

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



Fourteenth meeting of the Plants Committee
Windhoek (Namibia), 16-20 February 2004

Review of the Appendices

PERIODIC REVIEW OF ANIMAL AND PLANT TAXA IN THE APPENDICES
[RESOLUTION CONF. 11.1 (REV. COP12), DECISION 12.96 AND DOCUMENT SC49 DOC. 20.1]

1. This document has been prepared by the joint working group on the review of the Appendices of the Plants and Animals Committees.

Introduction

2. The periodic review of the Appendices is designed to review species already included in the Appendices to determine whether their listings continue to be appropriate, based on current biological and trade information and utilizing the provisions in Resolution Conf. 9.24 (Rev. CoP12) on Criteria for amendment of Appendices I and II. The reviews are part of the terms of reference of the Animals and Plants Committees, according to which they should establish a schedule for conducting the reviews, identify problems, consult Parties on the need to review specific species and seek their assistance, and prepare and submit amendment proposals resulting from the reviews, through the Depository Government, for consideration at meetings of the Conference of the Parties [see paragraph h) under the first RESOLVES in Annex 2 of Resolution Conf. 11.1 (Rev. CoP12) on Establishment of Committees].
3. At the 12th meeting of the Conference of the Parties (Santiago, 2002), Parties adopted Decision 12.96 requesting the Standing Committee to “develop mechanisms to obtain greater involvement of the range States in the periodic review of the Appendices and provide guidance to reach a clear recommendation after the completion of the review.”
4. At its 49th meeting (Geneva, April 2003), the Standing Committee agreed to the following recommendations for the implementation of Decision 12.96:
 - a) *The Animals and Plants Committees should share their experience regarding the undertaking of periodic reviews of species included in the Appendices (including the financing of reviews, the process, the format and output) and establish a schedule for the periodic review of the Appendices, listing the species they propose to review during the next two intersessional periods between meetings of the Conference of the Parties.*
 - b) *The Secretariat should send a copy of this list to all Parties requesting that range States of the species send their comments on the need to review these species to the Secretariat, to relay to the members of the Animals or Plants Committee and of the Standing Committee.*
 - c) *Taking these comments into account, the Animals and Plants Committees should in consultation with the Standing Committee finalize the selection of the species to be reviewed.*

- d) *The Animals and Plants Committees should conduct or organize the reviews, seeking information from the range States. A draft of each review (in an agreed format) should be provided by the Secretariat to the range States for comment within an agreed timeframe, and these comments should be taken into consideration before the review it is considered final.*
- e) *Inter-governmental bodies having a function in relation to the management or conservation of, or trade in species selected for review should be provided with the relevant draft reviews for comment within an agreed timeframe, and these comments should be taken into consideration when finalizing the review.*
- f) *The regional representatives of the Animals, Plants and Standing Committees should seek assistance from range States within their region to support the species reviews conducted by the Animals and Plants Committees.*
- g) *In cases where a review indicates, and the technical Committee concerned agrees, that it would be appropriate to transfer a species from one Appendix to another, or to delete a species from Appendix II, the Animals or Plants Committee should, in consultation with the range States, prepare (or arrange the preparation of) a proposal to amend the Appendices and keep the Standing Committee informed.*
- h) *The Secretariat on behalf of the Standing Committee should provide copies of the proposal to the range States and request that one or more should submit the proposal for consideration at the following meeting of the Conference of the Parties.*
- i) *If no range State is willing to submit the proposal, the Secretariat should request the Depositary Government to submit it [as specified in Resolution Conf. 11.1 (Rev. CoP12)] and to include the comments of the range States in the supporting statement.*
- j) *Proposals resulting from the periodic review of the Appendices must be submitted for decision by the Conference of the Parties.*

5. The recommendations of the Standing Committee were discussed at the 13th meeting of the Plants Committee (Geneva, August 2003; see document PC13 Doc. 13.3) and the 19th meeting of the Animals Committee (Geneva, August 2003; see documents AC19 Doc. 10 and AC19 Doc. 10.1). The Committees established a joint working group on the review of the Appendices, composed of the Chairmen of the Animals and Plants Committees, the representatives of Africa and Oceania (John Donaldson, Quentin Luke and Greg Leach) of the Plants Committee, and the observer from the United States of America (Javier Alvarez, Chairman of the contact group), Spain (Carlos Ibero) and UNEP-WCMC (Gerardo Fragoso). The working group was tasked to work intersessionally in the development of standard guidelines for conducting future reviews of taxa in the Appendices (including selection of species, types of information contained in the reviews, and questionnaires and other methods used to gather information from range states), and to provide guidance for a process to select and assess rapidly species to be reviewed using the information contained in documents PC13 Doc. 13.3 and AC19 Doc. 10.1.
6. The Plants and Animals Committees also agreed that no new periodic reviews be initiated until standard guidelines were agreed on, and a revised draft version of Resolution Conf. 9.24 (Rev. CoP12) be submitted at the 13th meeting the Conference of the Parties (Bangkok, October 2004).
7. The documents prepared by the working group are included as Annexes 1 and 2 to this document.

Comments from the Secretariat

8. The Secretariat commends the joint working group on the review of the Appendices of the Plants and Animals Committees for the excellent work that it has accomplished to date. It notes however that under the proposed 'rapid assessment technique for periodic review of the Appendices', outlined in Annex 2, it would seem very difficult for species to be downlisted or deleted from the Appendices as a result of periodic reviews, and the Secretariat would support a more flexible and simple process. The Secretariat also recommends to put more emphasis on the provisions in the Resolution on the Criteria for amendment of Appendices I and II in the decision tree, and to avoid additional or

duplicating criteria (e.g. 'Is the species status declining, uncommon, rare, unknown, of concern or globally threatened?'; 'Recorded trade involves primarily captive-bred or artificially propagated specimens, or trade that does not involve destruction or removal of whole organisms').

9. The decision tree in Annex 2 contains advice according to which a taxon in Appendix II that has not been the subject of a periodic review or a Review of Significant Trade over the past 10 years, for which legal trade has taken place during this period, and which is declining, uncommon, rare, of concern or globally threatened, should be recommended for review under the Significant Trade Review process. The Secretariat disagrees that such taxa would always meet the selection criteria for inclusion in the Review of Significant Trade because this review is aimed at Appendix-II species subject to significant levels of trade for which there is concern over the implementation of Article IV, paragraphs 2 (a), 3 and 6 (a). The Secretariat would therefore recommend removing the recommendation in the decision tree, or modifying it to reflect the provisions of Resolution Conf. 12.8 (Review of Significant Trade in specimens of Appendix-II species) concerning the selection of species to be reviewed.

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

This document was prepared by the intersessional working group of the Plants and Animals Committees on the review of the Appendices.

Background

Annex 2, paragraph h) of Resolution Conf. 11.1 on the Establishment of Committees directs the Plants and Animals Committees (PC and AC, respectively) to “undertake a periodic review of animal or plant species included in the CITES Appendices...”

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

Objective of the periodic review

The objective of the periodic review is to determine whether species are properly listed in Appendices I or II, and whether a proposal to transfer a species within the Appendices or to delete it therefrom should be recommended to the Conference of the Parties, based on Resolution Conf. 9.24 (Rev. CoP12) on Criteria for amendment of Appendices I and II.

Identification of species for review

Clear criteria will be used for the selection of species to be subject to review:

1. The following taxa should be included in the review:
 - a) taxa whose status or inclusion in the Appendices has not been reviewed in over a decade;
 - b) taxa listed under different criteria to those currently used;
 - c) higher taxon listings (i.e., genus, family, etc.).
2. The following taxa should not be included in reviews:
 - a) species subject to other reviews, such as those that have been or are currently subject to the Review of Significant Trade (Resolution Conf. 12.8) or that have already been evaluated for listing in the CITES Appendices as proposals submitted for consideration at CoP10, CoP11 and CoP12.

Process for future reviews

1. Future reviews should be carried out as a four-tiered process as follows:
 - a) Production of trade data outputs (organized by family and genus) to identify potential species for review as per 'Identification of species for review' above and the rapid assessment technique presented in Annex 2.
 - b) Completion of an 'abridged species review' containing the following information:
 - i) rationale for initial inclusion in the Appendices (whenever available);
 - ii) summary of trade data since the initial inclusion in the Appendices;
 - iii) current population status (including IUCN categorization of the species, if available); and
 - iv) population trends.

- c) Selection of taxa for 'in-depth species review' based on rapid assessment technique (Annex 2). In general, based on the above status and trade information, the 'rapid assessment technique' assigns species under review to one of five categories. For Appendix-I taxa, the review may result in (1) retention of the species in Appendix I or (2) transfer of the species to Appendix II. In the case of Appendix-II taxa, the review may result in (3) retention of the species in Appendix II, (4) transfer of the species to Appendix I or (5) deletion of the species from the Appendices. Each technical committee may wish to rank these five categories according to its priorities and budget.

(Note: While some argue that the main objective of the periodic review of the Appendices is to delete from the Appendices species that are not affected by international trade, i.e. to 'clean' the Appendices, others believe that that process should be used to identify Appendix-II species that warrant transfer to Appendix I because of recent significant declines in wild populations of the species.)

- d) In cases when the 'abridged species review' is not sufficient for the PC or AC to determine whether the current CITES listing is warranted, an 'in-depth species review' should be conducted, which should be based on the information requirements for the submission of a proposal to amend the Appendices as outlined in Resolution Conf. 9.24 (Rev. CoP12) on the Criteria for amendment of Appendices I and II.
- 2) If the reviewing Party or regional representative obtains information identifying previously unknown or new threats to a species (for instance illegal trade, sharp population declines, etc.) that goes beyond the issue of whether or not the species is listed in the correct Appendix, it is recommended that such information be submitted to the PC or AC for their consideration. If appropriate, the PC or AC may refer the issue to the Secretariat or Standing Committee.
- 3) Reviewers must solicit input from the CITES Scientific and Management Authorities of range States, conduct a literature review, and seek information from relevant experts, scientists and conservation organizations. To assist in the gathering of information from range countries and relevant experts, it is highly advisable to use questionnaires.
- 4) In all cases, while a Party or regional representative of the PC or AC should be responsible for submission of a species review, a Party may request that a non-governmental organization or individual scientist conduct the review. Reviews must be submitted back to the AC or PC and cannot be withdrawn.

Rapid assessment technique for the periodic review of the Appendices

