. 9.17.

The observer from TRAFFIC International introduced document Doc. AC.13.6.3, a report on the utilization of and trade in sharks and related species. This was a summary of a document that would be published in full in December 1996.

The observer from Japan introduced document Doc. AC.13.6.1 which contained the results of a study into the status of pelagic sharks in the Pacific Ocean, caught by Japanese research and training vessels, and of a study of the historical CPUE of pelagic sharks caught by Japanese longline fisheries in the world. The document provided time-series information of the status of pelagic sharks taken in a by-catch in Japanese longline tuna fisheries.

The observer from FAO provided details of a document still under preparation that would contain information on the status of shark fisheries. Funding would shortly be secured for the preparation of an identification catalogue for Batoids, for a revision of the FAO Shark Identification Catalogue and for a monograph on shark utilization and marketing.

The Chairman thanked all contributors and it was agreed that all the documents would be examined by a working group for the purpose of formulating a report to the next meeting of the Conference of the Parties.

9. Trade in Captive-bred Specimens

Dr Dauphiné introduced document Doc. AC.13.9 regarding the trade in captive-bred specimens. A draft resolution prepared by the Secretariat with input from a working group of the Animals Committee to resolve problems regarding the exemptions under Article VII, paragraphs 4 and 5, for specimens bred in captivity was attached as an Annex to the document.

It was agreed that the Annex to document Doc. AC.13.9 would be examined by a working group.

It was noted that the American Federation of Aviculture Inc. had provided information documents Doc. AC.13.9.1/Inf. and Doc. AC. 13.9.2/Inf.

10. Transport of Live Animals - Implementation of Resolution Conf. 9.23

In the absence of the chairwoman of the working group the observer from the United States of America introduced documents Doc. AC.13.10 and Doc. AC.13.10.1. It was agreed that these would be considered by the Working Group on Transport of Live Animals.

11. Frequent Cross-border Movement of Privately-owned Animals

The Chairman introduced document Doc. AC.13.11 and the observer from Germany introduced document Doc. AC.13.11.1; produced with the aim of reducing administrative requirements for the control of frequent cross-border movement of privately-owned animals.

At the request of the representative of Germany, it was agreed that a working group would be established to identify additional problems and develop practical solutions for consideration at the next meeting of the Conference of the Parties.
7. **Review of Resolution Conf. 5.16 on Trade in Ranched Specimens**

Document Doc. AC.13.7 was introduced by Dr Hutton who drew attention to the difficulties in marking ranched products to comply with Resolution Conf. 5.16. The current regulations were considered impractical for products such as crocodile teeth.

The Secretariat drew attention to the continuing process of consolidating resolutions and noted that it would produce drafts of consolidated resolutions on ranching and on marking. They noted that a mechanism should be found to ensure that any proposals from the Animals Committee were formulated in due course in the form of amendments to the consolidated resolutions.

12. **Periodic Review of Animal Taxa Included in the Appendices (continuation)**

Considerable confusion about the intent of the Parties at the time when the listing of Ovis vignei was adopted had caused different interpretations of the listing.

The Chairman of the Nomenclature Committee noted that this Committee had met the previous evening and considered that the Conference of the Parties had resolved the taxonomic ambiguity of O. vignei when it adopted the standard references to nomenclature of mammals in 1983 and 1994. The Nomenclature Committee recommended that the proposal in document Doc. AC.13.12.2, prepared by Germany, not be submitted as a proposal but be considered as an information document, to clarify the listing in the appendices. This was agreed.

Dr Blanke proposed the formation of a working group to develop incentives for the conservation of Ovis vignei in rural areas. It was agreed that a working group would meet during the present meeting of the Animals Committee.

22. **Other Business**

- **Trade in Tupinambis spp.**

  The Nomenclature Committee recommended that Cei (1993) should be used as the standard reference for Tupinambis spp. from Argentina and Paraguay. The Secretariat was requested to notify the Parties of this decision. It was recommended a procedure for Parties to follow in designation of nomenclatorial references for those taxonomics groups not covered by standard references that have been adopted by the Parties and that this reference should be included in the Resolution on Standard Nomenclature.

- **Review of Varanus indicus complex.**

  The Nomenclature Committee had reached agreement on the recognition of four species in the Varanus indicus complex: V. indicus, V. doreanus, V. spinulosus and V. jobiensis. This information had been transmitted orally by the Chairman of the Nomenclature Committee to Mr T. Soehartono (Representative of Asia).

**Fourth Session: 25 September 1996**

19. **Trade in Parts and Products of Appendix-I-listed Bear Species**

The observer from the United States of America introduced document Doc. AC.13.19. This contained possible recommendations from the Animals Committee to the Standing Committee on the trade in parts of Appendix-I bear species. The observer from the United States emphasized that the document focused co-operation between range countries and
did not apply to legal trade or to Appendix-II species. The document was intended to provide a basis for discussions in the Standing Committee.

The observer from TRAFFIC USA introduced document Doc. AC.13.19/Inf., prepared by TRAFFIC East Asia, reporting on the current East Asian market for bear gall bladder in four countries or territories. Recommendations were given for actions to improve understanding, monitoring and control of the trade in bear gall bladders and bile.

A report prepared by Humane Society International (HSI) was accepted as information document Doc. AC.13.19.1/Inf. Although much of the information for this document had come from North America, it was stressed that the trade was a global problem.

Regarding document Doc. AC.13.19, the Secretariat considered that items A and E of the recommendations to the Standing Committee could be implemented, and that items B, C, and D of the recommendations to the Secretariat could not be implemented because not enough time was available to circulate a Notification to the Parties requesting information from range States of bears.

The observer from China commented that the TRAFFIC document was regionally focused, while the HSI document had been prepared in a global context. He believed that bear species in Appendix I and Appendix II could not be considered separately, and that Appendix-II species were more important in international trade than those included in Appendix I. The difficulties in distinguishing between the gall bladders of bear species were raised. The observer from China understood that international policing of the trade was already in force, and stated that bear farms should not be considered in the document as China was the only country with bear farms and products from farms were prohibited from entering international trade.

The observer from the United States offered to modify the document to reflect concerns raised by the observer from China, before submitting the document to the Standing Committee.

Dr Hutton was concerned that discussion of document Doc. AC.13.19 could set a precedent in relation to the procedure for communication between the Animals Committee and the Standing Committee. Normally the issue would be submitted to the Standing Committee, which might refer it to the Animals Committee for comment on technical aspects. The Animals Committee would then submit its recommendations to the Standing Committee. The observer from the United States of America responded that the short time available to complete the document before the next meeting of the Standing Committee had necessitated bringing the matter to the attention of the Animals Committee first. There was no intention to set a precedent.

The Chairman noted that recommendation D to the Secretariat required rewording, and recommended that observers from China and the United States collaborate to make the document acceptable for the Animals Committee to present to the Standing Committee.

20. Trade in Sturgeons

Dr Blanke introduced document Doc. AC.13.20, prepared by Germany, on the trade in sturgeons. This document provided comprehensive information on the current trade in and population status of all sturgeon species. Dr Blanke summarised the main arguments for including certain sturgeon species in Appendix II:

a) some North American sturgeon species were already listed;

b) trade in caviar products was shifting to other sturgeon species;
c) there were difficulties in distinguishing the caviar of different species of sturgeon; and

d) all species of sturgeon were considered by IUCN to be globally threatened.

Extensive consultation had taken place between sturgeon range States and Germany, and meetings had been convened in Bonn and Moscow. A third meeting, involving most of the Caspian range States, was scheduled for October or November 1996. After this meeting, Germany intended to put forward a proposal to list all sturgeon species in Appendix II, for consideration at the next meeting of the Conference of the Parties.

The observer from TRAFFIC Europe introduced information document Doc. AC.13.20/Inf., which detailed the impact of the caviar trade on the sturgeons of the Caspian Sea. He reported that overfishing of sturgeon was resulting in the collapse of the Caspian Sea stock; illegal trade in caviar had been identified as significant contributing to the decline of the stock.

The observer from the IUCN\SSC Sturgeon Specialist Group introduced information document Doc. AC.13.20.1/Inf. This document specified the IUCN Threat Categories assigned to sturgeon species included in the forthcoming IUCN Red List of Threatened Animals. The observer from the IUCN\SSC Sturgeon Specialist Group reported on an analysis of the caviar available in the United States, which had revealed significant mislabelling of species entering trade.

The observer from the United States of America, which is a major importer of caviar, stated that it would be difficult to regulate imports if the species concerned were not included in the CITES appendices. She also thanked Germany and the IUCN Specialist Group for bringing this serious conservation issue to the attention of the Animals Committee, and noted that the United States looked forward to discussing this issue at the tenth meeting of the Conference of the Parties.

The observer from the Russian Federation agreed that the decline in the sturgeon populations was a result of overfishing and added that declines in natural spawning and poaching were also responsible. The Russian Federation was trying to restore the level of sturgeon populations through the annual release of 60 million fingerlings from over 20 hatcheries. The observer from the Russian Federation said he would welcome the listing of sturgeon species in Appendix II but was concerned about potential difficulties in identification. He said that the Russian Federation would have more confidence to discuss sturgeon listings after the meeting of range States.

The observer from China reported that, owing to successful breeding programmes, the sturgeon populations of the Amur were stable and could be efficiently managed through co-operation with the Russian Federation.

The observer from the IUCN\SSC Sturgeon Specialist Group remarked that a Russian fisheries manager present at the consultative meeting in Bonn had indicated that the situation regarding Amur sturgeon stocks was alarming.

The Chairman observed that the forthcoming meeting being organized by Germany was critical to the issue of listing sturgeon species, and emphasized the need for the participation of all sturgeon range States. A recommendation by Dr J. Ngog Nje (representative of Africa) that consumer States should also be represented at the meeting was agreed.

13. Implementation of Resolution Conf. 9.15 on the Conservation of Edible-nest Swiftlets of
the Genus Collocalia

The Secretariat introduced document Doc. AC.13.13, regarding the request to the Secretariat made by the Conference of the Parties at its ninth meeting to convene a technical workshop to establish conservation priorities and actions to achieve the sustainability of swiftlet-nest harvesting.

A draft agenda for the technical workshop, produced by the Secretariat in collaboration with the Chairman of the Animals Committee, was annexed to document Doc. AC.13.13.

The Animals Committee noted the agenda and wished the participants a productive meeting.

Fifth Session: 26 September 1996

16. CITES Scientific Authorities

The Secretariat introduced document Doc. AC.13.16, regarding Scientific Authorities. Resolution Conf. 8.6 requested the Secretariat to prepare guidelines to Scientific Authorities on conducting appropriate scientific reviews and to make available the findings required by Articles III, IV and V of the Convention and to co-ordinate regional workshops on the conduct of Scientific Authorities. The Secretariat had sent a questionnaire to the Scientific Authorities to determine how they operate and any problems encountered. They had also sent a complementary questionnaire to Management Authorities on the relationship with and work of their Scientific Authorities. Document Doc. AC.13.16 included copies of the questionnaires and an analysis of the responses from. Responses to the questionnaire did not make it evident that guidelines were required, though the need for training was often expressed.

The observer from the United States of America expressed support for production of guidelines as did Dr Ngog Nje and the observer from the European Commission. The Secretariat suggested that they could compile information from training seminars to be used as guidelines for Scientific Authorities. The Chairman stated that guidelines produced should seek to improve the general awareness of and scientific input into the Convention.

Several participants referred to the importance of seminars in the training of Scientific Authorities and said they provided a forum where experienced Authorities could share information with less experienced Authorities and were also useful for identifying research priorities.

It was suggested that training seminars should be run on a regional and a sub-regional basis. The observer from Panama and the United Republic of Tanzania stressed the need for interpretation during seminars. It was noted that training seminars were not run exclusively by the Secretariat. Dr Hutton reported that TRAFFIC was organising a training seminar in Africa. IUCN informed the meeting that IUCN/SSC Specialist Groups would be willing to contribute to seminars.

The Secretariat promised to compile the information at its disposal into a manual that would be submitted to the Animals and Plants Committees for comments and suggestions.


The Chairman introduced document Doc. AC.13.21 prepared by the Scientific Authority
of New Zealand which presented four recommendations to be reviewed regarding the listings of Cyanoramphus parrakeets.

The observer from the European Commission stated that the document used incorrect nomenclature as the species Cyanoramphus cookii, recognized by CITES, was referred to as the subspecies C. novaezelandiae cookii. Consequently, the Appendix-I listing of C. novaezelandiae was only relevant to preventing trade in C. cookii because of the difficulties in distinguishing between the two species. Any future transfer of C. novaezelandiae to Appendix II might allow misidentified specimens of C. cookii to enter trade as C. novaezelandiae.

The observer from WCMC stated that if C. malherbi was a valid species it would warrant listing in Appendix I, as trade in this taxon had previously occurred.

Dr Blanke advised that no proposal to the tenth meeting of the Conference of the Parties should be made by New Zealand until the taxonomic problems had been resolved.

In recognition of the taxonomic uncertainty surrounding C. malherbi, the observer from WCMC suggested that this taxon could possibly be listed in Appendix I as a form of C. auriceps.

It was agreed that no recommendation could be made to transfer C. novaezelandiae from Appendix I to Appendix II, the correct nomenclature should be conveyed to New Zealand for use in their review of Cyanoramphus spp., and a review of the potential to list C. malherbi as a form of C. auriceps should occur.

17. Treatment of Hybrids

The Secretariat introduced document Doc. AC.13.17, explaining that the subject of hybrids had been raised at the previous meeting of the Committee in the context of problems of trade in hybrids derived from Dama mesopotamica. The Secretariat had consequently been asked to consider the revision of Resolution Conf. 2.13. When doing this, it had noticed some anomalies and omissions. The Secretariat noted that the approaches in documents Doc. AC.13.17, prepared by the Secretariat, and Doc. AC.13.17.1, prepared by the United States of America, were quite different. The authors of the documents had therefore met during the present meeting and could propose to the Animals Committee a draft resolution to replace Resolution Conf. 2.13.

The main changes from the present provisions would be:

- animal hybrids that had animals of CITES species in their lineage preceding the previous generation would be covered, although the question of how many generations remained to be considered;

- guidance was provided on the treatment of hybrids where one parent was included in the appendices and the other was not;

- it was made clear that in the case where a hybrid animal had an animal of an Appendix-I species in its parentage, it should be treated as an Appendix-I species unless it was bred in captivity in accordance with Resolution Conf. 2.12 (Rev.).

It was noted that these changes would not solve the problem of Dama mesopotamica. The Secretariat suggested that this could be solved by annotating the species in the appendices with an annotation equivalent to that formerly applying to the chinchilla, indicating the range States of species.
The observer from the United States endorsed the proposal of the Secretariat.

Dr Blanke stressed that there was a problem of specifying the number of generations that should be taken into account in the lineage of a hybrid.

The Chairman requested the Secretariat to revise the draft resolution in the Annex to the document, incorporating the amendments agreed with the observer from the United States, and to present the revised version in the afternoon session.

22. Other business (continuation)

- Trade in Specimens of Animal Species in Appendix I

The observer from the United States of America introduced document Doc. AC.13.24, prepared as a draft Resolution to clarify information given in Notification No. 913, which had been issued to aid interpretation of the application of Articles II and VII of the Convention to Appendix I species. The draft Resolution had been prepared consideration at the tenth meeting of the Conference of the Parties.

The Secretariat considered that it was not necessary for the Conference of the Parties to consider document Doc. AC.13.24 and believed that nearly all the text duplicated what was said in the text of the Convention or in Resolutions of the Conference of the Parties.

The observer from the United States stated that this document was being presented to the Animals Committee to gather information, and she did not seek endorsement of the draft Resolution.

As the text of document Doc. AC.13.24 was largely consistent with a flow chart developed in the Working Group on Trade in Captive-bred Specimens, the United States intended to append this to the document.

The observer from AFA noted that the information in the document was much broader than the information coming from the Working Group on Trade in Captive-bred Specimens.

The observer from HSUS supported document Doc. AC.13.24 and stated that the information coming from the Working Group on Trade in Captive-bred Specimens was not as clear. However, she was concerned that the application of paragraph 4 of the document would allow commercial trade in captive-bred specimens that had not been bred for this purpose.

Dr Dauphiné suggested that a short, ready-reference to the provisions for trade in Appendix-I animal species was needed and enquired whether the Secretariat could produce this.

It was suggested that the Working Group on Trade in Captive-bred specimens and the United States should collaborate in the preparation of guidelines for training Scientific Authorities.

It was agreed that any work on the trade in specimens of animal species in Appendix I should wait until after the tenth meeting of the Conference of the Parties, where consideration of the trade in captive-bred specimens would resolve a number of associated problems.

The Secretariat was requested to prepare a document for clarification of Notification to the Parties No. 913, taking account of the comments made in the meeting.
- **Review of the Trade in Live Exotic Animals and Plants**

The observer from the United States introduced the subject of trade in exotic animals and plants that are detrimental to native flora and fauna. Attention was drawn to current activity on this subject carried out within the context of the Convention on Biological Diversity. Support was requested for the preparation of a discussion document for presentation at the tenth meeting of the Conference of the Parties to make the Parties aware of the trade in potentially harmful species.

The observer from IUCN stated that the IUCN\SSC Invasive Species Specialist Group received requests for advice on controlling alien species from many Management Authorities.

Mr O. F. Lara (representative of Central and South America and the Caribbean) suggested that a register of detrimental species should be established.

Mrs Quero de Peña drew attention to the problem of escaped pet animals, and recommended that a Working Group should be created to give advice on detrimental alien species.

The observer from Germany was concerned about the difficulty of preventing import of Appendix-II species where domestic legislative controls were not in place.

There was general support for the idea that the United States of America should prepare a discussion document for COP10 and consult with the IUCN specialist group.

The observer from the United States drew attention to the need to share views between the Animals Committee and the Plants Committee.

**Sixth Session: 26 September 1996**

14. **Implementation of Resolution Conf. 8.9 (continuation)**

The observer from the United States of America introduced document Doc. AC.13.14.1.2, which contained proposed recommendations relating to reporting of coral specimens in trade.

The Secretariat recalled that problems may occur in relation to trade in coral sand shipments containing recognizable pieces of coral, and that this could be a complicating factor in relation to the final paragraph.

The Animals Committee agreed to the proposed recommendations and it was noted that the United States would prepare a document on coral trade to propose the amendment of existing Resolutions, for consideration at the tenth meeting of the Conference of the Parties, with the endorsement of the Animals Committee.

19. **Trade in Parts and Products of Appendix-I-listed Bear Species (continuation)**

The observer from the United States presented the findings of the working group on this subject and noted two further amendments to the document summarizing the finding:

1) the title should be changed to read "Illegal International Trade in Parts from CITES-listed Bear species";
2) the text in paragraph D should read "to discuss legal and illegal trade in bear gall bladders and other viscera", in order to allow a broader discussion by the Standing Committee.

Dr C.-H. Giam (representative for Asia) requested that paragraph D be expanded to cover illegal trade in other bear parts.

The observer from the United States said that the discussion by the Standing Committee on trade in gall bladders and other parts should deal with parts for medicinal use, and not with trophies. She also clarified that, in the case of bear species included in Appendix II in accordance with Article II.2.b (similarity of appearance), the population status of and trade threats to those populations would not remain an issue of concern and therefore information on this was not expected to be submitted.

12. Periodic Review of Animal Taxa Included in the Appendices (continuation)

Dr Blanke reported the findings of the Working Group on Ovis vignei. Most workshop participants thought that it was the responsibility of range States to regulate local exploitation. CITES was relevant when an export permit was required. When an export permit was issued, a country must be satisfied that the export will not be detrimental to the population.

There has been some discussion of the possible inclusion of guidelines for determining export quotas for trophies in the guidelines for Scientific Authorities.

Dr Blanke felt that production of general guidelines for all Appendix-I trophies would not be possible and that guidelines should be produced for O. vignei and not aim to be applied generically. He advised that range States should be involved from the start of the process of creating guidelines.

Dr Hutton asked that the consultation process should be broadened to include other countries such as the United Republic of Tanzania.

Dr Blanke agreed to consult further with the range States and to report back to the Animals Committee on progress.

7. Review of Resolution Conf. 5.16 on Trade in Ranched Specimens (continuation)

Dr Hutton introduced document Doc. AC.13.7.1, the report of the working group on this subject.

Concern was expressed about paragraph (g) causing restrictions of trade with countries that are too poor to join CITES.

The observer from Germany suggested that the words 'without prior favourable advice from the Secretariat' be added to the end of paragraph (g). The Chairman proposed that this suggestion be adopted.

The Secretariat was requested to submit to the tenth meeting of the Conference of the Parties the draft resolution prepared by the working group, which should include the amendment suggested by Germany.

9. Trade in Captive-bred Specimens (continuation)

Dr Dauphiné reported on the activities of the working group on this subject. He said that a draft resolution had been prepared by the Secretariat, in response to an instruction of
The ninth meeting of the Conference of the Parties. Consensus had not been sought in the working group on any component of the draft resolution.

The working group had suggested that a second draft resolution should be prepared by the Secretariat taking into consideration the comments of the working group, which would be transmitted to the Secretariat by 18 October 1996. The comments from the working group were too numerous to describe in detail, but the following were examples of their major concerns and suggestions.

They suggested that two separate documents be prepared, the first to define 'bred in captivity' for species in all appendices, the second to deal with registration of operations breeding Appendix-I species for commercial purposes.

They felt that on page 4, paragraphs a to d, fine-tuning of the definitions was necessary.

Considerable concern was expressed regarding page 5, paragraphs B1 and B2, on introduction of nuisance animals into commercial captive breeding operations.

They considered that on page 6, paragraph C2, the 'list of species to be established by Parties' was too open ended and vague.

Regarding page 6, final paragraph, many members of the working group thought that defining a higher proportion of transactions as 'commercial' was acceptable, but that the definition of 'commercial' should be written in a way to refer to the actual trade in or, final use of the specimens.

There was concern about the content of page 7, paragraph aiii, which states a numerical cut off point to screen out small operations from the register. It was suggested that all operations be registered. This would increase the workload of the Secretariat, so a registration fee for each operation could be introduced to help the work of the Secretariat.

Regarding page 7, paragraph C, some members of the working group felt that asking for the specimens grandparents to have been obtained from a legal source was not going far enough back in the lineage.

Finally, some members of the working group felt that the section on plans to prevent inbreeding should be reintroduced to the application form for registration.

The Secretariat undertook to take into account the comments of the members of the working group in preparing a revised draft resolution.

17. Treatment of Hybrids (continuation)

The Secretariat introduced document Doc. AC. 13.17 Annex I (Rev.) containing a draft resolution on the treatment of hybrids. This document incorporated the amendments agreed with the observer from the United States.

The Secretariat was requested to submit the document as a draft resolution for consideration at the tenth meeting of the Conference of the Parties on behalf of the Animals Committee.

Seventh Session : Friday 27th September 1996

10. Transport of Live Animals - Implementation of Resolution Conf. 9.23 (continuation)
The observer from the United States introduced document Doc. AC.13.10 (Rev.), (a revised resolution which would repeal Resolution Conf. 9.23 if adopted), for submission to the tenth meeting of the Conference of the Parties. It lays out the processes agreed by the Working Group on Transport of Live Animals at the twelfth Animals Committee meeting. The observer from the United States explained that this draft resolution urged, instead of recommending, all Parties to act on this important issue.

Dr Giam expressed concern that if the new draft resolution were adopted it would create extra administrative burden on Management Authorities and could lead to a restriction of trade. The observer from the United States said that this was not the intention of the draft resolution and agreed to work with those Parties that were major exporters to revise the draft and to identify possible problems with its implementation. Dr Giam suggested the addition of the following to the end of the draft resolution: “Urges all Parties to transport animals in accordance with IATA recommendations.”

The observer from the United States agreed to this addition and the document was approved.

6. Implementation of Resolution Conf. 9.17 on the Status of International Trade in Shark Species (continuation)

The Chairman of the Working Group on Sharks presented a summary of the results of the meeting (see Annex 1). The observer from Panama endorsed the suggestions of the working group and requested that the documents prepared by Panama for the 12th meeting of the Animals Committee meeting be used to prepare the summary document to be submitted to the next meeting of the Conference of the Parties. The suggestions of the working group were agreed.

11. Frequent Transborder Movement of Live-Animals (continuation)

The rapporteur of the working group on this subject introduced the revised draft resolution in document Doc. AC.13.11 (Rev.), intended to reduce administrative procedures when frequent transborder movement of live animals occurs. It was expected that Switzerland and Germany would co-propose this draft resolution for consideration at the next meeting of the Conference of the Parties.

Closing Remarks

In closing the meeting, the Chairman expressed gratitude to the Czech Republic, the staff of the congress centre, the translators, Secretariat staff, the rapporteurs, IUCN, WCMC, TRAFFIC and all participants for all their efforts. The observer from the Czech Republic, the host country said that it had been a pleasure to host the meeting.
REPORTS
OF THE
WORKING GROUPS
SUMMARY RECORDS ON THE WORKING GROUP ON SHARKS

Implementation of Resolution Conf. 9.17
on the Status of International Trade in Shark Species

24 and 25 September 1996

Six working documents were submitted in response to the call for information in Resolution Conf. 9.17. FAO submitted a 7th document.

In response to a request for clarification on the collection methods and adequacy of FAO data, FAO explained they have two databases. The first holds data on nominal catches, provided by national reporting countries for the period 1960 to 1994. The data are highly aggregated and hence not sufficient as a base for stock assessment. The second holds customs data of member countries on trade in commodities, obtained via the UN Statistical Office in Geneva. The systems used for reporting landings limit the ability to report sharks at the species level, hence many transactions are reported simply as sharks or elasmobranchs.

Some international fisheries bodies have initiated actions in response to Resolution Conf. 9.17 since the ninth meeting of the Conference of the Parties. FAO is developing a programme to improve recording of shark catch data and trade statistics. FAO also proposes to update the shark world species catalogue, and produce a similar catalogue to aid identification of Batoids. FAO further proposed to update the shark utilisation and marketing monograph explaining the likely time frame of these activities and possible problems in relation to the Resolution Conf. 9.17 process. This activity is being partially funded by the Government of Japan.

ICCAT has initiated a new data collection effort for member countries to provide species specific information on sharks caught as bycatch in tuna fisheries. ICCAT had created a new sub-committee on bycatch and a working group on sharks.

OLDEPESCA has solicited information about sharks in its region and a workshop may be proposed to discuss informational needs and management strategies for sharks in the region.

The Animals Committee recognised information provided by the Parties in fulfilment of Resolution Conf. 9.17.

The Chairman reiterated that the Animals Committee is required to prepare a summary document on biological and trade information, to be submitted to the tenth meeting of the Conference of the Parties. The Parties will be asked to endorse the document. The document should seek a decision from the Conference of the Parties, not a resolution.

The Working Group agreed on the following procedure:

This summary document which will be submitted to the tenth meeting of the Conference of the Parties will be based on all the working documents considered by the meetings of the Animals Committee, including earlier reports by Panama on its liaison with FAO and other intergovernmental fisheries organizations. Information on the biological status will be based on the executive summary of the US working document, together with some parts of the IUCN document, the Japan documents and trade information from the TRAFFIC document. Gaps in knowledge should be identified.

The representatives of Japan, Panama and OLDEPESCA expressed concern on various points
concerning the technical content and conclusions reached in some of the source documents. These concerns were noted and will be taken into account during the preparation of the first draft.

The report to the tenth meeting of the Conference of the Parties will provide conclusions and recommendations based on the documents submitted by the US (document Doc. AC.13.6 and Annex) as a major reference.

The report will also contain sections summarizing the activities by FAO and the various intergovernmental fisheries organisations on this matter since the ninth meeting of the Conference of the Parties, and responses and information on sharks provided by Parties in response to the request by the Secretariat.

The observer from the United States of America suggested that appropriate actions recommended to be undertaken during the period between the tenth meeting of the Conference of the Parties and the eleventh meeting of the Conference of the Parties should focus on those species listed in Annex 1 of the IUCN report. This suggestion was supported by FAO.

In addition to the need for more comprehensive information on the trade and biology of sharks the working group identified the following areas as needing further attention by the responsible fisheries organisations and national fisheries agencies:

i) data quality;
ii) the need for more accurate identification of species;
iii) appropriate protocols to facilitate recording and reporting shark landings including sharks taken as a bycatch of other fisheries.

The working group recognised the need for a mechanism for ongoing liaison between the CITES Animals Committee and FAO and other regional intergovernmental scientific and fisheries bodies to monitor activities directed towards implementation of Resolution Conf. 9.17.

Subject to available funding, the Animals Committee, in collaboration with FAO should convene a meeting of relevant experts and officials to develop a programme for implementation of recommendations adopted by the tenth meeting of the Conference of the Parties.

The working group further noted the intention of Panama, subject to the availability of funding, to host a meeting of shark specialists and fisheries managers. Such a forum may provide the appropriate means of developing agreed protocols for reporting shark landings.

Preparation of a summary document for submission to the tenth meeting of the Conference of the Parties

The working group agreed to the formation of a small drafting group to assist the Chairman of the Animals Committee in preparing the document for submission to the tenth meeting of the Conference of the Parties. The drafting group will comprise identified individuals representing Panama, the United States, Japan, FAO, ICCAT, OLDEPESCA, OSPESCA, TRAFFIC and IUCN. The first draft of the paper will be prepared by the Chairman of the Animals Committee by November 1996 and circulated to the above individuals for comment.

A revised draft will be circulated for comment to Mexico and Singapore, Republic of Korea, Netherlands, Germany and members of the Animals Committee. Comments received will be incorporated and the document finalized for submission to the CITES Secretariat during December, 1997.
Illegal International Trade in Parts and Derivatives of CITES-listed Bear Species

The Animals Committee, in recognition of the serious problem of conservation of bears throughout the world caused by the continued illegal trade in parts and derivatives of bear species,

NOTES that:

a) if all Parties to the Convention, as well as non-Parties, do not take action to eliminate the illegal trade in parts and derivatives of bear species, poaching of wild populations of bears listed in Appendix I may cause population declines that could lead to the extirpation of certain bear populations or even species; and

b) the continued illegal trade in parts and derivatives of bear species undermines the effectiveness of the Convention; and

c) bears are native to Asia, Europe, North America and South America, and therefore the problem of conservation of bears caused by illegal trade in their parts and derivatives is a global one.

RECOMMENDS to the Standing Committee:

a) to strongly urge all Parties to the Convention, as well as non-Parties, to endeavour to eliminate the illegal trade in bear parts and derivatives;

b) to include international trade-related aspects of bear conservation as an issue of special concern in the agenda of the tenth meeting of the Conference of the Parties;

c) to encourage all States that are consumers of bear parts and derivatives, whether they are Parties or non-Parties, as well as non-governmental organizations in those countries, to co-operate closely with the traditional Asian medicinal and other consumer communities within their countries, both to educate consumers about the conservation of bear species, and to work co-operatively to seek substitutes for bear parts and derivatives in traditional medicines, as appropriate;

d) to discuss legal and illegal trade in bear gall bladders and other parts; and

e) to urge all Parties to the Convention, as well as non-Parties and non-governmental organizations, to co-operate on this issue.

REQUESTS the Secretariat

a) to request through a Notification to the Parties that all range States of bears submit to the next meeting of the Conference of the Parties any available information on their wild bear populations, on trade threats to these populations, and on legislative and regulatory controls on killing of bears and on illegal trade in their parts and derivatives;
b) to request through a Notification to the Parties that all countries of import, (re-)export and consumption of parts and derivatives of bears submit to the next meeting of the Conference of the Parties any available information on: enforcement efforts to interdict illegal shipments of bear parts or derivatives; legislative and regulatory controls on trade in these parts and derivatives; prosecutions relating to illegal trade in bear parts or derivatives; the kinds of bear derivatives available on the market; efforts to promote the use of substitutes in traditional medicine; and public education programmes;

c) to notify the Parties that the information requested in paragraphs a) and b), above, should be submitted to the Secretariat by 10 January 1997;

d) to bring this issue to the attention of the Interpol Subgroup on Wildlife Crime and the World Customs Organization; and

e) to explore all avenues for funding to convene a workshop on controlling illegal trade in bear parts and derivatives, in accordance with the provisions of Resolution Conf. 9.8.
CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES
OF WILD FAUNA AND FLORA

Thirteenth Meeting of the Animals Committee
Pruhonice (Czech Republic), 23-27 September 1996

FREQUENT TRANSBORDER MOVEMENT OF PERSONALLY OWNED LIVE ANIMALS

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES

Implementation of Article VII, Paragraph 3, with respect to
the Frequent Transborder Movement of Live Animals

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

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

NOTING that Resolution Conf. 4.12, adopted at the fourth meeting of the Conference of the Parties (Gaborone, 1983), defines "personal or household effects" as not applying to tourist souvenir specimens acquired outside the owner’s usual State of residence;

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

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

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

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

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

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS

a) that the terms "personal or household effects" in Article VII, paragraph 3, include personally owned live animals which are based and registered in the owner's State of usual residence;

b) that any Party may issue to an owner of a legally acquired personally owned live animal residing in its State and registered with the Management Authority of the State of residence and wishing to travel to other States, a certificate of ownership for each live animal travelling to another State as personal or household effects.

i) For Appendix I species, a certificate of ownership shall be issued only for live animals legally acquired by the owner in his usual State of residence.

ii) Each Party shall have the option of issuing a certificate with more than one live animal identified in the certificate of ownership; and

iii) The Management Authority shall require the applicant for a certificate of ownership to provide pertinent data regarding the live animal, including the species, sex, marker number or other identification, and name and address of owner;

c) that the certificate issued in accordance with paragraph b) above should include in box 5, or in another box if the standard permit form is not used, the following language: "The specimen covered by this certificate which permits multiple transborder movements is owned for personal non-commercial use and may not be transported for commercial purposes. If the certificate holder relinquishes ownership of the live animal, the certificate must be immediately returned to the issuing Management Authority";

d) that a Management Authority shall not issue a certificate of ownership for a live animal of a species listed in the Appendices to the Convention, which is a personal or household effect, unless it is satisfied that the live animal is legally owned by the applicant, and the animal has not been acquired in contravention of the provisions of the Convention;

e) that certificates of ownership issued for live animals as personal or household effects, be valid for a maximum period of three years to allow multiple imports, exports and re-exports of the individual live animal;

f) that Parties consider such certificates of ownership as proof that the live animal concerned has been registered with the issuing Management Authority and allow the movement of such live animal across their borders upon presentation of the original certificate or a true copy as described in subparagraph i) below in the case of a lost certificate of ownership;

g) that Parties not collect the above-mentioned certificates at their borders but allow the original documents to remain with the live animals and be considered valid for multiple border crossings (export and/or re-export) from each State;

h) that relevant Parties inspect such live animal specimens to ensure that the live animals are transported and cared for in a manner that minimizes the risk of injury, damage to health or cruel treatment;
l) that relevant Parties require that live animals which are personal or household effects be securely marked or otherwise appropriately identified in such a way that the authorities of the State into which a live animal enters can verify that the certificate of ownership corresponds to the live animal in question;

j) that when, during a stay in another State, a live animal travelling under a certificate of ownership produces progeny, the holder of the certificate of ownership must comply with the requirements of Articles III, IV or V to export and import such progeny from the State where the progeny was produced to his usual State of residence. For progeny produced from specimens travelling under a certificate of ownership, a certificate of ownership may be issued for such progeny when such progeny assumes the parent's State of residence;

k) that when a live animal, that is the subject of a certificate of ownership issued pursuant to this Resolution, is no longer the possession of the owner (escape, death, sale, theft, etc.), the original certificate of ownership shall be immediately returned to the issuing Management Authority;

l) that when, during a stay in another State, a certificate of ownership for a live animal is lost, stolen, or accidentally destroyed, only the Management Authority which has issued the document may issue a duplicate. This duplicate will bear the same number, if possible, the same date of validity as the original document, a new issuance date, and contain the following statement: "This certificate is a true copy of the original;" and

m) that the owner shall not sell or otherwise transfer a live animal which is a personal or household effect when travelling outside of his usual State of residence under the conditions of the certificate of ownership.
Annex 4

WORKING GROUP ON THE TRANSPORT OF LIVE SPECIMENS

DRAFT DECISION OF THE 13th MEETING OF THE ANIMALS COMMITTEE

Pruhonice, Czech Republic
23-27 September 1996

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

RECALLING that Resolution Conf. 9.23 adopted by the Conference of the Parties at its ninth meeting, relating to the transport of live specimens, recommended in paragraph j) that all Parties maintain records of the number of live specimens per shipment and of mortalities in transport of species listed in the Appendices, particularly birds, and note obvious causes of mortality, and that they publish these data annually, providing a copy to the Chairman of the Animals Committee

RECALLING that Resolution Conf. 9.23 adopted by the Conference of the Parties at its ninth meeting, relating to the transport of live specimens, recommended in paragraph k) that Parties take appropriate measures, including temporary suspension of trade for commercial purposes with specific countries where appropriate, regarding trade in species of birds that have significant high mortality rates in transport, based on their own data or data supplied by the Animals Committee;

THE ANIMALS COMMITTEE

AGREES that the effective implementation of Article IV, paragraph 2c and Resolution Conf. 9.23 necessitates further specific evaluation of the problem, analysis of information, and recommendations to the Parties for remedial or corrective action;

AGREES to adopt the Report of the Working Group on the Transport of Live Animals, submitted by the Working Group to the twelfth meeting of the Animals Committee, and contained in Doc. AC.13.10.1, which recommended the establishment of a new "significant mortality process" to assist the implementation of Resolution Conf. 9.23;

AGREES to recommend some amendments to Resolution Conf. 9.23, designed to improve its implementation, by establishing a process whereby the animals Committee, in cooperation with the Secretariat, Parties, and experts, can assist Parties in implementing the treaty's provisions for the preparation for shipment and transport of live animals;

AGREES to conduct a systematic review of the scope and causes and means of reducing the mortality and morbidity of animals during the shipment and transport process. Each round of the review should consist of the following activities and actions:

a) A limited number approximately ten) of species listed in the CITES Appendices of greatest concern should be initially selected for analysis and evaluation by the Animals Committee for each vertebrate class. The selection of species, and countries of import or export where appropriate, should consider trade volume, available mortality and morbidity information, and presence or prevalence of transport-related problems. prior consideration by the Parties under the significant trade process should be taken into account;
b) information should be collected for each species selected, including causes and rates of injury and mortality. Information should be collected from Parties, scientists, veterinarians, zoological institutions, trade representative, and other experts;

c) through the Secretariat, relevant exporting and importing Parties should be asked to pay particular attention to transport of these species, and to report problems with individual consignments;

d) when possible, causes of mortality should be assessed for species or specific problem shipments and veterinary examination of specimens encouraged;

e) the Secretariat, in cooperation with the Animals Committee, should consult with exporting and importing States on problems with implementation of transport and preparation for shipment requirements of the treaty for live specimens of these species;

AGREES that the Secretariat, in cooperation with the Animals Committee, after consultations with relevant Parties should make specific recommendations for improving the transport of live specimens of identified species. Such recommendations may be taxon-specific, or country of export or import specific, and may include aspects of the following, for example:

- administrative procedures,
- preparation and shipping methods;
- consignment sizes;
- transport methods,
- routing of shipments
- studies or evaluations of the causes of mortality.

AGREES that

a) the recommendations of the Animals Committee by communicated by the Secretariat to each exporting, importing or re-exporting Party concerned;

b) each Party concerned be asked to respond to the Secretariat on their implementation of these recommendations, as appropriate;

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

URGES all airlines to transport animals in accordance with the IATA regulations. (Added by Singapore).
SUMMARY RECORD OF THE CLOSED SESSION
To start the discussion, the Chairman gave the floor to Mr O. Lara (representative of Central and South America and the Caribbean). Mr Lara expressed his recognition of the value of NGO participation at the meetings of the Animals Committee but was concerned that the representation of NGOs at the present meeting was quite unbalanced, with developing countries hardly being represented at all and there being no NGO participation from his region. He drew attention to the particular difficulties for representatives of Spanish-speaking Parties at the meeting because only one of the documents was in Spanish. He added that it was extremely difficult to participate in the meetings of working groups, both because there was generally no simultaneous interpretation provided, and because they were dominated by NGO observers. Regarding the second point, he suggested that the Committee should consider adopting a rule that NGOs should only be able to participate if they are invited by the Committee because they have a contribution to make on a particular agenda item.

The Chairman noted that, under the current Rules of Procedure, the decision about which NGOs may participate rests with the Chairman of the Committee. He was from a Government with a policy of transparency in the decision-making process and had never refused any request from an NGO to participate in a meeting of the Animals Committee. He acknowledged that this policy had caused some imbalance of regional representation and that it might have unfairly influenced the debate on some issues. He noted that the Committee now dealt with a number of sensitive issues and that these naturally attracted much attention, including from organizations with a particular agenda. The question was how these problems could be addressed. Regarding the question of regional representation amongst NGOs, this might have been alleviated by the policy of rotating the location of the meetings between regions. The current meeting was being held in the Czech Republic in particular to facilitate the participation of the range States of sturgeons.

The observer from the United States of America agreed that it was unfortunate that more NGOs from developing countries were not able to be present. On this point, she suggested that Management Authorities and Scientific Authorities in developing countries might help to facilitate the participation of their local NGOs. With respect to the need to limit the size of working groups, to make them more productive, she suggested that NGO representatives at meetings could nominate their representatives to these groups.

The Chairman said that it was his intention, in his report to the next meeting of the Conference of the Parties, to ask for a significant increase in the budget of the Committee, as it was now quite inadequate in view of the workload of the Committee and the range and nature of issues that it had to deal with. He stressed that the budget should enable the full participation of
representatives of regions and Parties who did not speak English.

Dr J. Hutton (representative of Africa), said that NGOs had an important role to play at meetings of the Animals Committee, which is quite different in nature from the Standing Committee, and that he was himself from an NGO. He said that it was important to have a closed session as a regular part of the programme of every meeting of the Animals Committee. He felt that the continued growth in the number of participants at meetings was cause for concern. He also supported the Chairman's intention to seek an increased budget for the Committee. He believed that there had been signs, in certain working groups at this meeting, of some deterioration in the behaviour of some NGOs. He suggested that, although he was in favour of the participation of NGOs at meetings of the Animals Committee, when they ask the Chairman for approval to attend, he should inform them that exemplary behaviour is expected at meetings. On the question of increased representation of regions among the NGOs, he suggested that this should be brought to the attention of the Standing Committee.

Noting that there were no criteria for deciding whether any particular NGO should be entitled to attend a meeting of the Animals Committee, Mr J. Ngog Nje (representative of Africa) suggested that it might be appropriate for the Committee to create guidelines and that this possibility should be studied.

The observer from the United Kingdom said that, as a newcomer to CITES, he had been appalled by the size of the working groups at the present meeting, which made it extremely difficult to work. He supported the idea of the observer from the United States to limit the size of groups.

The observer from the United States stressed that she was suggesting the need to limit the attendance of NGO observers in working groups and not at the plenary sessions of the Committee. She thought that it might be appropriate to amend the Rules of Procedure regarding the attendance of NGOs. She also thought, however, that creative ways should be found to facilitate the participation of NGOs from developing countries.

Mr T. Soehartono (representative of Asia) said that he was happy to work with NGOs and that they should not be excluded from the meeting. He considered, however, that the Committee should consider limiting the attendance of NGOs to those with expertise on the subject under discussion.

Dr R. Blanke (representative of Europe) concurred with the view that the increase in the number of participants made the work of the Committee more difficult but he was pleased that the subjects were receiving so much attention. He, too, was against excluding NGOs, or certain NGOs, and felt that their expertise could and should be used. He agreed with the idea that the NGOs should select their own representatives in working groups.

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Dr R. Blanke (representative of Europe) concurred with the view that the increase in the number of participants made the work of the Committee more difficult but he was pleased that the subjects were receiving so much attention. He, too, was against excluding NGOs, or certain NGOs, and felt that their expertise could and should be used. He agreed with the idea that the NGOs should select their own representatives in working groups.
The Chairman believed that there was a need for consultation with the Standing Committee, possibly the Plants Committee, and the Secretariat on these issues, although he acknowledged that the Plants Committee might not have had the same problems as the Animals Committee had had in recent years. He felt that it was time to look at new ways of conducting the business of the Committee and that the model established by the Standing Committee might be considered. One idea, he felt, was to set aside the registration fee for NGOs and to establish one day on which they might attend to express their views on particular items on the agenda to the members of the Committee.

At the request of the observer from Japan, the Secretariat explained that the Standing Committee did not allow NGOs to be represented in their meetings except by specific invitation. However they did set aside a period after the close of the sessions on one day during their meetings when NGOs could make presentations to the members of the Committee. The observer from Japan expressed sympathy with the view of Mr Lara and associated himself with the views expressed by Dr Hutton. He acknowledged that it was good to have NGOs participation at the meetings but felt that it should be limited to those who could contribute to the discussion on specific issues. He felt that participation in working groups might be usefully limited to the representatives of Parties; he later clarified that he had no objection to the participation of IUCN and TRAFFIC in the Working Group on Sharks.

Dr C. Giam (representative of Asia) acknowledged the help provided to the Committee by NGOs and said that they were a fountain of knowledge. Nonetheless he concurred that it would be appropriate to limit their participation. He was concerned about the pressure on all members of the Committee and particularly concerned that CITES was being used as a way to stop all trade in wildlife, either by the introduction of bans or by the creation of very complex procedures.

The observer from the United States observed that many NGOs were not against trade in wildlife, and that the NGOs represented at the present meeting included a number that were representing the interests of traders. She stated that it was good to have a full spectrum of NGOs interests in the meetings of the Committee. She added that she planned to consult with NGOs in the United States the following week about the possibility of obtaining funding for NGOs from developing countries to attend meetings. She agreed with the Chairman that there was a problem of inadequate knowledge among some participants in working groups.

The observer from the Netherlands was not in favour of the exclusion of NGOs from the meetings. He emphasized that the Committee was constantly relying on the data provided by these organizations. He agreed with the suggestion that NGO observers might decide among themselves who should participate in working groups. Dr Hutton disagreed with the latter suggestion, preferring the Chairman to use his discretion in selecting NGOs to participate in working groups. Regarding the possibility that funds might be raised to facilitate the participation of NGOs from developing countries in meetings, he suggested that any money raised could go to the Secretariat. Organizations wanting support to attend meetings could then submit an application to the Secretariat with details of their expertise.

Another idea, the Chairman suggested, would be to raise the registration fee, perhaps to USD 200, and to establish a fund that be used to help participants from developing countries. He recalled however that not only NGOs but also Management Authorities required support and should be given preference. The Chairman accepted that he needed to exercise more discretion regarding the participation of NGOs in working groups but he felt that problems would be created if NGOs were turned away when these groups were meeting, especially if they had paid a fee. He agreed that it might be wise to ensure that NGOs had a contribution to make before their attendance was approved.

The observer from China said that the question of seating in meetings of the working groups was also a problem and that priority should be given to Committee members and to the
representatives of Parties. He suggested that the possibility should be provided to expel an NGO observer if this was proposed by a Party and agreed by others because of the circulation of misleading information.

Ms M. Quero de Peña (representative of Central and South America and the Caribbean) believed that the decision about the attendance of NGOs should not be left to the Chairman. She agreed with the suggestion that there should be a closed session at each meeting of the Animals Committee. She noted that some NGOs were very important to the discussions, such as IUCN, and felt that procedures for the admission of NGOs should be established for the future.

The observer from Mexico agreed that NGO observers should be allowed to participate in open meetings but he thought that each organization should have only one representative at the meetings of the Committee. He felt that, in working groups, the number of NGO observers present stifled the discussion.

The Chairman pointed out that one problem with the rule of having only one observer from each NGO was that people working for one organization were registered by other organizations as their representatives. He believed it was necessary to amend Resolution Conf. 9.1 so that the burden of deciding on NGO representation did not rest on the Chairman. He suggested that a process might be introduced similar to that for meetings of the Conference of the Parties, for which NGOs needed to be approved by the Management Authority of the country in which they were located and then to apply to the Secretariat for registration. The observer from the United States pointed out that many of the NGOs attending meetings of the Animals Committee were international NGOs, whose participation in meetings of the Conference of the Parties had to be approved by the Secretariat. She agreed that the question of the attendance of NGOs at meetings of the Animals Committee should be addressed at the next meeting of the Standing Committee, which should take into account the comments made here and the result of the review of the effectiveness of the Convention.

Dr Hutton suggested that a possible procedure for the future would be for the Animals Committee on the first day of each meeting to decide which NGO observers should attend each working group.

The Chairman pointed out that the Committee would not meet again until after the tenth meeting of the Conference of the Parties and that in his report to that meeting he would deal with the issues that had been raised during this closed session. In the meantime, he planned to consult the Secretariat to discuss ways to improve the conduct of the business of the Animals Committee after the tenth meeting of the Conference of the Parties. He agreed that the subject should be discussed by the Standing Committee in December.

The Chairman closed the session at 18h00.
LIST OF PARTICIPANTS
(as of 26 September 1996)

REGISTERED

Members of the Committee

Dr Rainer BLANKE
Bundesamt für Naturschutz
Gruppe I.2
Scientific Authority to CITES
Konstantinstrasse 110
D-53179 Bonn
GERMANY
Tel.: (49 228) 954 3440
Fax: (49 228) 954 3470
E-Mail:

Dr Charles DAUPHINE
Canadian Wildlife Service
351 St. Joseph Blvd.
Place Vincent Massey
Hull, Québec, K1A 0H3
CANADA
Tel.: (1 819) 953 1429
Fax: (1 819) 953 6283
E-Mail: DAUPHINE@CPITSI.DOE.CA

Dr Choo-Hoo GIAM
c/o Primary Production Department
Ministry of National Development
5 Maxwell Road
SINGAPORE 0106
Tel.: (65) 466 6486
Fax: (65) 220 6068
E-Mail:

Dr Jonathan HUTTON
Africa Resources Trust
P.O. Box HG 690
Highlands
Harare
ZIMBABWE
Tel.: (2634) 732 625/732 254
Fax: (2634) 731 719
E-Mail: HUTTON@ART.ORG.ZW

Dr Robert J ENKINS
Chairman of CITES Animals Committee
Australian Nature Conservation Agency (ANCA)
P.O. Box 636
Canberra, ACT 2601
AUSTRALIA
Tel.: (6162) 500 392
Fax: (6162) 500 243
E-Mail: HJ ENKINS@ANCA.GOV.AU

Lic. Oscar LARA
Escuela de Biología
Universidad de San Carlos de Guatemala
Edificio T-10
Ciudad Universitaria, Zona 12
001001 Ciudad de Guatemala
GUATEMALA
Tel.: (502) 2) 476 9856
Fax: (502 2) 469 8808
E-Mail:

Dr Jean NGOG NJE
Directeur
Ecole de faune
B.P. 271
Garoua / CAMEROON
Tel.: (237) 273 135, 273 1125
Fax: (237) 271 3135, 271 1800
E-Mail:

Licda. Mirna QUERO DE PEÑA
PROFAUNA MARNR
Dirección de Manejo de Especies Comerciales
Servicio Autónomo PROFAUNA - MARNR
Centro Simón Bolívar
Edificio Camejó (frente al Pasaje Zingg)
Entrada Oeste; Nivel Mezzanina
Caracas 1010 / VENEZUELA
Tel.: (582) 545 4257; 408 1514
Fax: (582) 545 3912
E-Mail:
Mr Tonny SOEHARTONO  
Ministry of Forestry, Indonesia  
D.G. of Forest Protection and  
Nature Conservation  
Dep. Kehutanan Lt. 8  
J alan Gatot Subroto  
J akarta 10270  
INDONESIA  
Tel./Fax: (6221) 572 0227 or (62 251) 317 724  
E-Mail: TONYNUKI@INDO.NET.ID

CITES Secretariat

Mr Jonathan BARZDO  
Management Authorities Co-ordinator

Ms Maritza de CAMPOS  
Assistant to Dr Menghi

Dr Obdulio MENGHI  
Scientific Co-ordinator

Mr Marco PANI  
Associate Enforcement Officer

CITES Secretariat  
Case postale 456  
1219 CHATELAINE/Geneva  
SWITZERLAND  
Tel.: (41 22) 979 91 39  
Fax: (41 22) 797 34 17  
E-Mail: CITES@UNEP.CH

Rapporteurs

Ms Mandy HAYWOOD  
IUCN/SSC Trade Programme  
World Conservation Monitoring Centre  
219 Huntingdon Road  
CAMBRIDGE CB3 0DL  
UNITED KINGDOM  
Tel.: (441 223) 277 966  
Fax: (441 223) 277 136  
E-Mail:

Mr Neil COX  
Species Unit  
World Conservation Monitoring Centre  
219 Huntingdon Road  
CAMBRIDGE CB3 0DL  
UNITED KINGDOM  
Tel.: (441 223) 277 314  
Fax: (441 223) 277 136  
E-Mail: Neil.Cox@wcmc.org.uk
Observers (International Organizations)

Dr D. ARDILL
Chief, FIDI
FOOD AND AGRICULTURE ORGANIZATION
OF THE UNITED NATIONS
Viale delle Terme di Caracalla
00110 Rome
ITALY
Tel.: (396) 52 252 160
Fax: (396) 52 253 605/52 253 162
E-Mail: DAVID.ARDILL@FAO.ORG

Ms Mona BJORKLUND
Senior Programme Officer
Biological Diversity Unit
UNITED NATIONS ENVIRONMENT PROGRAMME
(UNEP)
P.O. Box 30552
Nairobi
KENYA
Tel.: (254 2) 623 240; 623 241 (direct)
Fax: (254 2) 226 886; 226 890; 624 260 (direct)
E-Mail: Mona.Bjorklund@unep.no

Mr Carlos MAZAL
OLDEPESCA
Organización Latinoamericana de
Desarrollo Pesquero
Calle Las Palomas N° 422
Urbanización Limatambo
Apartado 10168
LIMA 34
PERU
Tel.: (51 1) 429 868; 427 655
Fax: (51 1) 429 925
E-Mail:

Dr G. SCOTT
INTERNATIONAL COMMISSION FOR THE
CONSERVATION OF ATLANTIC TUNAS
(ICCAT)
Estebanez Calderon, 3 - 8º
28020 Madrid
SPAIN
Tel.: (341) 579 33 52
Fax: (341) 571 52 99
E-Mail:

Mr David MORGAN
EUROPEAN COMMISSION
DG XI/D/2
Rue de la Loi 200 (TRMF 02/70)
B-1049 Bruxelles / BELGIQUE
Tel.: (32 2) 296 8712
Fax: (32 2) 296 9556
E-Mail: "DAVID HUW.MORGAN"@DG11.CEC.BE

Mr Luis PARIS
OSPESCA
Organización del Sector Pesquero
el Istmo Centroamericano
P. O. Box 333-5400
Puntarenas
COSTA RICA
Tel.: (506) 661 0846
Fax: (506) 661 0748
E-Mail:
Observers (CITES Parties)

Dr Frédéric ANDRE
Organe de gestion CITES
Ministère de l'Environnement
Direction de la nature et des paysages
20 Avenue de Ségur
75302 Paris 07 SP
FRANCE
Tel.: (33 1) 4219 1872
Fax: (33 1) 4219 1981
E-Mail:

Mr Dimas M. BOTELO L.
Instituto Nacional de Recursos
Naturales Renovables (INRENA)
Apartado 2016 - Paraíso
Corregimiento de Ancón
PANAMA 5
Tel.: (507 2) 32 4325, 32 4083
Fax: (507 2) 32 4083
E-Mail:

Mr Luis Rafael AREVALO CASTILLO
Autoridad Administrativa CITES-ES
Ministerio de Agricultura y Ganadería
Apartado Postal 554
San Salvador / EL SALVADOR
Tel.: (503) 224 3491
Fax: (503) 224 2782
E-Mail:

José Leonardo CASTILLO GEÑIZ
Instituto Nacional de la Pesca
Pitágoras No. 1320, Colonia Santa Cruz Atoyac
Mexico, D. F.
MEXICO
Tel. (525) 604 2352
E-Mail:

Mr Petr BLAHNIK
Agency for Nature and Landscape Conservation
CITES Scientific Authority
Kalisnická 4-6
130 00 Praha 3 / CZECH REPUBLIC
Tel.: (42 2) 271 525; 270 007
Fax: (42 2) 272 460
E-Mail:

Lic. Mario Orlando CISNEROS
Director de la Oficina de Asesoría Jurídica
Ministerio de Agricultura y Ganadería
Apartado Postal 554
San Salvador
EL SALVADOR
Tel.: (503) 279 1941
Fax: (503) 224-2944
E-Mail:

Mr Lluís COLOM
Advisor for fauna
CITES Scientific Authority of Spain
SPM Parc Zoológic de Barcelona, SA
Parc de la Ciutadella, s/u
08003 - Barcelona
SPAIN
Tel.: (34 3) 221 25 06
Fax: (34 3) 212 75 79
E-Mail:

Mr Alain BONNEAU
Organe de gestion CITES
Ministère de l'Environnement
Direction de la nature et des paysages
20 Avenue de Ségur
75302 Paris 07 SP
FRANCE
Tel.: (33 1) 4219 1872
Fax: (33 1) 4219 1981
E-Mail:

Ms Nancy K. DAVES
National Marine Fisheries Service
1315 East-West Hwy
Silver Spring, Maryland 20910
UNITED STATES OF AMERICA
Tel.: (1 301) 713 2319
Fax: (1 301) 713 0376
E-Mail: NACY.DAVES@NOAA.GOV
Ms Petra DEIMER  
Bundesministerium für Umwelt, Naturschutz und Reaktorsicherheit  
(Ministry of Environment, Nature Conservation and Nuclear Safety)  
Naturchutz - Referat NI 3  
Gavstedter weg 4  
D-25474 Hasloh / GERMANY  
Tel.: (49 228) 305 4712; 305 4106  
Fax: (49 228) 305 2695; 305 4775; 305 4106  
E-Mail: PDEIMER/626-9364@MCIMAIL  

Ms Pavla DORNICOVA  
Agency for Nature and Landscape Conservation  
CITES Scientific Authority  
Kalisnická 4-6  
130 00 Praha 3 / CZECH REPUBLIC  
Tel.: (42 2) 271 525; 270 007  
Fax: (42 2) 272 460  
E-Mail:  

Ms Sheila EINSWEILER  
Wildlife Inspection Coordinator  
US Fish and Wildlife Service  
Division of Law Enforcement  
4401 N. Fairfax Dr., Room 500  
Arlington, VA 22203  
UNITED STATES OF AMERICA  
Tel.: (1 703) 358 1949  
Fax: (1 703) 358 2271  
E-Mail: SHEILA_EINSWEILER@MAIL.FWS.GOV  

Dr Gerhard EMONDS  
Bundesministerium für Umwelt, Naturschutz und Reaktorsicherheit Naturchutz - Referat NI 3  
Godesberger Allee 90  
Postfach 12 06 29  
53048 Bonn / GERMANY  
Tel.: (49 228) 305 2630  
Fax: (49 228) 305 2695  
E-Mail:  

Mr FAN Zhiyong  
Deputy Division Director  
The People's Republic of China Endangered Species Scientific Commission  
and Export Administrative Office  
Ministry of Forestry  
P.O. Box 100714 - Hepingli  
Beijing  
CHINA  
Tel.: (86 10) 6421 4180; 6422 9944; 6422 3367  
Fax: (86 10) 6421 4180  
E-Mail:  

Mr Benjamin GONZALEZ  
Procuraduría Federal de Protección al Ambiente  
Periférico 5000 sur 5E Piso  
México, D. F.  
MEXICO  
Tel.: (525) 528 5402  
Fax: (525) 528 5391  

Dr Ute GRIMM  
Assistant Head  
German Scientific Authority to CITES  
Bundesamt für Naturschutz  
Artenschutz, Gruppe I.2  
Konstantinstrasse 110  
D-531717 Bonn  
GERMANY  
Tel.: (49 228) 9543-430  
Fax: (49 228) 9543-470  
E-Mail:  

José Luis GUERRA RAYA  
Secretaría de Medio Ambiente, Recursos Naturales y Pesca  
Periférico Sur 4290, 5o. Piso  
Colonia J ardines de la Montaña  
Mexico, D. F.  
MEXICO  
Tel. (525) 628 0765  
Fax. (525) 628 0763  
E-Mail:  

Mr GUO Yinfeng  
The People's Republic of China  
Endangered Species Scientific Commission  
19 Zhongguancun Lu, Haidian  
Beijing 100080 / CHINA  
Tel.: (86 10) 6256 2717; 6256 4680  
Fax: (86 10) 6256 2717; 6256 5689  
E-Mail:  

Dr Marinus S. HOOGMOED  
CITES-Committee of the Council for Nature Management  
NNM Postbus 9517  
2300 RA Leiden / NETHERLANDS  
Tel.: (31 71) 516 2618  
Fax: (31 71) 513 3344  
E-Mail: HOOGMOED@NNM.NL
Observers (Non-Governmental Organizations)

Mr José Roberto ALEGRIA COTO
Consejo Nacional de Ciencia y Tecnología, CONACYT
Urbanización Isidro Menéndez
Pasaje San Antonio No. 51
San Salvador / EL SALVADOR, C. A.
Tel. (503) 225 6311; 225 6222
Fax (503) 225 6255

Mr Craig BENNETT
TUSK FORCE
4 Spencer Court
140-142 Wandsworth High Street
London SW18 4JJ / UNITED KINGDOM
Tel.: (44 181) 870 4122
Fax: (44 181) 870 4711
E-Mail:

Dr V. BIRSTEIN, Chairman
IUCN/SSC Sturgeon Specialist Group
The Sturgeon Society, Inc.
331 West 57th Street, Suite 159
New York, NY 10024-5192
UNITED STATES OF AMERICA
Tel.: (1 212) 9977 7667
Fax: (1 212) 956 2515
E-Mail:

Mr F. M. BOND
General Counsel
NORTH AMERICAN FALCONERS ASSOCIATION
c/-Simons, Cuddy & Friedman LLP
1701 Old Pecos Trail
P.O. Box 4160
Santa Fe NEW MEXICO 87502-4160
UNITED STATES OF AMERICA
Tel.: (1 505) 988 4476
Fax: (1 505) 984 1807
E-Mail:

Dr Merry CAMHI, Staff Scientist
Living Oceans Program
NATIONAL AUDUBON SOCIETY
Scully Science Centre
550 South Bay Ave.
Islip, NY 11751
UNITED STATES OF AMERICA
Tel.: (1 516) ?
Fax: (1 516) 581 5268
E-Mail: mchamhi@audubon.org

Mr Stuart CHAPMAN
Conservation Officer
WWF-UK
Panda House
Weyside Park, Catteshall Lane
Godalming, Surrey GU7 1XR
UNITED KINGDOM
Tel.: (44 1 483) 426 444
Fax: (44 1 483) 426 409
E-Mail:

Mr Anthony CROSSWELL
FEDERATION OF FIELD SPORTS
ASSOCIATION OF THE EU (F.A.C.E.)
Sneath Farm
High Green
Great Moulton
Norwich, NR15 2HK / ENGLAND
Tel.: (44 1 379) 677 296
Fax:
E-Mail:

Mr Christian DE COUNE
INTERNATIONAL ASSOCIATION FOR FALCONRY & CONSERVATION OF BIRDS OF PREY
4140 Gomze-Andaumant / BELGIUM
Tel.: (32 41) 687 369
Fax: (32 41) 686 059
E-Mail:

Mr Tom DE MEULENAER
Director
TRAFFIC Europe
608, chaussée de Waterloo
B-1050 Brussels
BELGIUM
Tel.: (32 2) 347 3030/2
Fax: (32 2) 343 2565
E-Mail:

Ms Birga DEXEL
NATURSCHUTZBUND DEUTSCHLAND (NABU) e.V.
Projekt Okolabel
Herbert-Rabius-Str. 26
53225 Bonn
GERMANY
Tel.: (49 30) 4433 9186
Fax: (49 30) 4433 9181
E-Mail:
Mr Yoshio KANEKO
GLOBAL GUARDIAN TRUST
Toranomon 3-7-5
Minato-ku
Tokyo 105
J APAN
Tel.: (81 3) 3459 5447
Fax: (81 3) 3459 5449
E-Mail:

Mr Peter KNIGHTS
THE HUMANE SOCIETY INTERNATIONAL
c/o 1348 T St. N.W.
Washington, D.C. 20009
UNITED STATES OF AMERICA
Tel.: (1 202) 265 8904
Fax: (1 202) 387 2590
E-Mail: beargall@nicom.com

Mr Petr KOLOMAZNIK
Vice-Chairman
Klub sokolníku CMMJ
Club of Falconers of the Czecho-Moravian Organization of Hunters
Platonova 3276
143 00 Praha 4 / CZECH REPUBLIC
Tel.: (42 2) ?
Fax: (42 2) ?
E-Mail:

Mr San Wei LEE
SWAN INTERNATIONAL
37 Nanhai Road
Taipei
TAIWAN, R.O.C.
Tel.: (8862) 312 4045
Fax: (8862) 312 5857
E-Mail:

Dr Arthur LINDLEY
Head of Wildlife Department
RSPCA Headquarters
Causeway, Horsham
West Sussex RH 12 1HG
UNITED KINGDOM
Tel.: (441 403) 264 181
Fax: (441 403) 241 048
E-Mail: alindley@rspca.org.uk

Mr Marshall MEYERS
PET INDUSTRY JOINT ADVISORY COUNCIL
PIJAC
1220 19th Street NW
Washington, DC 20036
UNITED STATES OF AMERICA
Tel.: (1 202) 452-1525
Fax: (1 202) 293 4377
E-Mail: pijac@usa.pipeline.com

Ms Ann MICHELS
ENVIRONMENTAL INVESTIGATION AGENCY
1611 Connecticut Avenue NW
Suite 3B
Washington D.C. 20009
UNITED STATES OF AMERICA
Tel.: (1 202) 483 6621
Fax: (1 202) 483 6625
E-Mail: eliaus@igc.apc.org

Dr Barbara MAAS
INTERNATIONAL FUND FOR ANIMAL WELFARE Secretariat
Warren Court, Park Road
Crowborough
East Sussex TN6 2GA
UNITED KINGDOM
Tel.: (441 892) 663 374; 663 819
Fax: (441 892) 665 460
E-Mail: 207-1804@mcimail.com

Mr James MARTIN-JONES
FAUNA & FLORA International
Great Eastern House
Tenison Road
Cambridge
CB1 2DT
UNITED KINGDOM
Tel.: (441 223) 461 471
Fax: (441 223) 461 481
E-Mail:

Mr Alister MCNABNEY
Chair, CITES Committee
AMERICAN FEDERATION OF AVICULTURE
1161 Leisure Late #7
Walnut Creek
California F 94595
UNITED STATES OF AMERICA
Tel.: (1 510) 945 1785
Fax: (1 510) 945 1785
E-Mail:
Dr Bill MORRILL  
Director of Conservation  
SAFARI CLUB INTERNATIONAL  
455-B Carlisle Drive  
Herndon, VA 22170-4802  
UNITED STATES OF AMERICA  
Tel.: (1 703) 709 2293  
Fax: (1 703) 709 2296  
E-Mail: 76041.2701@compuserve.com

Ms Teresa MULLIKEN  
Programme Officer  
TRAFFIC International  
219c Huntingdon Road  
Cambridge CB3 0DL  
UNITED KINGDOM  
Tel.: (441 223) 277 427  
Fax: (441 223) 277 237  
E-Mail: teresa.mulliken@wcmc.org.uk

Mr Rick PARSONS  
GAME CONSERVATION INTERNATIONAL  
c/o The Parsons Group, Inc.  
P.O. Box 1308  
Centreville, Virginia, 22020  
UNITED STATES OF AMERICA  
Tel.: (1 703) 502 0014  
Fax: (1 703) 502 0016  
E-Mail: 76350.1213@compuserve.com

Ms Laura REIFSCHNEIDER  
ROSGOSCIRC  
The State Company Circus of Russia  
c/o Akin, Gump, Strauss, Hauer & Feld, L.L.P.  
Attorneys at Law  
1333 New Hampshire Avenue N.W.  
Suite 400  
Washington, D.C. 20036  
UNITED STATES OF AMERICA  
Tel.: (1 202) 887 4127  
Fax: (1 202) 887 4288  
E-Mail:

Ing. Juan ROSALES  
President  
ASPRIEXA  
(Associación Salvadoreña de Productores Importadores y Exportadores de Animales)  
San Salvador  
EL SALVADOR, C. A.  
Tel.: (503) 274 3950  
Fax: (503) 274 3950  
E-Mail:

Ms Alison ROSSER  
Wildlife Trade Programme Officer  
Special Survival Program  
IUCN-The World Conservation Union  
219c Huntingdon Road  
Cambridge CB3 0DL  
UNITED KINGDOM  
Tel.: (441 223) 277 966  
Fax: (441 223) 277 845  
E-Mail: alison.rosser@wcmc.org.uk

Drs Kees SCHOUTEN  
Schouten Nature Consultancy  
P. O. Box 64793  
NL-2506 CD Den Haag  
THE NETHERLANDS  
Tel.: (31 70) 323 5233  
Fax: (31 70) 323 5233  
E-Mail:

Mr Kenichi SHIBASAKI  
GLOBAL GUARDIAN TRUST  
Toranomon 3-7-5  
Minato-ku  
Tokyo 105  
J APAN  
Tel.: (81 3) 3459 5447  
Fax: (81 3) 3459 5449  
E-Mail:

Mr Václav SVOBODA  
Chairman  
Klub sokolníku CMMJ  
Club of Falconers of the Czecho-Moravian Organization of Hunters  
Platonova 3276  
143 00 Praha 4 / CZECH REPUBLIC  
Tel.: (42 2) ?  
Fax: (42 2) ?  
E-Mail:

Dr Teresa TELECKY  
THE HUMANE SOCIETY OF THE UNITED STATES  
2100 L Street, NW  
Washington, D.C. 20037  
UNITED STATES OF AMERICA  
Tel.: (1 301) 258 3142  
Fax: (1 301) 258 3080  
E-Mail: 75547.2755@compuserve.com
Mr William TRAVERS  
BORN FREE FOUNDATION  
Coldharbour Dorking  
Surrey RH5 6HA  
ENGLAND  
Tel.: (441 306) 712 091/713 431  
Fax: (441 306) 713 350  
E-Mail: bornfree@pncl.co.uk

Ms Ida VAN PAPENDORP  
LIFE CONSERVATIONIST ASSOCIATION  
11F, 109, Sec3, Ming Sheng E.Rd  
P.O. Box 112-565  
Taipei  
TAIWAN, R.O.C.  
Tel.: (886 2) 715 0079  
Fax: (886 2) 719 1044  
E-Mail:

Mr Steven TRENT  
Campaigns Co-ordinator  
ENVIRONMENTAL INVESTIGATION AGENCY LTD  
15 Bowling Green Lane  
London EC1R 0BD  
ENGLAND  
Tel.: (441 71) 490 7040  
Fax: (441 71) 490 0436  
E-Mail:

Mr Roland WITSCHEL  
CARE FOR THE WILD DEUTSCHLAND e.V.  
Neuhaldenstr. 26/2  
70825 Korntal  
GERMANY  
Tel.: (49 711) 838 6715  
Fax: (49 711) 838 6719  
E-Mail:

Ms Kristin L. VEHRS  
Deputy Director  
AMERICAN ZOO AND AQUARIUM ASSOCIATION  
7970-D Old Georgetown Rd.  
Bethesda, Maryland 20814  
USA  
Tel.: (1 301) 907 7777  
Fax: (1 301) 907 2980  
E-Mail:

Ms Leonie VEJJAJIVA  
THE WILD ANIMAL RESCUE FOUNDATION OF THAILAND  
29/2 Sukhumvit 33  
Bangkok 10110  
THAILAND  
Tel.: (66) 2-258 5560  
Fax: (66) 2-261 0925  
E-Mail: