

## Recommended amendments to the English version of the Resolutions in effect

### Resolution Conf. 8.3 (Rev. CoP13)

Suggested amendments	Rationale
<p><b>Trade in readily recognizable parts and derivatives</b></p>	
<p>NOTING that the majority of species of wild fauna and flora that CITES seeks to protect and enhance occur in the developing countries of the world;</p> <p>RECOGNIZING that the sustainable use of wild fauna and flora, whether consumptive or non-consumptive, provides an economically competitive land-use option;</p>	
<p>BEING AWARE that, unless conservation programmes take into account the needs of local people and provide incentives for sustainable use of wild fauna and flora, conversion to alternative forms of land use may occur;</p> <p>RECOGNIZING that over-utilization is detrimental to the conservation of wild fauna and flora;</p> <p>RECOGNIZING further that legal trade in a species should not lead to increases in illegal trade anywhere in its range;</p>	
<p>RECOGNIZING also that the returns from legal use may provide funds and incentives to support the management of wild fauna and flora to contain the illegal trade;</p> <p>ACKNOWLEDGING that the aesthetic, scientific, cultural, recreational and other largely non-consumptive uses of wild fauna and flora are also of enormous importance;</p> <p>RECOGNIZING that there are many species for which trade would be detrimental to their survival;</p>	
<p>THE CONFERENCE OF THE PARTIES TO THE CONVENTION</p>	
<p>RECOGNIZES that commercial trade may be beneficial to the conservation of species and ecosystems, and <del>or</del> to the development of local people when carried out at levels that are not detrimental to the survival of the species in question; and</p>	<p>Deletion of "/or" as superfluous.</p>
<p>RECOGNIZES that implementation of CITES-listing decisions should take into account potential impacts</p>	

<b>Suggested amendments</b>	<b>Rationale</b>
on the livelihoods of the poor.	

**Resolution Conf. 9.5 (Rev. CoP15)\***

Suggested amendments	Rationale
<b>Trade with States not party to the Convention</b>	
RECALLING Resolutions Conf. 3.8 and Conf. 8.8, adopted by the Conference of the Parties at its third and eighth meetings (New Delhi, 1981; Kyoto, 1992);	
RECALLING the provisions of Article X of the Convention, permitting acceptance of comparable documentation issued by the competent authorities of States not party to the Convention;	
CONSIDERING the need to provide guidance to Parties for the uniform implementation of Article X of the Convention;	
CONSIDERING further the need to keep States not party to the Convention informed of its progressive implementation, to enable them to express their views regarding trade with the Parties, and to promote wider participation in the Convention;	
CONSIDERING that Article IV, paragraph 2, of the Convention requires a Scientific Authority of the State of export to have advised that an export will not be detrimental to the survival of the species concerned before an export permit may be issued;	
CONSCIOUS that trade from and through States not party to the Convention risks jeopardizing the effectiveness of the Convention;	
AWARE that illegal trade, in particular in Appendix-I species, appears to avoid States that are party to the Convention and seeks trade routes to, from and through States not party to the Convention;	
RECALLING Resolution Conf. 9.7 (Rev. CoP15), adopted by the Conference of the Parties at its ninth meeting (Fort Lauderdale, 1994) and revised at its 13th and 15th meetings (Bangkok, 2004; Doha, 2010), recommending that valid documentation be required for transit shipments;	
NOTING that control of transit shipments in particular appears to produce substantial information on illegal trade in CITES specimens;	
RECOGNIZING the possibility for Parties to impose more restrictive domestic controls on trade under Article XIV;	

\* Amended at the 13th, 14th and 15th meetings of the Conference of the Parties.

Suggested amendments	Rationale
CONVINCED of the need to counteract illegal trade by tightening the conditions applying to trade with States not party to the Convention;	
THE CONFERENCE OF THE PARTIES TO THE CONVENTION	
RECOMMENDS that:	
a) permits and certificates issued by States not party to the Convention not be accepted by Parties unless they contain:	
i) the name, stamp and signature of a competent issuing authority;	
ii) sufficient identification of the species concerned for the purposes of the Convention;	
iii) certification of the origin of the specimen concerned, including the export permit number from the country of origin, or justification for omitting such certification;	
iv) in the case of export of specimens of a species included in Appendix I or II, certification to the effect that the competent scientific institution has advised that the export will not be detrimental to the survival of the species (in case of doubt a copy of such advice should be required) and that the specimens were not obtained in contravention of the laws of the State of export;	
v) in the case of re-export, certification to the effect that the competent authority of the country of origin has issued an export document that substantially meets the requirements of Article VI of the Convention; and	
vi) in the case of export or re-export of live specimens, certification to the effect that they will be transported in a manner that will minimize the risk of injury, damage to health or cruel treatment;	
b) Parties accept documentation from States not party to the Convention only if the details of the competent authorities and scientific institutions of such States that are included in the online CITES Directory were communicated less than two years previously, unless the Secretariat confirms that it has more recent information;	

Suggested amendments	Rationale
c) the recommendations above also apply to specimens in transit destined for or coming from States not party to the Convention, including specimens in transit between such States;	
d) particular attention be given to the inspection of specimens in transit exported or re-exported from, or destined for States not party to the Convention and to the inspection of documentation for such specimens;	
e) Parties authorize import from and export or re-export to States not party to the Convention of specimens of wild origin of Appendix-I species only in special cases where it benefits the conservation of the species or provides for the welfare of the specimens, and only after consultation with the Secretariat;	
f) Parties allow import from States not party to the Convention of captive-bred and artificially propagated specimens of Appendix-I species only after favourable advice from the Secretariat; and	
g) Parties communicate to the Secretariat any inconsistencies in trade involving States not party to the Convention;	
INSTRUCTS the Secretariat to seek, every two years, information on, and to include in <del>its</del> <b>the CITES</b> Directory, details of the designated competent authorities, scientific institutions and enforcement authorities of non-party States that were communicated by these States, together with the date on which the details were received; and	Harmonization with the terminology used in paragraph b) above.
REPEALS the Resolutions listed hereunder: <ul style="list-style-type: none"> <li>a) Resolution Conf. 3.8 (New Delhi, 1981) – <i>Acceptance of Comparable Documentation Issued by States not Party to the Convention</i>; and</li> <li>b) Resolution Conf. 8.8 (Kyoto, 1992) – <i>Trade with States not Party to the Convention</i>.</li> </ul>	

**Resolution Conf. 9.6 (Rev.)\***

Suggested amendments	Rationale
<b>Trade in readily recognizable parts and derivatives</b>	
<p>RECALLING Resolutions Conf. 1.5, paragraph 3<sup>1</sup>, Conf. 1.7<sup>2</sup>, Conf. 2.18<sup>2</sup>, Conf. 4.8, Conf. 4.24<sup>2</sup>, Conf. 5.9, Conf. 5.2<sup>2</sup>, paragraph c), Conf. 6.18<sup>2</sup>, Conf. 6.2<sup>2</sup>, last paragraph, and Conf. 7.11<sup>2</sup>, adopted by the Conference of the Parties at its first, second, fourth, fifth, sixth and seventh meetings (Bern, 1976; San José, 1979; Gaborone, 1983; Buenos Aires, 1985; Ottawa, 1987; Lausanne, 1989), relating to readily recognizable parts and derivatives;</p>	
<p>RECOGNIZING that Article I of the Convention defines a 'specimen' as including readily recognizable parts and derivatives of animals and plants but does not define the term 'readily recognizable', which is therefore subject to differing interpretations by the Parties;</p>	
<p>NOTING that the trade in parts and derivatives regulated by one Party is therefore not always subject to regulation in others;</p>	
<p>ACKNOWLEDGING <del>the right that</del>, under Articles III, IV and V of the Convention <del>of those importing</del>, Parties <del>that wish to do so only to permit</del> <u>may authorize</u> import <u>of CITES specimens</u> from <del>a State party</del> <u>other Parties</u> <u>only upon</u> presentation of CITES documentation;</p>	<p>The original paragraph is very unclear and triggered a lot of discussion in the working group. Taking account of this discussion and of the reference to Articles III, IV and V, the Secretariat proposes amendments which, it hopes, translate in a clearer way the original intention of the resolution drafters. However, the Secretariat did not have time to get feedback from the working group on this proposal because of the proximity of the present meeting.</p>
<p>CONSIDERING that proper monitoring of and reporting on trade in ranched specimens are only possible if all importing countries consider all products of the operation to be readily recognizable;</p>	
<p>RECOGNIZING that the species or genera of coral from which coral sand and coral fragments [as defined in the Annex of Resolution Conf. 11.10 (Rev. CoP15)<sup>3</sup>] are derived cannot be readily determined;</p>	
<p>THE CONFERENCE OF THE PARTIES TO THE CONVENTION</p>	
<p>AGREES that the term 'readily recognizable part or derivative', as used in the Convention, shall be interpreted to include any specimen which appears from an accompanying document, the packaging or a</p>	

\* Amended at the 11th meeting of the Conference of the Parties and corrected by the Secretariat following the 14th and 15th meetings.

<sup>1</sup> Note from the Secretariat: repealed by Resolution Conf. 9.25 (Rev.), itself replaced by Resolution Conf. 9.25 (Rev. CoP14).

<sup>2</sup> Note from the Secretariat: repealed by the adoption of document Com. 9.14.

<sup>3</sup> Corrected by the Secretariat following the 12th, 14th and 15th meetings of the Conference of the Parties: originally referred to Resolution Conf. 11.10, later corrected to Resolution Conf. 11.10 (Rev. CoP12), then to Resolution Conf. 11.10 (Rev. CoP14).

Suggested amendments	Rationale
<p>mark or label, or from any other circumstances, to be a part or derivative of an animal or plant of a species included in the Appendices, unless such part or derivative is specifically exempted from the provisions of the Convention;</p>	
<p>RECOMMENDS that:</p>	
<p>a) Parties consider all products of ranching operations to be readily recognizable; and</p>	
<p>b) importing Parties that require that CITES export permits or re-export certificates accompany imports of parts and derivatives do not waive that requirement when such parts and derivatives are not considered to be readily recognizable by the exporting or re-exporting Party;</p>	
<p>AGREES that coral sand and coral fragments [as defined in the Annex of Resolution Conf. 11.10 (Rev. CoP15)<sup>3</sup>] are not considered readily recognizable and are therefore not covered by the provisions of the Convention; and</p>	
<p>REPEALS the Resolutions, or parts thereof, listed hereunder:</p> <p>a) Resolution Conf. 4.8 (Gaborone, 1983) – <i>Treatment of Exports of Parts and Derivatives without Permit from a Party to Another which Deems them Readily Recognizable</i>;</p> <p>b) Resolution Conf. 5.9 (Buenos Aires, 1985) – <i>Control of Readily Recognizable Parts and Derivatives</i>;</p> <p>c) Resolution Conf. 5.22 (Buenos Aires, 1985) – <i>Criteria for the Inclusion of Species in Appendix III – recommendation c</i>); and</p> <p>d) Resolution Conf. 6.22 (Ottawa, 1987) – <i>Monitoring and Reporting Procedures for Ranching Operations</i> – the paragraph under RECOMMENDS.</p>	

**Proposed revision of Resolution Conf. 9.9**

<b>Suggested amendments</b>	<b>Rationale</b>
<b>Confiscation of specimens exported or re-exported in violation of the Convention</b>	
RECALLING that Article VIII, paragraph 1 (b), of the Convention states that the Parties shall take appropriate measures to provide for the confiscation or return to the State of export of specimens traded in violation of the Convention;	
RECOGNIZING that the return by the importing Party to the State of export or re-export of specimens that have been traded in violation of the Convention may result <del>later</del> in such specimens being entered into illegal trade unless measures are taken by the Parties concerned to prevent this;	Deletion of the word "later" as superfluous, as the verb "result" already conveys the idea of something that comes after in time.
AWARE that, when specimens are exported or re-exported in violation of the Convention, <del>often</del> the only enforcement action taken against the exporter is <del>often</del> the confiscation of such specimens by the importing Party;	Moving the word "often" clarifies that it applies to "only".
THE CONFERENCE OF THE PARTIES TO THE CONVENTION	
RECOMMENDS that:	
a) when specimens are exported or re-exported in violation of the Convention, importing Parties:	
i) consider that the seizure and confiscation of such specimens are generally preferable to the definitive refusal of the import of the specimens; and	
ii) notify as soon as possible the Management Authority of the State from which the specimens were consigned of the violation and of any enforcement actions taken concerning the specimens; and	
b) when the import of specimens that have been exported or re-exported in violation of the Convention is refused by the country to which the specimens are consigned, the exporting or re-exporting Party take the measures necessary to ensure that such specimens are not re-entered into illegal trade, including monitoring their return to the country and providing for their confiscation.	



Proposed revision of Resolution Conf. 9.14 (Rev. CoP15)\*

Suggested amendments	Rationale
<b>Conservation of and trade in African and Asian rhinoceroses</b>	
CONCERNED that some rhinoceros populations have continued to decline drastically and that four of the five species are threatened with extinction;	
RECALLING that the Conference of the Parties included all species of rhinoceroses in Appendix I of the Convention in 1977, and that the South African and Swaziland populations of <i>Ceratotherium simum simum</i> were transferred to Appendix II with an annotation in 1994 and 2004 respectively;	
RECALLING further Resolution Conf. 3.11 and Resolution Conf. 6.10, adopted by the Conference of the Parties at its third and sixth meetings respectively (New Delhi, 1981; Ottawa, 1997), and Decision 10.45 <sup>1</sup> , adopted at its 10th meeting (Harare, 1997), all relating to the conservation of <u>rhinoceroses</u> and trade in rhinoceroses <u>specimens</u> ;  <i>1 Decision deleted following the 11th meeting of the Conference of the Parties.</i>	a) Addition of a footnote to indicate that Decision 10.45 is no longer valid, in line with current editorial practice.  b) Addition of the word "specimens" to reflect the fact that the bulk of the trade is in parts and derivatives and not whole animals.
COMMENDING the successful management and protection of rhinoceroses in some African and Asian range States, often under difficult circumstances;	
COMMENDING further the measures taken by countries to control and reduce use of rhinoceros horn, especially countries where use is part of a cultural tradition extending back many centuries;	
CONCLUDING that the above measures have not arrested the decline of all rhinoceros populations;	
RECOGNIZING that the illegal trade in rhinoceros horn is <del>known to be</del> a global law enforcement problem, extending beyond range States and traditional consuming countries, but that emphasis solely on law enforcement has failed to remove the threat to rhinoceroses;	The idea of "is known to be" is already conveyed by "recognizing". The expression therefore appears superfluous.
CONSCIOUS that stocks of rhinoceros horn continue to accumulate in some countries and that the call for their destruction, as recommended in Resolution Conf. 6.10, has not been implemented, and is no longer considered appropriate by a number of Parties;	
RECOGNIZING that some international measures may have unintended consequences, for example, on trade;	Change in punctuation as there is no reason for a comma here.

\* Amended at the 11th, 13th, 14th and 15th meetings of the Conference of the Parties.

Suggested amendments	Rationale
RECOGNIZING that there is a diversity of opinion as to the most effective approaches to the conservation of rhinoceroses;	
CONCERNED that threats to rhinoceros populations and demand for rhinoceros parts and derivatives still exist, and that the cost of ensuring adequate security for them is increasing and cannot easily be met by many range States;	
THE CONFERENCE OF THE PARTIES TO THE CONVENTION	
URGES:	
a) all Parties that have stocks of rhinoceros horn to identify, mark, register and secure such stocks;	
b) all Parties to adopt and implement comprehensive legislation and enforcement controls, including internal trade restrictions and penalties, aimed at reducing illegal trade in rhinoceros parts and derivatives;	
c) the Secretariat and other appropriate bodies, where possible, to assist those Parties with inadequate legislation, enforcement, or control of stocks, by providing them technical advice and relevant information;	
d) range States to be vigilant in their law enforcement efforts, including the prevention of illegal hunting, the early detection of potential offenders and the application of appropriate penalties to act as effective deterrents;	
e) that law enforcement cooperation <del>between and</del> among range and implicated States be increased through the existing international, regional and national law enforcement mechanisms and, where necessary, through the creation of such mechanisms in order to curtail illegal trade in rhinoceros horn; where an implicated State in this Resolution is a State or citizen(s) of a State significantly implicated or involved in legal and/or illegal trade in parts and derivatives; and	Deletion of "between" as superfluous: "among" already includes the possibility of bilateral cooperation.
f) the implicated States, as a matter of priority, to work with all user groups and industries to develop and implement strategies for reducing the use and consumption of rhinoceros parts and derivatives and to report on progress for inclusion into the joint IUCN/TRAFFIC reports;	
DIRECTS the Standing Committee to continue to pursue actions aimed at ending illegal trade in rhinoceros parts and derivatives, ensuring that:	

Suggested amendments	Rationale
a) all such actions are accompanied by evaluations of their effectiveness and appropriate recommendations; and	
b) the policies that guide interventions are responsive and adaptive to the outcome of the evaluations;	
RECOMMENDS that those range States without a budgeted conservation and management plan for rhinoceroses should develop and implement one as expeditiously as possible, utilizing all available relevant expertise and resources;	
RECOMMENDS further that those range States with an existing, budgeted plan for rhinoceroses should endeavour to implement the plan as expeditiously as possible, and should undertake a review of the effectiveness of enforcement and trade control measures therein;	
<p>RECOMMENDS that the IUCN/SSC African and Asian Rhino Specialist Groups and TRAFFIC submit at least six months before each meeting of the Conference of the Parties a written report to the Secretariat on:</p> <p>a) the national and continental conservation status of African and Asian rhinoceros species;<del>;</del></p> <p>b) trade in specimens of rhinoceros<del>es</del>;<del>;</del></p> <p>c) stocks of specimens of rhinoceros<del>es</del> and stock management;<del>;</del></p> <p>d) incidents of illegal killing of rhinoceroses;<del>;</del></p> <p>e) enforcement issues,<del> and</del>;<del>;</del></p> <p>f) conservation actions and management strategies with an evaluation of their effectiveness; and</p> <p>eg) measures by implicated States to end the illegal use and consumption of rhinoceros parts and derivatives;</p>	<p>a) Splitting and numbering of each item required in the report from the IUCN/SSC groups and TRAFFIC to improve clarity.</p> <p>b) Standardization of the plural form of "rhinoceros".</p>
DIRECTS the Secretariat to:	
a) distribute the report of the IUCN/SSC African and Asian Rhino Specialist Groups and TRAFFIC to range and implicated States for any comments;	
b) on the basis of the report and the comments received from the range and implicated States, formulate recommendations and draft decisions for consideration by the Conference of the Parties as appropriate; and	

Suggested amendments	Rationale
c) encourage the Parties to financially support the IUCN African and Asian Rhino Specialist Groups and TRAFFIC in the compilation of information from the range States and the reporting thereof to the Secretariat;	
URGES range States of African and Asian rhinoceroses, implicated States, other Parties and other stakeholders to provide financial support to and cooperate with the IUCN/SSC African and Asian Rhino Specialist Groups and TRAFFIC in collecting information for their reporting to the Secretariat on trade in and conservation of rhinoceroses;	
CALLS upon all governments and intergovernmental organizations, international aid agencies and non-governmental organizations to provide funds to implement rhinoceros conservation activities, especially efforts to prevent the illegal killing of rhinoceroses and end the illegal trade in rhinoceros horn, and to enable IUCN and TRAFFIC to undertake effectively their reporting to the Secretariat before each meeting of the Conference of the Parties;	
CALLS for constructive engagement among <del>s</del> all Parties to the Convention and synergy between the Convention and the IUCN/SSC Rhino Specialist Groups to achieve the aims of this Resolution; and	Change to harmonize spelling.
<p>REPEALS the Resolutions listed hereunder:</p> <p>a) Resolution Conf. 3.11 (New Delhi, 1981) – <i>Trade in Rhinoceros Horn</i>; and</p> <p>b) Resolution Conf. 6.10 (Ottawa, 1987) – <i>Trade in Rhinoceros Products</i>.</p>	

**Proposed revision of Resolution Conf. 9.20 (Rev.)\***

Suggested amendments	Rationale
<b>Guidelines for evaluating marine turtle ranching proposals submitted pursuant to Resolution Conf. 11.16 (Rev. CoP15)<sup>1</sup></b>	
RECOGNIZING that, as a general rule, use of sea turtles has not been conducted in a sustainable manner and has led to the decline of sea turtle populations;	
RECOGNIZING also that other factors such as habitat loss, pollution and incidental catch are seriously impacting sea turtle populations;	
RECALLING that Resolution Conf. 11.16 (Rev. CoP15) <sup>1</sup> adopted by the Conference of the Parties at its 11th meeting (Gigiri, 2000) and amended at its 14th and 15th meetings (The Hague, 2007; Doha, 2010), recommends that, for a proposal to transfer a species from Appendix I to Appendix II for the purpose of ranching, the operation "must be primarily beneficial to the conservation of the local population";	
NOTING that the unique biology of sea turtles makes their sustainable use difficult and imposes special restraints on their exploitation, which require the application of rigorous controls;	
RECOGNIZING that the demand for marine turtle products in some States stimulates illegal trade both nationally and internationally;	
NOTING that the cooperation of range States greatly enhances the conservation of marine turtle populations;	
UNDERSTANDING that, because of the behaviour of marine turtles of returning to specific beaches to nest, range States have a special responsibility to protect marine-turtle nesting habitat and nesting females during the breeding season;	Some members of the working group recommend deleting the hyphen between "marine" and "turtle" to align it with other occurrences of the same phrase in the Resolution (that is, when used as an attribute). However, this view is not unanimous in the working group and the Secretariat believes that there is a semantic reason for keeping the hyphen here, namely that it makes it clear that "marine" applies to "turtle" and not to "habitat". It therefore recommends keeping the hyphen.
RECOGNIZING that sustainable use may have potential benefits for the conservation of marine turtles and their habitats;	

\* Amended at the 10th meeting of the Conference of the Parties and corrected by the Secretariat following the 14th and 15th meetings.

<sup>1</sup> Corrected by the Secretariat following the 11th, 14th and 15th meetings of the Conference of the Parties: originally referred to Resolution Conf. 10.18, later corrected to Resolution Conf. 11.16, then to Resolution Conf. 11.16 (Rev. CoP14).

Suggested amendments	Rationale
THE CONFERENCE OF THE PARTIES TO THE CONVENTION	
RECOMMENDS that:	
a) any Party seeking to allow international trade in products of sea turtle ranches satisfy all the requirements of the Convention and Resolution Conf. 11.16 (Rev. CoP15) <sup>1</sup> ;	
b) any Party seeking to transfer a marine turtle population from Appendix I to Appendix II pursuant to Resolution Conf. 11.16 (Rev. CoP14) <sup>1</sup> provide information in accordance with the guidelines contained in the Annex to <u>thise present</u> Resolution; and	Change from "this Resolution" to "the present Resolution" to remove any ambiguity. The reference is to Resolution Conf. 9.20 (Rev.), and not to Resolution Conf. 11.16 (Rev. CoP14).
c) any Party whose population of marine turtles is transferred to Appendix II pursuant to <u>thise present</u> Resolution and Resolution Conf. 11.16 (Rev. CoP15) <sup>1</sup> ensure that procedures for regular adequate reporting to the Secretariat exist and are implemented. Failure to satisfy this requirement and to demonstrate conservation benefit to the population or compliance with other requirement of Resolution Conf. 11.16 (Rev. CoP15) <sup>1</sup> may result in the application of paragraph <u>ed</u> ) <sup>3</sup> of that Resolution under the last 'RECOMMENDS'.  <sup>3</sup> <u>Corrected by the Secretariat following the 14th meeting of the Conference of the Parties: originally referred to "paragraph c)".</u>	a) Change from "this Resolution" to "the present Resolution" to remove any ambiguity.  b) Change [from "paragraph c)" to "paragraph d)"]: After CoP14, the Secretariat updated all cross-references in the set of valid Resolutions and changed "Resolution Conf. 11.16" to "Resolution Conf. 11.16 (Rev. CoP14)". However, it overlooked that paragraph "c)" in Resolution Conf. 11.16 had become paragraph "d)" in Resolution Conf. 11.16 (Rev. CoP14). It is proposed that a footnote (see footnote No. 3 opposite) be added to explain the reason for this correction.

<sup>1</sup> Corrected by the Secretariat following the 11th, 14th and 15th meetings of the Conference of the Parties: originally referred to Resolution Conf. 5.16 (Rev.), later corrected to Resolution Conf. 11.16, then to Resolution Conf. 11.16 (Rev. CoP14).

Suggested amendments	Rationale
<p><b>Annex: Guidelines for evaluating marine turtle ranching proposals submitted pursuant to Resolution Conf. 11.16 (Rev. CoP15)<sup>1</sup></b></p>	
<p><b>1. Resource management</b></p> <p>A. <u>Biological information</u></p> <p>The proposal should provide information on the biology, management and geographic extent of each population that will be affected throughout its range. Geographic extent should be described using sound scientific techniques. Range is defined as all the range States and waters in which the population occurs.</p> <p>The following characteristics of the population of marine turtles that is the subject of the ranching proposal should be detailed:</p>	
<p>a) <u>Population distribution</u>. Describe the current (and, if possible, the historical) nesting grounds, feeding areas and migratory range of the population. Nesting areas from which eggs and/or hatchlings are to be taken should be described in detail.</p>	
<p>b) <u>Population status and trend</u>. Describe the population and its trend using indices of abundance for the different life stages with particular attention to the age/size structure of the population.</p>	
<p>c) <u>Reproduction</u>. Provide an estimate or calculation of the annual reproductive rate or size of the annual production (e.g. numbers of eggs and/or hatchlings).</p>	
<p>d) <u>Population mortality</u>. Provide an estimate of hatching success and estimates of human-induced mortalities of the population.</p>	
<p>B. <u>National management</u></p> <p>A prerequisite for approval of a ranching proposal will be the effective implementation of a national management plan for marine turtles. The plan should include:</p>	
<p>a) <u>Monitoring</u>. A description of the annual programme to monitor population trends and mortality rates.</p>	
<p>b) <u>Habitat protection</u>. All important nesting beaches, feeding grounds and other</p>	

<sup>1</sup> Corrected by the Secretariat following the 11th, 14th and 15th meetings of the Conference of the Parties: originally referred to Resolution Conf. 10.18, later corrected to Resolution Conf. 11.16, then to Resolution Conf. 11.16 (Rev. CoP14).

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<p>significant habitats should be protected from disruption including development, urbanization and pollution.</p>	
<p>c) <u>Harvest regulation</u>. Harvesting for ranches should normally be restricted to eggs and/or hatchlings. The annual numbers (and percentage) of eggs and/or hatchlings proposed for removal to the ranch must be specified. The proposed harvest rate should also be presented as a proportion of the natural production of the population being harvested for ranches.</p>	
<p>d) <u>Protection of the population</u>. Human-induced mortality of marine turtles, such as uncontrolled harvests, incidental catch in fisheries and pollution of habitat should be identified and mechanisms be in place to control such mortalities.</p>	<p><b>Sec.:</b> Hyphen missing in the compound adjective.</p> <p><b>UK &amp; US:</b> agree with the Sec.</p>
<p>e) <u>Rules for stopping harvests</u>. Predetermined threshold values of population trends and changes in status, mortality or habitat should be proposed, the passing of which would automatically trigger the suspension of harvests, and the initiation of additional conservation measures.</p>	
<p>C. <u>Regional management</u></p> <p>Because of the migratory behaviour of marine turtles, that segment of the population occurring within the jurisdiction of any one State can not be considered in isolation. Any management of the population should involve the range States sharing the majority of the population.</p> <p>A Party submitting a ranching proposal shall take the lead in the development and effective implementation of a regional management protocol designed to enhance the conservation of the population.</p>	
<p>a) Activities undertaken by the proponent to develop cooperative regional management among the range States sharing the majority of the population should be described. Regional management should entail cooperative mechanisms for:</p>	
<p>i) assessment of the conservation status of the population throughout its range and identification of key recruitment areas (e.g. breeding and nesting sites);</p>	
<p>ii) regular monitoring of population trends, <u>involving with</u> an assessment of sources of annual mortality, <u>including an assessment of</u></p>	<p>a) The word "involving" is not clear.</p> <p>b) The word "including" indicates that the impact of</p>



Suggested amendments	Rationale
the impact of the ranching operation;	the ranching operation is considered as one of the "sources of annual mortality", therefore there is no need to repeat "an assessment of".
iii) effective protection of important nesting beaches and other essential habitats (e.g. feeding areas);	
iv) regulating, where necessary, harvests and domestic sale of marine turtle specimens; and	Change in punctuation to improve clarity
v) effective controls, sufficient to prevent the stimulation of illegal trade in products from wild populations.	
b) The regional management protocol designed to enhance conservation of the marine turtles in the wild should also document existing conservation legislation and trade controls by range States and provide a forum through which more effective or complementary trade controls, enforcement activities and other conservation measures may be developed.	
<b>2. Trade controls</b>	
Proponents must take every reasonable measure to ensure that the trade in products from approved ranches does not stimulate an increase in trade from other sources in a manner detrimental to the survival of the population, other populations or other species of marine turtle, or serve as a cause for such trade. Therefore, <del>before international trade is authorized</del> , the proponent Party should ensure that both it and any country to which the products of the ranching operation are destined have adequate legal frameworks and administrative measures for monitoring and reporting, and adequate local and national enforcement capabilities <del>before international trade is authorized</del> . In particular, each proponent Party must:	Phrase moved up and change in punctuation to improve clarity.
a) Agree that exports of marine turtle products derived from the population covered by its proposal will be restricted to those from the ranching operation, in specified amounts (i.e. a quota may be set) that can be met by proposed ranch production. Importing States shall undertake to provide documentation of their domestic laws to regulate the import, re-export, possession, sale, purchase and transport of marine turtles and their parts and derivatives, and the measures taken to control existing stockpiles of such specimens.	
b) Document its domestic laws and enforcement mechanisms (including those in any territories and overseas political units) that regulate the	Addition of "and" to introduce the last item in a list (given that "parts and derivatives" are considered as

Suggested amendments	Rationale
taking of marine turtles from the wild and the possession, sale, purchase, transport, import and export of marine turtles, <u>and</u> their parts and derivatives.	one semantic unit), as per standard editorial practice.
c) Undertake registration of any existing stockpiles of marine turtle parts and derivatives held within its territorial jurisdiction, and instigate marking and control systems to ensure that such items are readily distinguishable from similar items deriving from approved ranches.	Change in punctuation to improve clarity
d) Describe marking and tracking procedures for all parts and derivatives from approved ranches that will allow the unambiguous identification of ranch products, including methods for marking products and packages, packaging types, transport methods, shipping routes, product documentation, secure storage of products, inventory control up to the point of export and specification of the maximum quantities of products (quotas) to be exported annually.	
<b>3. The ranching operation</b>	
To satisfy recommendation <u>ed</u> ) ii) <sup>4</sup> under the first RECOMMENDS of Resolution Conf. 11.16 (Rev. CoP15) <sup>1</sup> , the proponent should provide information on:  <sup>4</sup> <i>Corrected by the Secretariat following the 11th meeting of the Conference of the Parties: originally referred to "paragraph e) ii)"</i>	After CoP11, the Secretariat updated all cross-references to Resolutions in the set of valid Resolutions and changed "Resolution Conf. 10.18" to "Resolution Conf. 11.16" [now (Rev. CoP14)]. However, it overlooked that recommendation "e) ii)" in Resolution Conf. 10.18 had become recommendation "d) ii)" in Resolution Conf. 11.16. It therefore proposes to add a footnote (see footnote No. 4 opposite) to explain the reason for this correction.
a) <u>Financial operation</u> . Identity of the owners and a business and financial plan taking account of market demand and production goals and objectives.	
b) <u>Physical plant</u> . In accordance with technical and professional standards, descriptions of:	
i) site, including geographical location, lay-out, size and technical specifications;	Addition of a hyphen (in accordance with the spelling recommended by the Oxford English Dictionary).
ii) facilities for maintaining stock, food storage, quarantine, slaughter and processing, refrigeration and freezing;	
iii) sea-water source, including circulation, filtration, waste disposal and quality control systems; and	Addition of a hyphen (in accordance with the spelling recommended by the Oxford English Dictionary).

<sup>1</sup> Corrected by the Secretariat following the 11th, 14th and 15th meetings of the Conference of the Parties: originally referred to Resolution Conf. 10.18, later corrected to Resolution Conf. 11.16, then to Resolution Conf. 11.16 (Rev. CoP14).

Suggested amendments	Rationale
iv) staff, including numbers and qualifications of technical and management personnel and numbers of support staff.	
c) <u>Operating procedures</u> , taking account of:	
i) stock collection, including location of source sites, methods used in collection and removal of specimens, age- and size-classes of specimens (e.g. eggs, hatchlings), collecting seasons, number of specimens to be collected each year and the proportion of natural annual production that the harvest represents, methods of handling and transport to the ranching operation, and injury levels and mortality during collection and transport;	
ii) stocking rates, including the number or weight of turtles per 1,000 litres of sea-water and square metres of surface area;	Addition of a hyphen (in accordance with the spelling recommended by the Oxford English Dictionary).
iii) production schedules, including production profiles by age- and size-class, growth rates, methods used to identify ranch stocks, culling procedures exclusive of harvesting, reports of non-harvest mortality, methods of disposal of carcasses from non-harvest mortality and number of specimens by age- and size-class that will be harvested each year;	
iv) feeding, including sources of feed, general nutritional composition, evaluation of additives and contaminants, and feeding regimen (amount, frequency and method of distribution);	
v) health care, including monitoring methods, veterinary care and treatment procedures; and	
vi) slaughter procedures, including specimen selection, methods used to collect and transport specimens to the processing site, humane slaughter technique, processing techniques, <u>and</u> waste disposal.	Replacement of the comma preceding the last item in a list by "and", in line UN editorial practice.
d) <u>Record keeping</u> , indicating procedures followed in inspecting and monitoring records maintained by the ranching operation.	
e) <u>Benefits</u> , indicating how local people would benefit from the operation.	
4. <b><i>Summary statement describing benefit to the population</i></b>  Proponents should summarize the legal and	Insertion of a comma for clarification purposes.

Suggested amendments	Rationale
<p>enforcement mechanisms that will prevent detrimental impact of the renewal of legal trade and summarize the benefits resulting or expected to result from the management actions implemented for the population to be harvested for ranches, including regional management protocols.</p>	
<p>5. Reporting</p> <p>Proponents that achieve a transfer of their national population of marine turtles from Appendix I to Appendix II subject to this Resolution should include in their annual reports updated information on:</p>	
<ul style="list-style-type: none"> <li>a) population status and trends;</li> <li>b) any change in the area of beaches that provide suitable nesting habitat;</li> <li>c) any change in enforcement effort; and</li> <li>d) amendments to cooperative agreements to preserve and manage the marine turtle resource.</li> </ul> <p>Reports should also detail the nature of and progress in developing and implementing effective regional management protocols.</p>	<p>Splitting and numbering of the various pieces of information to be provided, in order to improve clarity.</p>

**Proposed revision of Resolution Conf. 9.21 (Rev. CoP13)\***

Suggested amendments	Rationale
<del>The</del> <b>interpretation and application of quotas for species included in Appendix I</b>	Deletion of the article in the title of the Resolution to align it with all other Resolution titles.
RECALLING Resolution Conf. 6.7, adopted at the sixth meeting of the Conference of the Parties (Ottawa, 1987), calling on Parties to consult with range States prior to taking stricter domestic measures pursuant to Article XIV which may interfere with trade in wild animals and plants, and Resolution Conf. 8.21, adopted at the eighth meeting of the Conference of the Parties (Kyoto, 1992), requiring consultation between proposing States and range States;	
RECALLING Resolution Conf. 8.3 (Rev. CoP13), adopted at the eighth meeting of the Conference of the Parties and <del>revised-amended</del> at the 13th meeting (Bangkok, 2004), recognizing the benefits of the use of wildlife;	"amended" is the word used in all other preambles, including two paragraphs further down in this preamble.
RECALLING in particular the Preamble to the Convention which states that peoples and States are and should be the best protectors of their own wild fauna and flora;	
RECALLING Resolution Conf. 4.6 (Rev. CoP15) <sup>1</sup> , adopted at the fourth meeting of the Conference of the Parties (Gaborone, 1983) and amended at the 10th, 12th, 13th and 15th meetings (Harare, 1997; Santiago, 2002; Bangkok, 2004; Doha, 2010), which recommends that the text of any document submitted for consideration at a meeting of the Conference of the Parties be communicated to the Secretariat at least 150 days before the meeting;	
RECOGNIZING the supreme importance of cooperative and mutual action as called for at the United Nations Conference on Environment and Development in 1992 at Rio de Janeiro and as embodied in the Convention on Biological Diversity;	
AWARE that the Parties have set quotas for the export of specimens of the leopard ( <i>Panthera pardus</i> ), various crocodylians, and the cheetah ( <i>Acinonyx jubatus</i> );	
AWARE that it is the understanding and practice of the majority of Parties that the establishment of quotas by the Parties satisfies the required findings that the export of a specimen will not be detrimental to the survival of the species and that the import of that specimen will not be for purposes detrimental to the	

\* Amended at the 13th meeting of the Conference of the Parties and corrected by the Secretariat following the 15th meeting.

<sup>1</sup> Corrected by the Secretariat following the 15th meeting of the Conference of the Parties: originally referred to Resolution Conf. 4.6 (Rev. CoP13).

Suggested amendments	Rationale
survival of the species, provided that the export is within the limits set in the quota;	
AWARE however that the failure of some Parties to adhere to this majority understanding has had negative consequences on the conservation of species by range States;	
THE CONFERENCE OF THE PARTIES TO THE CONVENTION	
AGREES that:	
a) a Party wishing the Conference of the Parties to establish a quota for a species included in Appendix I, or to amend an existing quota, should submit <del>to the Secretariat</del> its proposal <u>to the Secretariat</u> , with supporting information including details of the scientific basis for the proposed quota, at least 150 days before a meeting of the Conference of the Parties; and	"To the Secretariat" has been moved to avoid splitting verb and direct object.
b) whenever the Conference of the Parties has set an export quota for a particular species included in Appendix I, this action by the Parties satisfies the requirements of Article III regarding the findings by the appropriate Scientific Authorities that the export will not be detrimental to the survival of the species and that the purposes of the import will not be detrimental to the survival of the species, provided that:	
i) the quota is not exceeded; and	
ii) no new scientific or management data have emerged to indicate that the <u>population of the species</u> <del>population</del> in the range State concerned can no longer sustain the agreed quota.	Moving "population" before "species" to align it with other occurrences of the same expression in the Resolution.

**Proposed revision of Resolution Conf. 9.24 (Rev. CoP15)\***

Suggested amendments	Rationale
<b>Criteria for amendment of Appendices I and II</b>	
General correction: insertion of a space between a number and "%"	This correction is in line with current editorial practice: "%" is considered as a unit, and as such is written in the same way as, for instance, "kg" (i.e. "5 kg" rather than "5kg"), that is "5 %".
<p>RECALLING that Resolution Conf. 9.24, adopted by the Conference of the Parties at its ninth meeting (Fort Lauderdale, 1994),<sup>1</sup> recommended that the text and the <del>a</del>Annexes of <del>this</del>at Resolution be fully reviewed before the 12th meeting of the Conference of the Parties with regard to the scientific validity of the criteria, definitions, notes and guidelines, and <del>to</del>their applicability to different groups of organisms;</p>	<p>a) Addition of a second comma to finish isolating the subordinate clause and improve clarity.</p> <p>b) Capitalization of "Annexes" in line with current editorial practice: they are not any annexes but those of this Resolution.</p> <p>c) The demonstrative adjective "this" comes from the text of Resolution Conf. 9.24, where it was correctly used. It has been changed to "that" here to clarify that the reference is to the original Resolution Conf. 9.24, and not to the present revision.</p> <p>d) Repetition of the preposition "to" to clarify that "their applicability" points back to "with regard to ..." and not to "validity of".</p>
<p>RECALLING that, <del>at its 12th meeting (Santiago, 2002),</del> the Conference of the Parties <del>at its 12th meeting (Santiago, 2002),</del> approved procedures for this review, laid down in Decision 12.97<sup>1</sup>;</p>	Relocation of the prepositional phrase to avoid splitting subject and verb.
<p>CONSIDERING the fundamental principles in paragraphs 1 and 2 of Article II of the Convention, which specify the species to be included in Appendices I and II;</p>	
<p>RECOGNIZING that, <del>to</del> qualify for inclusion in Appendix I, <del>a</del> a species must meet biological and trade criteria;</p>	Change in punctuation to improve clarity.
<p>RECALLING that Article II, paragraph 2 (a), provides for the inclusion of species <del>which</del>that may become threatened with extinction in Appendix II, in order to avoid utilization incompatible with their survival;</p>	Replacement of "which" with "that" to underline the fact that the pronoun introduces a defining clause.
<p>RECOGNIZING that, <del>to</del> for the proper implementation of this provision, <del>it</del> is necessary to adopt appropriate criteria, considering both biological and trade factors;</p>	Change in punctuation to improve clarity.
<p>RECALLING that <del>paragraph 2 (b) of</del> Article II, <del>paragraph 2 (b),</del> provides only for the inclusion in Appendix II of species <del>which</del>that must be subject to regulation in order that trade in specimens of certain species included in Appendix II in accordance with</p>	<p>a) Reordering of the sentence in line with the usual practice to refer to Articles in the text of the Convention (and also as done further down in the same paragraph).</p>

\* Amended at the 12th, 13th, 14th and 15th meetings of the Conference of the Parties.

<sup>1</sup> Deleted at the 13th meeting of the Conference of the Parties.

Suggested amendments	Rationale
Article II, paragraph 2 (a), may be brought under effective control;	a) Replacement of "which" with "that" to underline the fact that the pronoun introduces a defining clause.
CONSIDERING, however, that this provision should also apply where there is a need to bring <del>under effective control</del> trade in specimens of species included in Appendix I <u>under effective control</u> ;	Reordering of the sentence to avoid splitting verb and direct object.
RECOGNIZING that the range States of a species subject to an amendment proposal should be consulted by the proponent, or on its behalf by the Secretariat, in accordance with the relevant Resolutions of the Conference of the Parties, and that all Parties shall be consulted by the Secretariat in accordance with Article XV, paragraph 1 (a), of the Convention;	
RECOGNIZING further that <del>the Secretariat</del> , in accordance with the same Article, <u>the Secretariat</u> shall consult intergovernmental bodies having a function in relation to marine species;	Reordering of the sentence to avoid splitting subject and verb.
CONSIDERING that the Secretariat should also consult other intergovernmental bodies having a function in relation to any species subject to a proposal for amendment;	
RECALLING that the international trade in all wild fauna and flora is under the purview of the Convention;	
EMPHASIZING the importance of Resolution Conf. 3.4, adopted by the Conference of the Parties at its third meeting (New Delhi, 1981), regarding the need to provide <u>technical assistance</u> to developing countries <del>technical assistance</del> in matters relating to the Convention, and specifically in the application of the criteria for amendment of Appendices I and II;	Move of "technical assistance" to follow a verb + direct object pattern.
NOTING the objective to ensure that decisions to amend the Convention's Appendices are founded on sound and relevant scientific information, take into account socio-economic factors, and meet agreed biological and trade criteria for such amendments;	
RECOGNIZING the importance of the application of Rio Principle 15, the Precautionary Approach, in cases of uncertainty;	
THE CONFERENCE OF THE PARTIES TO THE CONVENTION	
ADOPTS the following Annexes as an integral part of this Resolution:	
Annex 1: Biological criteria for Appendix I;	
Annex 2 a: Criteria for the inclusion of species in	



Suggested amendments	Rationale
<p>Appendix II in accordance with Article II, paragraph 2 (a), of the Convention;</p> <p>Annex 2 b: Criteria for the inclusion of species in Appendix II in accordance with Article II, paragraph 2 (b), of the Convention;</p> <p>Annex 3: Special cases;</p> <p>Annex 4: Precautionary measures;</p> <p>Annex 5: Definitions, explanations and guidelines; and</p> <p>Annex 6: Format for proposals to amend the Appendices;</p>	
<p>RESOLVES that, <u>by virtue of the precautionary approach and in case of uncertainty regarding the status of a species or the impact of trade on the conservation of a species, when considering proposals to amend Appendix I or II,</u> the Parties shall, <del>by virtue of the precautionary approach and in case of uncertainty, either as regards the status of a species or the impact of trade on the conservation of a species,</del> act in the best interest of the conservation of the species concerned and, <u>when considering proposals to amend Appendix I or II,</u> adopt measures that are proportionate to the anticipated risks to the species;</p>	<p>Reordering of the sentence to improve its clarity.</p>
<p>RESOLVES that, when considering proposals to amend Appendices I and II, the following applies:</p>	
<p>a) species that are or may be affected by trade should be included in Appendix I in accordance with Article II, paragraph 1, if they meet at least one of the biological criteria listed in Annex 1;</p>	
<p>b) species should be included in Appendix II under the provisions of Article II, paragraph 2 (a), if they satisfy the criteria listed in Annex 2 a;</p>	
<p>c) species should be included in Appendix II under the provisions of Article II, paragraph 2 (b), if they satisfy the criteria listed in Annex 2 b;</p>	
<p>d) no single species may be included in more than one Appendix at the same time;</p>	
<p>e) however subspecies, populations or other subcategories of a species may be included in different Appendices at the same time in accordance with the relevant criteria in Annex 3;</p>	
<p>f) higher taxa should be included in the Appendices only if they satisfy the relevant criteria in Annex 3;</p>	

Suggested amendments	Rationale
g) hybrids may be specifically included in the Appendices but only if they form distinct and stable populations in the wild;	
h) species of which all specimens in trade have been bred in captivity or artificially propagated should not be included in the Appendices if there is a negligible probability of trade taking place in specimens of wild origin;	
i) species included in Appendix I for which sufficient data are available to demonstrate that they do not meet the criteria listed in Annex 1 should be transferred to Appendix II only in accordance with the relevant precautionary measures listed in Annex 4;	
j) species included in Appendix II in accordance with Article II, paragraph 2 (a), that do not meet the criteria listed in Annex 2 a, should be deleted only in accordance with the relevant precautionary measures listed in Annex 4; and species included in accordance with Article II, paragraph 2 (b), because they look like the species subject to the deletion, or for a related reason, should also be deleted only in accordance with the relevant precautionary measures; and	
k) the views, if any, of intergovernmental bodies with competence for the management of the species concerned should be taken into account;	
RESOLVES that proposals to amend Appendices I and II should be based on the best information available and, when appropriate, presented in the format in Annex 6;	
URGES Parties that are considering the submission of a proposal to amend the Appendices, in cases where there is any doubt regarding the nomenclature to follow, to consult the nomenclature specialist of the Animals Committee or the Plants Committee as early as possible in advance of submitting the proposal;	
ENCOURAGES proponents that submit proposals to transfer species to Appendix I, or to establish zero export quotas for species under review in accordance with the provisions of the Review of Significant Trade, to take account of the applicable findings of that review;	
RESOLVES that annotations to proposals to amend Appendix I or Appendix II should be made in accordance with the applicable Resolutions of the Conference of the Parties, be specific and accurate as to affected parts and derivatives, and should, to the extent possible, be harmonized with existing	Change in punctuation to improve clarity.

Suggested amendments	Rationale
annotations;	
ENCOURAGES Parties, when sufficient relevant biological data are available, to include a quantitative evaluation in the supporting statement of the amendment proposal;	
RESOLVES that, to monitor the effectiveness of protection offered by the Convention, the status of species included in Appendices I and II should be regularly reviewed by the range States and proponents, in collaboration with the Animals Committee or the Plants Committee, subject to the availability of funds;	
URGES Parties and cooperating organizations to provide financial and technical assistance, when requested, in the preparation of proposals to amend the Appendices, the development of management programmes, and the review of the effectiveness of the inclusion of species in the Appendices. Parties should be open to using other available international mechanisms and instruments for these purposes in the broader context of biodiversity; and	
REPEALS part of Resolution Conf. 1.3 (Bern, 1976) – <i>Deletion of species from Appendix II or III in certain circumstances</i> – paragraph a).	
<b>Annex 1: Biological criteria for Appendix I</b>	
The following criteria must be read in conjunction with the definitions, explanations and guidelines listed in Annex 5, including the footnote with respect to application of the definition of 'decline' for commercially exploited aquatic species.	
A species is considered to be threatened with extinction if it meets, or is likely to meet, <b>at least one</b> of the following criteria.	

Suggested amendments	Rationale
<p>A. The wild population is small, and is characterized by <b>at least one</b> of the following:</p> <ul style="list-style-type: none"> <li>i) an observed, inferred or projected decline in the number of individuals or the area and quality of habitat; <del>or</del></li> <li>ii) each subpopulation being very small; <del>or</del></li> <li>iii) a majority of individuals being concentrated geographically during one or more life-history phases; <del>or</del></li> <li>iv) large short-term fluctuations in population size; or</li> <li>v) a high vulnerability to either intrinsic or extrinsic factors.</li> </ul>	<p>Deletion of superfluous "or". The repetition of the word "or" in such lists is unique to this Resolution. The last "or" at the end of the list suffices and, in any case, the words "at least one of the following" at the beginning of the section leave no room for ambiguity. This repetition is also inconsistent with UN editorial practice, other Resolutions, and even other similar lists in the present Resolution.</p>
<p>B. The wild population has a restricted area of distribution and is characterized by <b>at least one</b> of the following:</p> <ul style="list-style-type: none"> <li>i) fragmentation or occurrence at very few locations; <del>or</del></li> <li>ii) large fluctuations in the area of distribution or the number of subpopulations; <del>or</del></li> <li>iii) a high vulnerability to either intrinsic or extrinsic factors; or</li> <li>iv) an observed, inferred or projected decrease in any one of the following: <ul style="list-style-type: none"> <li>– the area of distribution; <del>or</del></li> <li>– the area of habitat; <del>or</del></li> <li>– the number of subpopulations; <del>or</del></li> <li>– the number of individuals; <del>or</del></li> <li>– the quality of habitat; or</li> <li>– the recruitment.</li> </ul> </li> </ul>	<p>Deletion of superfluous "or". The repetition of the word "or" in such lists is unique to this Resolution. The last "or" at the end of the list suffices and, in any case, the words "at least one of the following" at the beginning of the section leave no room for ambiguity.</p>

Suggested amendments	Rationale
<p>C. A marked decline in the population size in the wild, which has been <b>either</b>:</p> <p>i) observed as ongoing or as having occurred in the past (but with a potential to resume); <b>or</b></p> <p>ii) inferred or projected on the basis of any one of the following:</p> <ul style="list-style-type: none"> <li>– a decrease in area of habitat; <del>or</del></li> <li>– a decrease in quality of habitat; <del>or</del></li> <li>– levels or patterns of exploitation; <del>or</del></li> <li>– a high vulnerability to either intrinsic or extrinsic factors; or</li> <li>– a decreasing recruitment.</li> </ul>	<p>a) Change of the final "or" in subparagraph i) to bold typeface to align it with the typeface of "either" in the paragraph above.</p> <p>b) Deletion of superfluous "or". The repetition of the word "or" in such lists is unique to this Resolution. The last "or" at the end of the list suffices and, in any case, the word "either" at the beginning of the section leaves no room for ambiguity.</p>
<p><b>Annex 2 a: Criteria for the inclusion of species in Appendix II in accordance with Article II, paragraph 2 (a), of the Convention</b></p>	
<p>The following criteria must be read in conjunction with the definitions, explanations and guidelines listed in Annex 5, including the footnote with respect to application of the definition of 'decline' for commercially exploited aquatic species.</p>	
<p>A species should be included in Appendix II when, on the basis of available trade data and information on the status and trends of the wild population(s), <b>at least one</b> of the following criteria is met:</p>	
<p>A. It is known, or can be inferred or projected, that the regulation of trade in the species is necessary to avoid it becoming eligible for inclusion in Appendix I in the near future; or</p>	
<p>B. It is known, or can be inferred or projected, that regulation of trade in the species is required to ensure that the harvest of specimens from the wild is not reducing the wild population to a level at which its survival might be threatened by continued harvesting or other influences.</p>	
<p><b>Annex 2 b: Criteria for the inclusion of species in Appendix II in accordance with Article II, paragraph 2 (b), of the Convention</b></p>	
<p>Species may be included in Appendix II in accordance with Article II, paragraph 2 (b), if <b>either one</b> of the following criteria is met:</p>	
<p>A. The specimens of the species in the form in which they are traded resemble specimens of a species included in Appendix II under the provisions of Article II, paragraph 2 (a), or in Appendix I, <del>such so</del> that enforcement officers who encounter specimens of CITES-listed species, are unlikely to be able to distinguish</p>	<p>a) Replacement of "such that" with "so that" as the use of the former with the meaning of "with the consequence that" is not universally accepted as standard English.</p> <p>b) Deletion of an unnecessary comma between the</p>

Suggested amendments	Rationale
between them; or	subject and the verb.
B. There are compelling reasons other than those given in criterion A above to ensure that effective control of trade in currently listed species is achieved.	
<b>Annex 3: Special cases</b>	
<p><b><i>Split-listing</i></b></p> <p>Listing of a species in more than one Appendix should be avoided in general in view of the enforcement problems it creates.</p>	
<p>When split-listing does occur, this should generally be on the basis of national or regional populations, rather than subspecies. Split-listings that place some populations of a species in the Appendices, and the rest outside the Appendices, should normally not be permitted.</p>	
<p>For species outside the jurisdiction of any State, listing in the Appendices should use the terms used in other relevant international agreements, if any, to define the population. If no such international agreement exists, then the Appendices should define the population by region or by geographic coordinates.</p>	
<p>Taxonomic names below the species level should not be used in the Appendices unless the taxon in question is highly distinctive and the use of the name would not give rise to enforcement problems.</p>	
<p><b><i>Higher taxa</i></b></p> <p>If all species of a higher taxon are included in Appendix I or II, they should be included under the name of the higher taxon. If some species in a higher taxon are included in Appendix I or II and all the rest in the other Appendix, the latter species should be included under the name of the higher taxon, with an appropriate annotation made in accordance with the provisions of the relevant Resolutions on the use of annotations in the Appendices.</p>	
<p>Parties contemplating preparing a proposal to transfer an individual plant species from a higher-taxon listing in Appendix II to a separate listing in Appendix I should consider:</p>	
<p>i) the ease with which it can be propagated artificially;</p>	
<p>ii) the extent to which it is currently available in cultivation from artificially propagated specimens; and</p>	

Suggested amendments	Rationale
iii) any practical problems in identifying the species, particularly in the form in which it may be traded.	
<b>Annex 4: Precautionary measures</b>	
<p><del>When considering proposals to amend Appendix I or II, the Parties shall, bB</del> By virtue of the precautionary approach and in case of uncertainty, <del>either as</del> regard<del>ing</del> the status of a species or the impact of trade on the conservation of a species, <del>the Parties shall</del> act in the best interest of the conservation of the species concerned and, <del>when considering proposals to amend Appendix I or II,</del> adopt measures that are proportionate to the anticipated risks to the species.</p>	Reordering of the sentence to improve its clarity. This text, and therefore the amendments proposed by the working group, are the same as those on page 25.
A. 1. No species listed in Appendix I shall be removed from the Appendices unless it has been first transferred to Appendix II, with monitoring of any impact of trade on the species for at least two intervals between meetings of the Conference of the Parties.	
<p>2. Species included in Appendix I should only be transferred to Appendix II if they do not satisfy the relevant criteria in Annex 1 and only when one of the following precautionary safeguards is met:</p> <p>a) the species is not in demand for international trade, nor is its transfer to Appendix II likely to stimulate trade in, or cause enforcement problems for, any other species included in Appendix I; <del>or</del></p> <p>b) the species is likely to be in demand for trade, but its management is such that the Conference of the Parties is satisfied with:</p> <p>i) implementation by the range States of the requirements of the Convention, in particular Article IV; and</p> <p>ii) appropriate enforcement controls and compliance with the requirements of the Convention; <del>or</del></p>	Deletion of superfluous "or". The repetition of the word "or" in such lists is unique to this Resolution. The last "or" at the end of the list suffices and, in any case, the words "one of the following" across leave no room for ambiguity.
<p>c) an integral part of the amendment proposal is an export quota or other special measure approved by the Conference of the Parties, based on management measures described in the supporting statement of the amendment proposal, provided that effective enforcement controls are in place; or</p> <p>d) a ranching proposal is submitted consistent with the applicable Resolutions of the Conference of the Parties and is approved.</p>	
3. No proposal for transfer of a species from Appendix I to Appendix II shall be considered	

Suggested amendments	Rationale
<p>from a Party that has entered a reservation for the species in question, unless that Party agrees to remove the reservation within 90 days of the adoption of the amendment.</p>	
<p>4. No species should be deleted from Appendix II if such deletion would be likely to result in it qualifying for inclusion in the Appendices in the near future.</p>	
<p>5. No species should be deleted from Appendix II if, within the last two intervals between meetings of the Conference of the Parties, it has been subject to a recommendation under the provisions of the Review of Significant Trade to improve its conservation status.</p>	
<p>B. The following review procedures shall apply when a species is transferred to Appendix II pursuant to paragraph A. 2. c) above.</p>	
<p>1. Where the Plants Committee, the Animals Committee or a Party becomes aware of problems in compliance with the management measures and export quotas of another Party, the Secretariat shall be informed and, if the Secretariat fails to resolve the matter satisfactorily, it shall inform the Standing Committee, which may, after consultation with the Party concerned, recommend to all Parties that they suspend trade with that Party in specimens of CITES-listed species, and/or request the Depositary Government to prepare a proposal to transfer the population back to Appendix I.</p>	<p>Insertion of a comma before the relative clause introduced by "which" to improve clarity.</p>
<p>2. If, on review of a quota and its supporting management measures, the Animals or Plants Committee encounters any problems with compliance or potential detriment to a species, the relevant Committee shall request the Depositary Government to prepare a proposal for appropriate remedial action.</p>	
<p>C. With regard to quotas established pursuant to paragraph A. 2. c) above.</p>	
<p>1. If a Party wishes to renew, amend or delete such a quota, it shall submit an appropriate proposal for consideration at the <u>next following</u> meeting of the Conference of the Parties.</p>	<p>Strictly speaking, "at the next meeting" would refer to the meeting held after the adoption of the present Resolution only, i.e. CoP16. "Following" clarifies that the proposal may be made at the meeting that follows the one where the quota is established, whichever that may be.</p>
<p>2. When a quota has been established for a limited period of time, after that period the quota will become zero until a new quota has been established.</p>	



Suggested amendments	Rationale
<p>D. Species that are regarded as possibly extinct should not be deleted from Appendix I if they may be affected by trade in the event of their rediscovery; these species should be annotated in the Appendices as 'possibly extinct'.</p>	
<p><b>Annex 5: Definitions, explanations and guidelines</b></p>	
<p><b>NOTE: Where numerical guidelines are cited in this Annex, they are presented only as examples, since it is impossible to give numerical values that are applicable to all taxa because of differences in their biology.</b></p>	
<p><b>Species</b></p> <p>In Article I of the Convention, the term 'species' is defined as "any species, subspecies or geographically separate population thereof".</p> <p>'Species' and 'subspecies' refer to the biological concept of a species, and do not require any further definition.</p> <p>The two terms also cover varieties.</p>	
<p>'Geographically separate population' refers to parts of a species or a subspecies within particular geographical boundaries. This can also refer to populations or subpopulations, or, for the sake of convenience in certain cases, to 'stocks' as the term is understood in fisheries management.</p>	
<p>Until now, the Conference of the Parties has interpreted 'geographically separate populations' as populations delimited by geopolitical boundaries, whereas they have rarely used the other option of geographical boundaries.</p>	
<p><b>Affected by trade</b></p> <p>A species "is or may be affected by trade" if:</p> <p>i) it is known to be in trade (using the definition of 'trade' in Article I of the Convention), and that trade has or may have a detrimental impact on the status of the species; or</p>	
<p>ii) it is suspected to be in trade, or there is demonstrable potential international demand for the species, that may be detrimental to its survival in the wild.</p>	
<p><b>Area of distribution</b></p> <p>The 'area of distribution' of a species is defined as the area contained within the shortest continuous imaginary boundary which can be drawn to</p>	

Suggested amendments	Rationale
<p>encompass all the known, inferred or projected sites of occurrence, excluding cases of vagrancy and introductions outside its natural range (though inferring and projecting area of occurrence should be undertaken carefully, and in a precautionary manner). The area within the imaginary boundary should, however, exclude significant areas where the species does not occur, and so, in defining an area of distribution, account should be taken of discontinuities or disjunctions in the spatial distribution of species. This encompasses the concept of area of occupancy. For migratory species, the area of distribution is the smallest area essential at any stage for the survival of that species (e.g. colonial nesting sites, feeding sites for migratory taxa, etc.). The determination that a species has a restricted area of distribution is taxon-specific and should take into account considerations such as habitat specificity, population density and endemism.</p>	
<p><b>Decline</b></p> <p>A 'decline' is a reduction in the abundance, or area of distribution, or area of habitat of a species. The assessment of decline by reference to area of habitat may be more appropriate where there are intrinsic difficulties in measuring the number of individuals.</p>	
<p>Decline can be expressed in two different ways: (i) the overall long-term extent of decline; or (ii) the recent rate of decline. The long-term extent of decline is the total estimated or inferred percentage reduction from a baseline level of abundance or area of distribution. The recent rate of decline is the percentage change in abundance or area of distribution over a recent time period. The data used to estimate or infer a baseline for extent of decline should extend as far back into the past as possible.</p>	
<p><b>The judgement that a decline is marked is taxon-specific and can be justified by a number of considerations, for example, the population dynamics of a related taxonomic group. A general guideline for a marked historical extent of decline is a percentage decline to 5%-30% of the baseline, depending on the biology and productivity of the species.</b></p>	<p>Change in punctuation to improve clarity.</p>
<p>Productivity is the maximum percentage growth rate of a population. It is a complex function of reproductive biology, fecundity, individual growth rates, natural mortality, age at maturity and longevity. More-productive species tend to have high fecundity, rapid individual growth rates and high turnover of generations.</p>	
<p>The extremes of 5% and 30% will be applicable to only a relatively small number of species, but some species may even fall outside of these extremes. However, both these figures are presented only as</p>	

Suggested amendments	Rationale
<p>examples, since it is impossible to give numerical values that are applicable to all taxa because of differences in their biology (<sup>1</sup>see footnote with respect to application of decline to commercially exploited aquatic species).</p>	
<p><b>Footnote<sup>1</sup> Application of decline for commercially exploited aquatic species</b></p> <p><i>In marine and large freshwater bodies, a narrower range of 5-20% is deemed to be more appropriate in most cases, with a range of 5-10% being applicable for species with high productivity, 10-15% for species with medium productivity and 15-20% for species with low productivity. Nevertheless some species may fall outside this range. Low productivity is correlated with low mortality rate and high productivity with high mortality. One possible guideline for indexing productivity is the natural mortality rate, with the range 0.2-0.5 per year indicating medium productivity.</i></p>	
<p><i>In general, <del>the</del> historical extent of decline should be the primary criterion for consideration of listing in Appendix I. However, in circumstances where information to estimate <del>the extent of</del> decline is limited, <del>the rate of</del> decline over a recent period could itself still provide some information on <del>the extent of</del> decline.</i></p>	<p>Insertion of some definite articles that were missing. It should be noted that they are used in the same expressions elsewhere in the Resolution.</p>
<p><i>For listing in Appendix II, the historical extent of decline and the recent rate of decline should be considered in conjunction with one another. The higher the historical extent of decline, and the lower the productivity of the species, the more important a given recent rate of decline is.</i></p>	
<p><i>A general guideline for a marked recent rate of decline is the rate of decline that would drive a population down within approximately a 10-year period from the current population level to the historical extent of decline guideline (i.e. 5-20% of baseline for exploited fish species). There should rarely be a need for concern for populations that have exhibited an historical extent of decline of less than 50%, unless the recent rate of decline has been extremely high.</i></p>	
<p><i>Even if a population is not declining appreciably, it could be considered for listing in Appendix II if it is near the extent-of-decline guidelines recommended above for consideration for Appendix-I listing. A range of between 5% and 10% above the relevant <del>extent of</del> decline might be considered as a definition of 'near', taking due account of the productivity of the species.</i></p> <p><i>A recent <del>rate of</del> decline is important only if it is still occurring, or may resume, and is projected to lead to the species reaching the applicable point for that species in the Appendix-I extent-of-</i></p>	<p>Hyphens have been deleted where unnecessary, e.g. when expressions such as 'rate of decline' are used as nouns. Besides, the same expressions are used without hyphens elsewhere in the Resolution, including in this very footnote.</p>

Suggested amendments	Rationale
<p><i>decline guidelines within approximately a 10-year period. Otherwise the overall extent of decline is what is important. When sufficient data are available, the recent rate of decline should be calculated over approximately a 10-year period. If fewer data are available, annual rates over a shorter period could be used. If there is evidence of a change in the trend, greater weight should be given to the more recent consistent trend. In most cases, listing would only be considered if the decline were projected to continue.</i></p>	
<p><i>In considering the percentages indicated above, account needs to be taken of taxon- and case-specific biological and other factors that are likely to affect extinction risk. Depending on the biology, patterns of exploitation and area of distribution of the taxon, vulnerability factors (as listed in this Annex) may increase this risk, whereas mitigating factors (e.g. large absolute numbers or refugia) may reduce it.</i></p>	
<p>A general guideline for a marked recent rate of decline is a percentage decline of 50% or more in the last 10 years or three generations, whichever is the longer. If the population is small, a percentage decline of 20% or more in the last 5 years or 2 generations (whichever is the longer) may be more appropriate. However, these figures are presented only as examples, since it is impossible to give numerical values that are applicable to all taxa because of differences in their biology.</p>	
<p>The historical extent of decline and the recent rate of decline should be considered in conjunction with one another. In general, the higher the historical extent of decline, and the lower the productivity of the species, the more important a given recent rate of decline is.</p>	
<p>In estimating or inferring the historical extent of decline or the recent rate of decline, all relevant data should be taken into account. A decline need not necessarily be ongoing. If data are available only for a short period and the extent or rate of decline based on these data are cause for concern, the guidelines above (extrapolated as necessary or relevant) should still apply. However, natural fluctuations should not normally count as part of a decline, but an observed decline should not necessarily be considered part of a natural fluctuation unless there is evidence for this. A decline that is the result of legal activities carried out pursuant to a scientifically-based harvesting programme that reduces the population to a planned level, not detrimental to the survival of the species, would not normally be covered by the term 'decline'.</p>	<p>Addition of a hyphen to link the attributive adverb and adjective that work as a compound expression, based on the recommendation by the Oxford English Dictionary to hyphenate 'science-based'.</p>
<p><b>Fluctuations</b></p> <p>Fluctuations in population size or area of distribution are considered large when the population size or area</p>	

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<p>in question varies widely, rapidly or frequently. The judgement that there are large short-term fluctuations in the number of individuals is taxon-specific. For instance, it depends on the generation length of the taxon.</p>	
<p><b>Fragmentation</b></p> <p>'Fragmentation' refers to the case where most individuals within a taxon are found in small and relatively isolated subpopulations, which increases the probability that these small subpopulations will become extinct and the opportunities for re-establishment are limited.</p>	
<p><b>Generation length</b></p> <p>'Generation length' is the average age of parents of the current cohort (i.e. newborn individuals in the population). Generation length therefore reflects the turnover rate of breeding individuals in a population. Generation length is greater than the age at first breeding and less than the age of the oldest breeding individual, except in taxa that breed only once. Where generation length varies under threat, the more natural (i.e. pre-disturbance) generation length should be used.</p>	
<p><b>Inferred or projected</b></p> <p><b>This refers to estimations using indirect or direct methods.</b> Inferences may be made on the basis either of direct measurements or from indirect evidence. Projection involves extrapolation to infer likely future values.</p>	
<p><b>Near future</b></p> <p>This refers to a time period in which it can be projected or inferred that a species would satisfy one (or more) of the criteria in Annex <a href="#">1 to the present Resolution</a> unless it is included in Appendix II. This will be taxon- and case-specific but should be greater than 5 years and less than 10 years.</p>	<p>Correction of the numeral from Roman to Arabic and clarification of which Resolution this refers to.</p>
<p><b>Population issues</b></p> <p><b>Population</b></p> <p>'Population' refers to the total number of individuals of the species (as 'species' is defined in Article I of the Convention and in this Annex).</p>	
<p><b>Wild population</b></p> <p>'Wild population' refers to the total number of free-living individuals of the species within its area of distribution, as defined in this Annex.</p>	

Suggested amendments	Rationale
<p><b>Subpopulation</b></p> <p>'Subpopulations' are defined as geographically or otherwise distinct groups in the population between which there is limited genetic exchange.</p>	
<p><b>Population size</b></p> <p>When providing details on the size of a population or subpopulation, it should be made clear whether the information presented relates to an estimate of the total number of individuals or to the effective population size (i.e. individuals capable of reproduction, excluding individuals that are environmentally <del>and</del> behaviourally or otherwise reproductively suppressed in the wild) or to another appropriate measure, index or component of the population.</p> <p>In the case of species biologically dependent on other species for all or part of their life cycles, biologically appropriate values for the host or co-dependent species should be chosen.</p>	<p>Deletion of "and" to clarify that reproductive suppression may have environmental or behavioural (or other) causes, but that it does not necessarily need to be caused by both factors.</p>
<p><b>Small wild population</b></p> <p>The judgement that a wild population is small is taxon-specific and can be justified by a number of considerations. <del>For example,</del> the population of a related taxonomic group. For some low-productivity species where data exist to make an estimate, a figure of less than 5,000 individuals has been found to be an appropriate guideline (not a threshold) of what constitutes a small wild population, but the number could be higher for higher productivity species. However, this figure is presented only as an example, since it is impossible to give numerical values that are applicable to all taxa. There will be many cases where this numerical guideline does not apply.</p>	<p>Change in punctuation and unification of an isolated noun phrase to the sentence that precedes it and to which it refers to improve clarity.</p>
<p><b>Very small wild subpopulation</b></p> <p>The judgement that a wild subpopulation is very small is taxon-specific. For some species where data exist to make an estimate, a figure of less than 500 individuals has been found to be an appropriate guideline (not a threshold) of what constitutes a very small wild subpopulation. However, this figure is presented only as an example, since it is impossible to give numerical values that are applicable to all taxa. There will be many cases where this numerical guideline does not apply.</p>	
<p><b>Possibly extinct</b></p> <p>A species is 'possibly extinct' when exhaustive surveys in known <del>and</del> or suspected habitat, and at</p>	<p>a) Nothing implies that surveys carried out in "suspected habitat" would rule out the possibility of conducting surveys in known habitat, therefore</p>

Suggested amendments	Rationale
<p>appropriate times (diurnal, seasonal, annual), throughout its <u>historical</u> range have failed to record an individual. Before a species can be declared possibly extinct, surveys should take place over a time-frame appropriate to the species' life cycle and life form.</p>	<p>the "and/or" serves no purpose here.</p> <p>b) Although "historic range" is found in scientific literature, the prevailing current sense of "historic" is "forming an important part or item of history; noted or celebrated in history; having an interest or importance due to connexion with historical events" (definition taken from the Oxford English Dictionary). "Historical", which is equally found in scientific literature, means "of or pertaining to history", and therefore seems more appropriate. It is also worth noting that the word 'historical' is otherwise systematically used in the Resolution in the expression "historical extent of decline".</p>
<p><b>Recruitment</b></p> <p>'Recruitment' is the total number of individuals added to any particular demographic class of a population by either sexual or asexual reproduction.</p>	
<p><b>Threatened with extinction</b></p> <p>'Threatened with extinction' is defined <u>by-in</u> Annex 1. The vulnerability of a species to threats of extinction depends on its population demographics, biological characteristics (such as body size, trophic level, life cycle, breeding structure or social structure requirements for successful reproduction), and vulnerability due to aggregating habits, natural fluctuations in population size, <u>and/or</u> residency/migratory patterns. This makes it impossible to give numerical threshold values for population size or area of distribution that are applicable to all taxa.</p>	<p>a) Correction of the preposition.</p> <p>b) "or" suffices in this context instead of "and/or". It is clear that the various factors in the sublist may or may not be concurrent.</p>
<p><b>Vulnerability</b></p> <p>'Vulnerability' can be defined as the susceptibility to intrinsic or external effects <u>which-that</u> increase the risk of extinction, (even when mitigating factors are taken into account). There are a number of taxon- or case-specific biological and other factors that may affect the extinction risk associated with a given percentage decline, small population size or restricted area of distribution. These can be, but are not limited to, aspects of any of the following:</p>	<p>a) Replacement of "which" by "that" to underline the fact that the relative pronoun introduces a defining relative clause.</p> <p>b) Replacement of brackets by a comma to unify the sentence and improve its legibility.</p>
<p><b>Intrinsic factors</b></p> <ul style="list-style-type: none"> <li>– Life history (e.g. low fecundity, slow growth rate of the individual, high age at first maturity, long generation time)</li> <li>– Low absolute numbers or biomass or restricted area of distribution</li> <li>– Population structure (age/size structure, sex ratio)</li> <li>– Behavioural factors (e.g. social structure, migration, aggregating behaviour)</li> <li>– Density (for sessile or semi-sessile species)</li> </ul>	

Suggested amendments	Rationale
<ul style="list-style-type: none"> <li>– Specialized niche requirements (e.g. diet, habitat)</li> <li>– Species associations such as symbiosis and other forms of co-dependency</li> <li>– Reduced genetic diversity</li> <li>– Depensation (prone to continuing decline even in the absence of exploitation)</li> <li>– Endemism</li> <li>– Seed dispersal mechanism</li> <li>– Specialized pollinators</li> </ul>	
<p><b><i>Extrinsic factors</i></b></p> <ul style="list-style-type: none"> <li>– Selectivity of removals (that may compromise recruitment)</li> <li>– Threats from alien invasive species (hybridization, disease transmission, depredation, etc.)</li> <li>– Habitat degradation (contamination, soil erosion, alteration by alien invasive species, etc.)</li> <li>– Habitat loss/destruction</li> <li>– Habitat fragmentation</li> <li>– Harsh environmental conditions</li> <li>– Threats from disease</li> <li>– Rapid environmental change (e.g. climate regime shifts)</li> <li>– Stochastic events.</li> </ul>	<p>The word "predation" with the sense of "The preying of one animal on others" seems to be more frequent than "depredation". According to the Oxford English Dictionary, the word "depredation" is polysemic. One of its meanings is "The action of making a prey of", but all other senses revolve around the idea of "plundering, pillaging and ravaging". As a matter of fact, the Collins English Dictionary and Webster's Dictionary only record the latter sense. Furthermore, under Annex 6, item 5 (Threats), of the present Resolution, the word "predation" is used in a similar context:</p> <p><i>Specify the nature, intensity and if possible relative importance of human-induced threats (e.g. habitat loss and/or degradation; over-exploitation; effects of competition/predation/disease by introduced species, hybridization, toxins and pollutants; etc.).</i></p> <p>The working group therefore recommends standardizing the use of the word "predation".</p>
<p><b>Annex 6: Format for proposals to amend the Appendices</b></p>	
<p>The following provides information and instructions for the submission of a proposal to amend the Appendices and the appropriate supporting statement. Proponents should be guided by the need to provide to the Conference of the Parties sufficient information, of sufficient quality and in sufficient detail, to allow it to judge the proposal against the criteria established for the proposed action. This means that the relevant published and unpublished sources of information should be used, although for some species the amount of scientific information will be limited. Analogy with related taxonomic groups or species that are ecologically similar may be used to guide judgements. Where research has been undertaken specifically to obtain information for the proposal, it should be presented in sufficient detail to be assessed by the Parties.</p>	
<p>Parties are reminded that proposals should normally be limited to 12 pages (exclusive of references cited). If the proposal is longer than 12 pages, the proponent should provide translations into the working languages of the Convention. Furthermore, this means that it may not be possible to address all elements of the</p>	



Suggested amendments	Rationale
proposal format.	
<p>A. <u>Proposal</u></p> <p>The proponent should indicate the specific amendment to the Appendices and any relevant annotations or qualifications. The proponent should justify the basis on which the species meets the relevant criteria.</p> <ul style="list-style-type: none"> <li>– Inclusion in Appendix I or transfer from Appendix II to Appendix I. Specify which of the criteria in Annex 1 of the Resolution are satisfied.</li> <li>– Inclusion in Appendix II</li> </ul>	
<ul style="list-style-type: none"> <li>– in accordance with Article II 2 (a). Specify which of the criteria in Annex 2 a of the Resolution are satisfied.</li> <li>– in accordance with Article II 2 (b)</li> <li>– for reasons of look-alike problems (criterion A of Annex 2 b). In this case, the names of the similar species already included in the Appendices should be given in section C11, 'Additional remarks'.</li> <li>– for other reasons (such as those referred to in Annex 2 b, criterion B <del>and</del> or Annex 3 to this Resolution).</li> </ul>	<p>The words "such as" rules out the possibility of interpreting "or" as exclusive, that is of understanding that, if reference is made to "Annex 2 b, criterion B", then reference may not be made to "Annex 3 to this Resolution". The "and/" is therefore superfluous.</p>
<ul style="list-style-type: none"> <li>– Transfer from Appendix I to Appendix II in accordance with a precautionary measure specified in Annex 4 to this Resolution. Specify which of the criteria in Annex 2 of this Resolution are satisfied; specify why the criteria in Annex 1 of this Resolution are no longer satisfied; specify which of the measures in Annex 4 of this Resolution are satisfied or implemented.</li> </ul>	
<ul style="list-style-type: none"> <li>– Deletion from Appendix II. Specify why the criteria in Annex 2 of this Resolution are not satisfied.</li> </ul>	
<ul style="list-style-type: none"> <li>– Other action (provide explanation, e.g. amendment of a quota).</li> </ul>	
<p><u>Annotations</u></p> <p>If a specific annotation to the listing in the Appendices is proposed, the proponent should:</p>	
<ul style="list-style-type: none"> <li>– ensure that the proposed annotation is in compliance with the applicable Resolution;</li> </ul>	

Suggested amendments	Rationale
– indicate the practical intent of the annotation;	
– harmonize new annotations with existing annotations; and	
– be specific and accurate as to affected parts and derivatives.	
<p>B. <u>Proponent</u></p> <p>The proponent may only be a Party to the Convention, in accordance with Article XV of the Convention.</p>	
<p>C. <u>Supporting statement</u></p> <p>1. <u>Taxonomy</u></p> <p>The proponent should provide sufficient information to allow the Conference of the Parties to identify clearly the taxon that is the subject of the proposal.</p> <p>1.1 Class</p> <p>1.2 Order</p> <p>1.3 Family</p>	
<p>1.4 Genus, species or subspecies, including author and year</p> <p>If the species concerned is included in one of the standard lists of names or taxonomic references adopted by the Conference of the Parties, the name provided by that reference should be entered here. If the species concerned is not included in one of the adopted standard references, the proponent should provide references as to the source of the name used.</p>	
<p>1.5 Scientific synonyms</p> <p>The proponent should provide information on other scientific names or synonyms under which the species concerned may be known currently, especially if these names are used in the trade in the species.</p>	
<p>1.6 Common names (including, where appropriate, trade names)</p>	
<p>1.7 Code numbers</p> <p>If the species concerned is already included in the Appendices, refer to the code numbers</p>	

Suggested amendments	Rationale
in the CITES Identification Manual.	
<p>2. <u>Overview</u></p> <p>Provide a brief overview of key elements of the proposal. Parties should cite key sections of the supporting statement.</p>	
<p>3. <u>Species characteristics</u></p> <p>The information required in this section is a summary of surveys, literature searches, and relevant studies. The references used must be listed in section 12 of the proposal. It is understood that the quality of the information available will vary a lot, but these instructions indicate the type of information that is required. If the proposal relates to a geographically separate population or subspecies, it should consider, where relevant, the biological species in its entirety to provide the appropriate context.</p>	
<p>3.1 Distribution</p> <p>Specify the currently known range of the species. If possible, provide information to indicate whether or not the distribution of the species is continuous and, if it is not, indicate to what degree it is fragmented.</p>	
<p>3.2 Habitat</p> <p>Specify the types of habitats occupied by the species and, when relevant, the degree of habitat specificity and the extent of each habitat type over the range of the species.</p>	
<p>3.3 Biological characteristics</p> <p>Provide a summary of general biological and life history characteristics of the species (e.g. reproduction, recruitment, survival rate, migration, sex ratio, regeneration or reproductive strategies).</p>	
<p>3.4 Morphological characteristics</p> <p>Provide a general description of the morphological diagnostic characteristics of the species, including colour, and information on morphological features by which the species can be differentiated from taxonomically closely related species.</p>	
<p>3.5 Role of the species in its ecosystem</p> <p>If available, provide information about the role of this species in its ecosystem, and</p>	Repetition of the preposition to improve clarity.

Suggested amendments	Rationale
<p>other relevant ecological information, as well as <u>about</u> the potential impact of this proposal on that role.</p>	
<p>4. <u>Status and trends</u></p> <p>This section includes qualitative and quantitative information that allows past and present trends to be evaluated pursuant to the criteria. The sources used must be referenced in section 12 of the proposal. It is understood that the quality of the information available will vary. The instructions below indicate the type of information that should be provided if possible. If the proposal relates to a geographically separate population or subspecies, it should consider, when relevant, the biological species in its entirety to provide the appropriate context. If available, the proposal should include any relevant quantitative analyses, stock assessments, etc. The proposal should note whether conclusions are based on observations, inferences or projections.</p>	
<p>4.1 Habitat trends</p> <p>Give information on the nature, rate and extent of habitat change (e.g. loss, degradation or modification), noting when applicable the degree of fragmentation and discernible changes in the quality of habitat. Where appropriate, the relationship between habitat and population trends should be described.</p>	
<p>4.2 Population size</p> <p>Give an estimate of the current total population or number of individuals differentiated by relevant age classes where possible, or other indices of population abundance, based on the most recently available data. Provide information on the source of the data used. Where appropriate, provide the number of subpopulations, and their estimated sizes. Population size may be estimated by reference to population density, having due regard to habitat type and other methodological considerations.</p>	<p>Changes in punctuation to improve clarity.</p>
<p>4.3 Population structure</p> <p>Provide basic information on the current structure of the population and any past or current changes over time in that structure (e.g. social structure, population demographics, proportion of mature individuals or sex ratio).</p>	

Suggested amendments	Rationale
<p>4.4 Population trends</p> <p>Basic, quantitative and qualitative information, when available, should be provided on current and past trends in the species' abundance (provide sources). The period over which these trends, if any, have been measured should be indicated. If the species naturally undergoes marked fluctuations in population size, information should be provided to demonstrate that the trend transcends natural fluctuations. If generation-time has been used in estimating the trend, state how the generation-time has been estimated.</p>	
<p>4.5 Geographic trends</p> <p>Provide information, when available, on current and past trends in the species' distribution, indicating the period over which these trends, if any, have been measured. If relevant, give data on the degree and periodicity of fluctuations in the area of distribution.</p>	Changes in punctuation to improve clarity.
<p>5. <u>Threats</u></p> <p>Specify the nature, intensity and, if possible, relative importance of human-induced threats (e.g. habitat loss <del>and</del> or degradation; over-exploitation; effects of competition, predation <del>or</del> disease by introduced species; hybridization; toxins and pollutants; etc.).</p>	<p>a) Addition of commas before and after "if possible" to improve clarity.</p> <p>b) Deletion of "and/" as superfluous, for the same reasons as mentioned above.</p> <p>c) Replacement of two "/" with a comma and "or". The use of "/" is not clear and, strangely, not reflected in the second part of the clause which says "by introduced species, hybridization, toxins and pollutants" and not "by introduced species/hybridization/toxins/pollutants".</p> <p>d) Replacement of commas with semi-colons to remove an ambiguity, as the current punctuation makes "hybridization, toxins and pollutants" possible effects of "competition/predation/disease", when the latter seems to refer to "introduced species" only.</p>

Suggested amendments	Rationale
<p>6. <u>Utilization and trade</u></p> <p>6.1 National utilization</p> <p>Specify the types and extent of all known uses of the species, indicating trends if possible. Provide details of harvest methods. Indicate the extent to which utilization is from captive-bred, artificially propagated, or wild specimens.</p> <p>Provide details of any stockpiles known to exist, and the measures that might be taken to dispose of them.</p>	
<p>6.2 Legal trade</p> <p>Quantify the level of international trade, identifying the source of statistics used (e.g. Customs statistics, CITES annual report data, FAO data, industry reports, etc.). Provide justification for inferences made about trade levels. Provide information about the nature of the trade (e.g. primarily for commercial purposes, primarily live specimens, primarily parts and derivatives, primarily of captive-bred or artificially propagated specimens, etc.) and about how the proposed amendment is expected to affect the nature of the trade.</p>	
<p>6.3 Parts and derivatives in trade</p> <p>To the extent possible, list parts and derivatives, including types of products in trade, Customs tariff codes specific to those parts and derivatives, and major importing and exporting countries that trade in those parts and derivatives.</p>	
<p>6.4 Illegal trade</p> <p>To the extent possible, quantify the level of illegal trade, nationally and internationally, and describe its nature. Assess the relative importance of this trade in relation to legal offtake for national use or legal international trade. Provide information on how the proposed amendment is expected to affect the nature of the trade.</p>	
<p>6.5 Actual or potential trade impacts</p> <p>Discuss the importance of current and <del>or</del> future exploitation for international trade relative to overall use (domestic included) as a threat to the species in question.</p>	<p>The working group originally suggested replacing "and/or" with "or", and the Secretariat agreed. However, the Secretariat now believes that what is expected of Parties making an amendment proposal is to discuss the importance of both the current and future exploitation, and not one to the exclusion or another. It therefore suggests replacing "and/or" with "and", but had no time to get feedback from the</p>

Suggested amendments	Rationale
	working group on this proposal because of the proximity of the present meeting.
<p>7. <u>Legal instruments</u></p> <p>7.1 National</p> <p>Provide details of legislation relating to the conservation of the species, including its habitat, either specifically (such as endangered-species legislation) or generally (such as legislation on wildlife and accompanying regulations). Indicate the nature of legal protection (i.e. is the species totally protected, or <del>whether is</del> harvesting <del>is</del> regulated or controlled). Provide an assessment of the effectiveness of this legislation in ensuring the conservation and/or management of the species.</p>	Harmonization of the wording of the questions in the bracketed text.
<p>Provide similar information relating to legislation governing the management of trade in the species in question. Provide an assessment of the effectiveness of this legislation in controlling illegal trade in the species.</p>	
<p>7.2 International</p> <p>Provide details of international instruments relating to the species in question, including the nature of the protection afforded by such instruments. Provide an assessment of the effectiveness of these instruments in ensuring the conservation and/or management of the species.</p>	
<p>Provide similar information on international instruments relating to the management of trade in the species in question. Provide an assessment of the effectiveness of these instruments in controlling illegal trade in the species.</p>	
<p>8. <u>Species management</u></p> <p>8.1 Management measures</p> <p>Provide details of programmes in place in the range States to manage populations of the species in question (e.g. controlled harvest from the wild, captive breeding or artificial propagation, reintroduction, ranching, quota systems, etc.). Include, where appropriate, details such as planned harvest rates, planned population sizes, procedures for the establishment and implementation of quotas, and mechanisms for ensuring that wildlife</p>	Change in punctuation to improve clarity.

Suggested amendments	Rationale
management advice is taken into account.	
Where applicable, provide details of any mechanisms used to ensure a return from utilization of the species in question to conservation and/or management programmes (e.g. pricing schemes, community ownership plans, export tariffs, etc.).	
<p>8.2 Population monitoring</p> <p>Provide details of programmes in place to monitor the status of wild populations and the sustainability of offtake from the wild.</p>	
<p>8.3 Control measures</p> <p>8.3.1 International</p> <p>Provide information on measures in place, in addition to CITES, to control the movement of specimens of the species in question across international borders. Include information about marking schemes in place, if any.</p>	
<p>8.3.2 Domestic</p> <p>Provide information on controls in the range States aimed at ensuring a sustainable harvest from the wild of the species in question. Include information on education, compliance and enforcement activities as appropriate, and an assessment of the effectiveness of the programmes.</p>	Change in punctuation to improve clarity.
<p>8.4 Captive breeding and artificial propagation</p> <p>Where applicable, provide details of commercial captive-breeding or artificial propagation operations, including plantations, for the species in question within the country in question, including the size of captive stocks and the production, and the extent to which these operations are either contributing to a conservation programme or meeting a demand that would otherwise be met by specimens from the wild. Discuss any management implications of captive-breeding or artificial propagation programmes. Also provide information on the extent of captive-breeding or artificial propagation outside the country or countries of origin to the extent possible.</p>	



Suggested amendments	Rationale
<p>8.5 Habitat conservation</p> <p>Provide information, where available, regarding the number, size and type of protected areas relevant to the habitat of the species, and on habitat conservation programmes outside protected areas.</p>	
<p>8.6 Safeguards</p> <p>In the case of proposals to transfer species from Appendix I to Appendix II or <u>to delete species deletion</u> from Appendix II, or proposals involving substantive annotations, provide information on any relevant safeguards.</p>	<p>Replacement of the noun "deletion" with the verb "to delete" to place it on a par with "to transfer", i.e. there are proposal to transfers species and others to delete them.</p> <p>As it is, the use of the noun "deletion" in the original wording put this segment at the same level as "proposals", the other noun, so that it fact, grammatically speaking, it means:</p> <p><i>In the case of:</i></p> <p><i>a) proposals to transfer species from Appendix I to Appendix II; or</i></p> <p><i>b) deletion from Appendix II.</i></p> <p>But this is obviously not what was meant.</p>
<p>If the proposed amendment is likely to lead to an increase in trade in the species concerned, explain why this would not result in unsustainable trade in similar species.</p>	
<p>9. <u>Information on similar species</u></p> <p>Give the names of species of which specimens in trade look very similar. Provide details on how they may be distinguished, including, in particular, details on those commodities or parts and derivatives most common in trade, and explain whether or not it is reasonable to expect an informed non-expert to be able to make a firm identification. Provide details on how to resolve potential difficulties in distinguishing specimens of the species proposed for listing from those of similar species, in particular those specimens most common in trade.</p>	
<p>10. <u>Consultations</u></p> <p>Provide details of the consultation undertaken to secure comments on the proposal from the range States of the species, either through direct contact or via the CITES Secretariat. Comments received from each country should be provided. Where comments were sought but not received in sufficient time to enable their inclusion in the supporting statement, this should be noted, as well as the date of the request.</p>	

Suggested amendments	Rationale
<p>In cases of proposals to transfer Appendix-II species that are subject to the Review of Significant Trade to Appendix I, the proponent should consult the affected range State(s) and, as appropriate, the Animals Committee or Plants Committee. The proponent should state the reasons to justify why the amendment proposal was made. In cases of consultation with Parties via the CITES Secretariat, information from range States and non-range States should be separated.</p>	
<p>In the case of species that are also managed through other international agreements or intergovernmental bodies, provide details of the consultations undertaken to obtain the comments of those organizations or bodies, and indicate how those comments have been addressed in the supporting statement. Where comments were sought but not received in sufficient time to enable their inclusion in the supporting statement, this should be noted, as well as the date of the request.</p>	
<p>11. <u>Additional remarks</u></p> <p>12. <u>References</u></p>	

**Review of Conf. 9.25 (Rev. CoP15)\***

<b>Suggested amendments</b>	<b>Rationale</b>
<b>Inclusion of species in Appendix III</b>	
RECOGNIZING that Article XVI, paragraph 1, provides Parties with the right to list species in Appendix III;	
RECALLING that Article II, paragraph 3, provides for the inclusion of species in Appendix III by a Party only if it needs the cooperation of other Parties in the control of trade;	
RECOGNIZING that, for a species with a natural distribution that goes beyond the territory of the Party requesting its inclusion in Appendix III and its immediate neighbours, such inclusion may not necessarily need to cover all range States;	
<p>NOTING that Resolution Conf. 1.5, adopted by the Conference of the Parties at its first meeting (Bern, 1976), recommended that all readily recognizable parts and derivatives of species included in Appendix III be covered;</p> <p>NOTING that Resolution Conf. 5.22, adopted by the Conference of the Parties at its fifth meeting (Buenos Aires, 1985), recommended criteria for the inclusion of species in Appendix III;</p> <p>NOTING that Resolution Conf. 7.15, adopted by the Conference of the Parties at its seventh meeting (Lausanne, 1989), encouraged Parties to declare inclusion of species in Appendix III or withdrawals therefrom at meetings of the Conference of the Parties;</p> <p>NOTING that Resolution Conf. 8.23, adopted by the Conference of the Parties at its eighth meeting (Kyoto, 1992), recommended <i>inter alia</i> that, before submitting a species for inclusion in Appendix III, Parties request the advice of the Animals Committee or the Plants Committee regarding the trade status and biological status of that species;</p>	
AWARE that, at the moment, Appendix III contains species that occur rarely or not at all in international trade and for which the Convention is therefore not effective;	
OBSERVING that many Parties are unwilling to take on the administrative burden of implementing the provisions of the Convention with regard to Appendix III;	

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\* Amended at the 10th, 14th and 15th meetings of the Conference of the Parties.

Suggested amendments	Rationale
BELIEVING that this unsatisfactory implementation arises because the Parties are not fully convinced of the effectiveness of Appendix III;	
RECOGNIZING that Resolution Conf. 1.5, paragraph 5, was deficient in not addressing the need for adequate implementation of domestic legislation;	
RECALLING the wish of the Conference of the Parties, expressed at its eighth meeting (Kyoto, 1992), to reduce the number of its Resolutions;	
CONSIDERING that, for the effective implementation of the Convention with regard to Appendix III, it is desirable to give clear guidelines for including species in Appendix III that reflect the aims of the Convention expressed in its Preamble;	
THE CONFERENCE OF THE PARTIES TO THE CONVENTION	
RECOMMENDS that, if a Party has made a reservation with regard to any species included in Appendix I or II, it not request that this species be included in Appendix III;	
RECOMMENDS that, when considering the inclusion of a species in Appendix III, a Party:  a) ensure that:  i) the species is native to its country;	
ii) its national regulations <u>for the conservation of the species</u> are adequate to prevent or restrict exploitation and to control trade, <del>for the conservation of the species</del> , and include penalties for illegal taking, trade or possession and provisions for confiscation;	A segment of the sentence has been moved up to improve clarity and to follow more closely the provisions of Article XVI, paragraph 4, of the Convention that speaks of "all domestic laws and regulations applicable to the protection of such species".
iii) its national enforcement measures are adequate to implement these regulations; and	
iv) for species that are traded for their timber, consideration is given to including only that geographically separate population or populations of the species for which the inclusion would best achieve the aims of the Convention and its effective implementation, particularly with regard to the conservation of the species in the country requesting its inclusion in Appendix III;	
b) determine that, notwithstanding these regulations and measures, there are indications that the cooperation of the Parties is needed to control	

Suggested amendments	Rationale
illegal trade;	
c) inform the Management Authorities of other range States, the known major importing countries, the Secretariat and the Animals Committee or the Plants Committee that it is considering the inclusion of the species in Appendix III and seek their opinion on the potential effects of such inclusion;	
d) after due consultation, and having satisfied itself that the biological status and trade status of the species justify the action, submit to the Secretariat the name of the species it wishes to include in Appendix III; and	
e) ensure that its request to include a species in Appendix III specifies which readily recognizable parts and derivatives are to be included unless it intends to include all readily recognizable parts and derivatives;	
RECOMMENDS further that, unless there is an urgent need for inclusion, a Party intending to include a species in or delete a species from Appendix III inform the Secretariat of its intention at least three months before a meeting of the Conference of the Parties, in order that the Parties are informed of the amendment in time to ensure that it enters into force on the same date as amendments to Appendices I and II adopted at the meeting;	
DIRECTS the Secretariat:  a) to publish the changed Appendices I, II and III together after each meeting of the Conference of the Parties, or at other times when warranted;	
b) before communicating to Parties the inclusion of a species in Appendix III, to ensure that copies of all relevant national laws and regulations have been received from the Party concerned in accordance with paragraph 4 of Article XVI; and	
c) if a Party requests the inclusion of a species in Appendix III and requests that the listing be limited to a particular population, to consult with that Party to ensure that the listing will achieve the level of control and cooperation with other range States intended by the Party;	
AGREES that the inclusion of a species in Appendix III without an annotation shall indicate that all readily recognizable parts and derivatives are included in the Appendix;	
REQUESTS the Animals Committee and the Plants Committee to assist Parties if necessary in reviewing the status of species in Appendix III, subject to	

Suggested amendments	Rationale
available funding;	
URGES Parties having included species in Appendix III to <del>periodically</del> review <u>periodically</u> the status of these species and, taking into account these guidelines and any recommendations of the Animals and Plants Committees, to consider the necessity to maintain them in that Appendix;	The sentence reads better without the split infinitive.
RESOLVES that, when any species already included in Appendix III is subsequently included in Appendix I or II, it shall be deleted from Appendix III; and	
<p>REPEALS the Resolutions, or parts thereof, listed hereunder:</p> <ul style="list-style-type: none"> <li>a) Resolution Conf. 1.3 (Bern, 1976) – <i>Deletion of species from Appendix II or III in certain circumstances</i> – paragraph b);</li> <li>b) Resolution Conf. 1.5 (Bern, 1976) – <i>Recommendations Concerning the Interpretation and Implementation of Certain Provisions of the Convention</i> – paragraphs 3, 4 and 5;</li> <li>c) Resolution Conf. 1.5 (Rev. CoP12) (Bern, 1976, as amended at Fort Lauderdale, 1994, and Santiago, 2002) – <i>Interpretation and implementation of certain provisions of the Convention</i>;</li> <li>d) Resolution Conf. 5.22 (Buenos Aires, 1985) – <i>Criteria for the Inclusion of Species in Appendix III</i> – paragraphs a) and b) under RECOMMENDS and the paragraph under REQUESTS;</li> <li>e) Resolution Conf. 7.15 (Lausanne, 1989) – <i>Amendments to Appendix III</i>; and</li> <li>f) Resolution Conf. 8.23 (Kyoto, 1992) – <i>Review of Appendix III</i>.</li> </ul>	