

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



Nineteenth meeting of the Conference of the Parties
Panama City (Panama), 14 – 25 November 2022

Strategic matters

APPENDIX-I LISTED SPECIES

1. This document has been submitted by the Animals and Plants Committees *.

Background

2. At its 18th meeting (CoP18, Geneva, 2019), the Conference of the Parties adopted Decisions 18.28 and 18.29 on *Appendix-I listed species* as follows:

Directed to the Secretariat

18.28 *Subject to available resources, the Secretariat shall:*

- a) *contract consultants, as appropriate, to undertake the following:*
 - i) *conduct a rapid assessment of the conservation status of, and legal and illegal trade in, species included in Appendix I;*
 - ii) *in consultation with range States, produce detailed assessments on the conservation status, threats, relevance of trade, ongoing in situ and ex situ conservation strategies or recovery plans and funding/resources available or required for the species concerned and selected; and*
 - iii) *produce a report identifying and prioritizing those Appendix-I species that could potentially benefit from future action under CITES; and*
- b) *produce a report with its recommendations to the Animals and Plants Committees for consideration at their 32nd and 26th meetings, respectively.*

Directed to the Animals and Plants Committees

18.29 *The Animals and Plants Committees shall review the report and recommendations submitted by the Secretariat pursuant to Decision 18.28, paragraph b), and formulate recommendations, as appropriate, for communication to the range States and consideration of the Conference of the Parties at its 19th meeting.*

Implementation of Decision 18.28

3. As directed in paragraph a) i) of Decision 18.28, and thanks to a financial contribution from Switzerland, the Secretariat contracted the UN Environment Programme-World Conservation Monitoring Centre (UNEP-

* *The geographical designations employed in this document do not imply the expression of any opinion whatsoever on the part of the CITES Secretariat (or the United Nations Environment Programme) concerning the legal status of any country, territory, or area, or concerning the delimitation of its frontiers or boundaries. The responsibility for the contents of the document rests exclusively with its author.*

WCMC) to conduct a rapid assessment of the conservation status of, and legal and illegal trade in, species and subspecies included in Appendix I. This assessment was undertaken by UNEP-WCMC in collaboration with the International Union for Conservation of Nature (IUCN).

4. An informal technical advisory group was previously formed at the joint session of the 29th meeting of the Animals Committee and of the 23rd meeting of the Plants Committee (AC29/PC23, Geneva, July 2017) to assist the Secretariat in the implementation of Decision 17.22 on *Appendix-I listed species*. The membership was decided as follows: Animals Committee representative of Europe (Mr. Fleming); Brazil, Mexico, South Africa, United Kingdom of Great Britain and Northern Ireland, United States of America, and Zimbabwe.
5. Following the adoption of Decision 18.28 at CoP18, the Secretariat reached out to the members of this advisory group on behalf of UNEP-WCMC and IUCN, seeking their assistance with the development of the methodology for the rapid assessment. A virtual meeting with the informal technical advisory group, the Secretariat, UNEP-WCMC and IUCN took place in May 2020 to discuss the overarching aims of the rapid assessment, and the proposed suite of criteria and their individual scoring.
6. Taking into account feedback from the informal technical advisory group, UNEP-WCMC produced a report with the provisional results of the rapid assessment of Appendix-I listed species ([AC31 Inf. 6/PC25 Inf. 8.](#)). Annex 1 of the information document ([Excel file](#)) showed their extinction risk, threat from trade, biological vulnerability and management effort, each with corresponding “scores” for all 1,130 Appendix-I listed taxa. UNEP-WCMC presented three different scoring approaches, i.e. unweighted; weighting by “threat from trade”; and weighting by “threat from trade” and “existing CITES measures”. Annex 2 of the information document further outlined the scoring methodology followed by UNEP-WCMC.
7. Based on the three scoring methods combined, a list of 31 species that were consistently ranked high ([AC31 Doc. 9/PC25 Doc. 10 Addendum](#)) was compiled, which could perhaps be considered for further assessments as per paragraph a), ii) of Decision 18.28.
8. According to Decision 18.28, paragraph a), ii), in consultation with range States, it was envisaged that detailed assessments would be produced on the conservation status, threats, relevance of trade, ongoing *in situ* and *ex situ* conservation strategies or recovery plans and funding/resources available or required for the species concerned and selected. No external resources were secured to contract consultants for undertaking these activities.

Implementation of Decision 18.29

9. The Secretariat reported to the Animals and Plants Committees at their joint 31st and 25th sessions (AC31/PC25, online, June 2021) on the implementation of Decision 18.28 in document [AC31 Doc. 9/PC25 Doc. 10](#) and its [Addendum](#). The Annex to the document presented a technical report by UNEP-WCMC on the criteria and methodology used for the *Rapid assessment of the conservation status of, and legal and illegal trade in, species and subspecies included in Appendix I*. The addendum presented the results of the rapid assessment conducted by UNEP-WCMC.
10. In document [AC31 Doc. 9/PC25 Doc. 10](#), the Secretariat noted there could be merit in exploring an additional criterion for inclusion in a rapid assessment method that could focus on trade demand for wild specimens of the taxa, taking into account the impact of captive-breeding. Captive breeding can have direct impacts on wild populations, e.g. as part of restoration or reintroduction programmes, through the acquisition of founder breeding stock, or through laundering of wild specimens. A metric of captive breeding may indicate a lower risk to wild populations (if a species/subspecies is successfully captive-bred and widely available), but conversely, it may indicate high demand (and a risk from laundering).
11. The Secretariat indicated in the addendum to document AC31 Doc. 9/PC25 Doc. 10) that it accepted an offer from the University of Applied Sciences Van Hall Larenstein (the Netherlands) to have several final year students work on the implementation of Decision 18.28 as part of their final dissertations. The students were expected to choose a subset of species including information on *in situ* and *ex situ* breeding and conservation strategies, in consultation with the Secretariat and range States. The research was to contribute to a report by the Secretariat with recommendations concerning future possible actions under CITES for consideration by the Animals and Plants Committees, as called for in Decision 18.28, paragraph b). The Secretariat also indicated that it would also work with the University of Applied Sciences Van Hall Larenstein, to assess ways to incorporate information on captive breeding into the current Appendix-I listed species dataset.

12. At AC31/PC25, the Committees established an in-session working group on Appendix-I listed species with the mandate to:
 - a) review the criteria and methodology used for the rapid assessment presented in information document [AC31 Inf. 6/PC25 Inf. 8](#) and its Annexes 1 and 2, together with the additional criterion mentioned in paragraph 9 to the addendum of document [AC31 Doc. 9/PC25 Doc. 10](#); and
 - b) provide guidance to the Secretariat on its further implementation of Decision 18.28, as outlined in paragraphs 7 to 9 of document [AC31 Doc. 9/PC25 Doc. 10](#) and its [Addendum](#).
13. It was the general view of the working group that in order to advance the work on the above-mentioned general objectives, two workstreams should be followed that run in parallel and the results of each must feed into the other in the future.
 - a) The first process involves an academic, desktop exercise in which students at the University of Applied Sciences Van Hall Larenstein (Netherlands) would look at a selected number of species for further consideration under Decision 18.28 that a) scored highly under the rapid assessment outlined in information document [AC31 Inf.6/ PC25 Inf.8](#) and b) those assigned to different categories based on the proposed approach by Mexico, which assigns Appendix-I species into one of four quadrants depending on the average score for trade and biological criteria provided in the rapid assessment. The aim will be to analyse species from all the four quadrants; to document the effects of any past or ongoing CITES measures; and to propose possible additional measures CITES could take. This process is to be undertaken with the recognition that some working group members had concerns with some of the criteria, and there are likely to be other Appendix-I species that would benefit from measures to be adopted by the CITES Parties
 - b) The second process will instruct the Secretariat, in consultation with the Plants and Animals Committees through their Chairs, and invited experts, to continue to refine the methodology and its criteria for a future detailed assessment of Appendix-I listed species based on the feedback from this working group [which is summarised in the excel table in the [Annex to AC31/PC25 Com. 1 \(Rev. by Sec.\)](#)], as well as the original written inputs which will be provided to the Secretariat.
14. The Committees noted that it would not be possible to fully implement Decisions 18.28 and 18.29 prior to the 19th meeting of the Conference of the Parties and agreed to propose the extension of activities and mandates in these Decisions beyond CoP19. They adopted the recommendations in document [AC31/PC25 Com. 1 \(Rev. by Sec.\)](#) and agreed to invite the Secretariat to undertake the following:
 - a) to continue the collaboration with the University of Applied Sciences Van Hall Larenstein (Netherlands) in carrying out the analysis of a selection of Appendix-I species and use these case studies to compile possible measures that CITES could adopt within its mandate to improve the conservation status of potential species of concern; and
 - b) in consultation with the Plants and Animals Committees, through their Chairs, and invited experts to:
 - i) further refine the methodology and its criteria for carrying out an assessment of species listed in Appendix I that might benefit from measures adopted by the Conference of the Parties, taking into account the suggestions from the working group; and
 - ii) draft decisions for submission to the 19th meeting of the Conference of the Parties to ensure the further advancement of this work, including the possible development of an ongoing assessment for Appendix-I listings under the CITES provisions.
15. Following AC31/PC25, the Secretariat informed the Chairs of the Animals and Plants Committee that regrettably, as a result of administrative challenges encountered by the students at the University of Applied Sciences Van Hall Larenstein, which could not be resolved, the working arrangement with the University was no longer viable. As a result, the Secretariat committed to complete the detailed reviews for the ten species in the following table.

| Fauna | |
|-------------------|---|
| Mammals | 1) <i>Caprolagus hispidus</i> 2) <i>Helarctos malayanus</i> 3) <i>Hippotragus niger variani</i> 4) <i>Lontra longicaudis</i> |
| Birds | 5) <i>Anodorhynchus hyacinthinus</i> |
| Reptiles | 6) <i>Crocodylus siamensis</i> 7) <i>Eretmochelys imbricata</i> 8) <i>Gonatodes daudini</i> |
| Flora | |
| Orchidales | 9) <i>Aerangis ellisii</i> |
| Liliales | 10) <i>Aloe pillansii</i> |

Following consultations with the range States and relevant experts, these case studies will be ready for consideration by the Animals and Plants Committees at their first meeting following CoP19.

16. Further refinement of the methodology and its criteria for a future detailed assessment of Appendix-I listed species can only be undertaken when the results of the case studies are reviewed by the Animals and Plants Committees. The Animals and Plants Committees therefore propose the draft decisions contained in Annex 1 to the present document.

Recommendations

17. The Conference of the Parties is invited to adopt the draft decisions contained in Annex 1 to the present document.

COMMENTS OF THE SECRETARIAT

- A. The Secretariat recommends that the Conference of the Parties adopt the decisions in Annex 1 of the present document with the amendments proposed by the Secretariat in paragraph D below. The Secretariat furthermore recommends the deletion of Decisions 18.28 and 18.29 since these have been implemented.
- B. Since SC74, the Secretariat has continued to develop the reviews for the 10 species listed in the table in paragraph 15 of the present document. If the draft decisions proposed in the present document are adopted, the Secretariat will complete its consultations with the relevant range States and relevant experts in order to finalise these reviews and propose possible actions in each case. It is expected that this could be accomplished in time for AC32 and PC26 in 2023.
- C. Concerning the suggestion of the Animals and Plants committees, in draft Decision 19.BB, paragraph b), about the refinement of the methodology and criteria for carrying out an assessment of species listed in Appendix I that might benefit from measures adopted by the Conference of the Parties, the Secretariat is of the view that it may be preferable to bring the present round of activities to completion and review their effectiveness, before embarking of further revision of the procedures. The Secretariat has made suggestions for the revision of the draft decisions accordingly.
- D. The Secretariat proposes the deletion of Decisions 18.28 and 18.29 and the adoption of the draft decisions in Annex 1 of the present document as amended below:

Directed to the Secretariat

19.AA The Secretariat shall:

- a) in consultation with relevant range States, produce detailed assessments on the conservation status, threats, relevance of trade, ongoing *in situ* and *ex situ* conservation strategies or recovery plans and funding/resources available or required for at least ten Appendix-I listed species; and

- b) submit a report including these assessments, ~~and~~ recommendations on possible actions within the CITES mandate which could contribute to the implementation of the *CITES Strategic Vision 2021-2030* and link to any global biodiversity monitoring framework which may be adopted as part of a post-2020 Global Biodiversity Framework, for consideration by the Animals and Plants Committees.

Directed to the Animals and Plants Committees

19.BB The Animals and Plants Committees shall:

- a) review the report and draft recommendations prepared by the Secretariat under paragraph ~~b~~a) of Decision 19.AA;
- ~~b) taking into account paragraph a) of this decision, information document AC31/Inf.6/PC25/Inf.8 and the suggestions in document AC31/PC25/Com 1 (Rev. by Sec.) and its Annex, refine the methodology and its criteria for carrying out an assessment of species listed in Appendix I that might benefit from measures adopted by the Conference of the Parties; and~~
- ~~b~~e) formulate recommendations, ~~as appropriate~~, for communication by the Secretariat to the relevant range States in the assessments and report on the implementation of the present decision ~~consideration~~ at the 20th meeting of the Conference of the Parties.

DRAFT DECISIONS ON *APPENDIX-I LISTED SPECIES*

Directed to the Secretariat

19.AA The Secretariat shall:

- a) in consultation with relevant range States, produce detailed assessments on the conservation status, threats, relevance of trade, ongoing *in situ* and *ex situ* conservation strategies or recovery plans and funding/resources available or required for at least ten Appendix-I listed species; and
- b) submit a report, including these assessments, with draft recommendations, for consideration by the Animals and Plants Committees.

Directed to the Animals and Plants Committees

19.BB The Animals and Plants Committees shall:

- a) review the report and draft recommendations prepared by the Secretariat under paragraph a) of Decision 19.AA;
- b) taking into account paragraph a) of this decision, information document [AC31 Inf.6/ PC25 Inf.8](#) and the suggestions in document AC31/PC25 Com 1 (Rev. by Sec.) and its Annex, refine the methodology and its criteria for carrying out an assessment of species listed in Appendix I that might benefit from measures adopted by the Conference of the Parties; and
- c) formulate recommendations, as appropriate, for communication to the range States and consideration at the 20th meeting of the Conference of the Parties.

**TENTATIVE BUDGET AND SOURCE OF FUNDING
FOR THE IMPLEMENTATION OF DRAFT RESOLUTIONS OR DECISIONS**

According to Resolution Conf. 4.6 (Rev. CoP18) on *Submission of draft resolutions, draft decisions and other documents for meetings of the Conference of the Parties*, the Conference of the Parties decided that any draft resolutions or decisions submitted for consideration at a meeting of the Conference of the Parties that have budgetary and workload implications for the Secretariat or permanent committees must contain or be accompanied by a budget for the work involved and an indication of the source of funding. The Secretariat proposes the following tentative budget and source of funding.

| Decision | Activity | Indicative costs (USD) | Source of funding |
|---|---|-------------------------------|--|
| Decision 19.BB b) [if the Animals and Plants Committees' suggestion is retained] | Refinement of methodology and criteria for carrying out an assessment of species listed in Appendix-I | 30,000 | Extrabudgetary [noting that the placement of any contracts for such work could only be undertaken by the Secretariat and not by the Committees] |

The Secretariat is of the view that the activities foreseen for the Animals and Plants Committees in the proposed decisions can be undertaken with the resources provided for their regular programmes of work. The work of producing the assessments for the 10 Appendix-I listed species identified for detailed review has largely already been completed by the Secretariat and does not require additional resources. Other aspects of the draft decisions directed to the Secretariat can be accomplished with its regular work programme.