

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



Joint sessions of the 29th meeting of the Animals Committee and
the 23rd meeting of the Plants Committee
Geneva (Switzerland), 22 July 2017

Species specific matters

Maintenance of the Appendices

APPENDIX-III LISTINGS

1. This document has been prepared by the Secretariat.
2. At its 17th meeting (CoP17, Johannesburg, 2016), the Conference of the Parties adopted three interconnected Decisions on *Appendix-III listings* as follows:

Directed to the Standing Committee

17.303 *The Standing Committee, in consultation with the Animals and Plants Committees, as appropriate, shall consider the development of guidance on the application of Appendix-III CITES listings. Considerations could include, e.g.:*

- a) *possible guidance for exporting and importing countries with respect to the effective implementation of Appendix III, including measures to address suspected illegal international trade in Appendix III-listed specimens; and*
- b) *possible guidance for range States on characteristics of species that may benefit from inclusion in Appendix III.*

Directed to the Standing Committee

17.304 *The Standing Committee shall, in consultation with the Secretariat, as well as Parties, as appropriate, make recommendations, including possible amendments to Resolution Conf. 9.25 (Rev. CoP17) on Inclusion of species in Appendix III, to the 18th meeting of the Conference of the Parties.*

Directed to the Animals and Plants Committees

17.305 *The Animals and Plants Committees shall advise the Standing Committee working group, if requested by the Standing Committee or its working group, on subject-specific items, e.g. on characteristics of species for a possible listing of species in Appendix III CITES.*

Appendix III-related provisions in the text of the Convention, Resolutions and Decisions

3. Article II, paragraph 3 of the Convention provides that Appendix III shall include all species which any Party identifies as being subject to regulation within its jurisdiction for the purpose of preventing or restricting exploitation, and as needing the cooperation of other Parties in the control of trade. Article V regulates trade

in specimens of species included in Appendix III and Article XVI, paragraph 1 provides that any Party may at any time submit a list of species for inclusion in Appendix III.

4. In Resolution Conf. 9.25 (Rev. CoP17) on *Inclusion of species in Appendix III*, the Conference of the Parties has agreed recommendations for Parties when considering the inclusion of a species in Appendix III. With regard to the species' biological and trade characteristics, these include:

a) assurances that:

- i) the species is native to the country;
- ii) national regulations for the conservation of the species are adequate to prevent or restrict exploitation and to control trade;
- iii) national enforcement measures are adequate to implement these regulations; and
- iv) for species traded for their timber, consideration is given to include only geographically separate population or populations of the species for which the inclusion would best achieve the aims of the Convention; and

b) indications that the cooperation of the Parties is needed to control illegal trade.

5. Concerning annotations, Resolution Conf. 9.25 (Rev. CoP17) further recommends that the Appendix-III listing specifies which readily recognizable parts and derivatives are to be included (unless all specimens are to be included), and focuses on those specimens that first appear in exports from the territory, and that dominate trade and demand. The proposed annotations should, to the extent practical, be aligned with existing ones.

6. Additionally, a few Resolutions and Decisions contain recommendations for Parties to include certain species in Appendix III. Examples of these are:

– Resolution Conf. 12.6 (Rev. CoP17) on *Conservation and management of sharks*:

“15. ENCOURAGES range States of species in the family Potamotrygonidae to:

- c) consider the listing of endemic and threatened species of freshwater stingrays (Potamotrygonidae) in CITES Appendix III as needing the cooperation of other Parties in the control of trade.”*

– Decision 17.277 on *Snakes (Serpentes spp.)*:

“Parties are invited to consider undertaking the following actions:

c) Range States of Popeia buniana (Malaysia), Popeia nebularis (Malaysia), Cryptelytrops kanburiensis (Thailand and probably Myanmar) and Orthriophis moellendorfi (China and Viet Nam):

- i) to assess whether existing legislation, protected areas and current levels of trade are compatible with the conservation of these species in the wild; and*
- ii) to evaluate the possible listing of these species under CITES (including Appendix III);*

d) Parties and range States:

- i) to compile more information on the exploitation levels (i.e. direct harvest and as by-catch) of freshwater and marine aquatic snakes subject to high volumes of international trade, including all species of Elapidae (Hydrophis spp., Kerilia spp., Lapemis spp., Laticauda spp., Thalassophina spp.) and Homalopsidae (Enhydria spp., Erpeton spp., Homalopsis spp.) indicated in Table 1 of document AC28 Doc. 14.3; and*
- ii) to evaluate the possible listing of these species under CITES (including Appendix III);”*

Scientific advice to the Standing Committee concerning the inclusion of species in Appendix III

7. If so requested by the Standing Committee, the Animals and Plants Committees could develop advice on biological, trade and management-related characteristics of non-CITES listed species that could make them suitable candidates for inclusion in Appendix III. Based on the provisions in the Convention, Resolution Conf. 9.25 (Rev. CoP17) and species-specific instructions in valid Resolutions and Decisions, these could include: distribution; occupancy within the range; endemism; conservation status; levels and nature of threats; management and protection measures in place, and their perceived adequacy; levels of international trade; relevance of legal or illegal international trade for the conservation of the species; etc. Consideration may also be given to the usefulness and feasibility of the existing advice concerning species traded for their timber (to include only geographically separate population or populations of the species for which the inclusion would best achieve the aims of the Convention).
8. If so requested or in anticipation of the implementation of Decision 17.303, the Scientific Committees could furthermore consider compiling examples of species or taxa that meet the proposed characteristics, and might therefore benefit from their inclusion in Appendix III.
9. The Committees may also wish to take into account document [CoP17 Doc. 80](#) on “CITES Appendix III – An added value for the conservation of threatened wildlife with restricted distribution” and its argument that:

Species do especially benefit from an Appendix-III listing when these have a restricted distribution area, occur in international trade and are affected by illegal taking within their home range with the purpose of export for foreign markets.

It suggested to identify species with the following characteristics as potential Appendix-III candidates:

- a) endemic or with extremely restricted distribution areas;
- b) threatened, vulnerable or endangered;
- c) threatened by international trade, in particular illegal trade; and
- d) species for which an Appendix-III CITES listing would present an added-value for their conservation.

Recommendations

10. In anticipation of the implementation of Decision 17.303, the Animals and Plants Committees are invited to agree on their leads for addressing this issue, who could also represent the scientific Committees in any working group that the Standing Committee may establish on Appendix-III listings.
11. The Animals and Plants Committees, or their members leading on this issue, may also start exploring ways to best advise the Standing Committee. This may include (
 - a) the identification of particular biological or trade characteristic for the species concerned,
 - b) the development of a list of species corresponding to the proposed characteristics that can serve as guidance for range States, and
 - c) suggestions for amendments to Resolution Conf. 9.25 (Rev. CoP17) concerning guidance for range States on characteristics of species that may benefit from inclusion in Appendix III.