

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



Twenty-seventh meeting of the Animals Committee  
Veracruz (Mexico), 28 April – 3 May 2014

Strategic matters

Animals Committee strategic planning for 2013-2016 (CoP16-CoP17)

RESOLUTIONS AND DECISIONS DIRECTED TO THE ANIMALS COMMITTEE

1. This document has been prepared by the Secretariat.
2. Annex 1 to this document provides the instructions directed to the Animals Committee, or that may require that it be consulted or informed, in the currently valid Resolutions of the Conference of the Parties.
3. Annex 2 lists all currently valid Decisions of the Conference of the Parties directed to the Animals Committee or that may require its consultation or input.
4. The Animals Committee is invited to take these instructions into consideration in developing its working programme for 2013-2016 (see document AC27 Doc. 6.2).

INSTRUCTIONS IN RESOLUTIONS THAT ARE DIRECTED OR RELEVANT  
TO THE ANIMALS COMMITTEE

Resolution	Instruction
<p><b>Conf. 8.13 (Rev.)</b> <b>Use of coded-microchip implants for marking live animals in trade</b></p>	<p>DIRECTS</p> <p>c) the Animals Committee to monitor developments in microchip-implant technology and application techniques and to advise the Secretariat about such developments, for the information of the Parties.</p>
<p><b>Conf. 9.24 (Rev. CoP16)</b> <b>Criteria for amendment of Appendices I and II</b></p>	<p>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;</p> <p>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;</p> <p><b>Annex 4: Precautionary measures</b></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> <ol style="list-style-type: none"> <li>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 Depository Government to prepare a proposal to transfer the population back to Appendix I.</li> <li>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 Depository Government to prepare a proposal for appropriate remedial action.</li> </ol> <p><b>Annex 6: Format for proposals to amend the Appendices</b></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> <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</p>

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	sufficient time to enable their inclusion in the supporting statement, this should be noted, as well as the date of the request.
<b>Conf. 9.25 (Rev. CoP16)</b> <b>Inclusion of species in Appendix III</b>	<p>REQUESTS the Animals Committee and the Plants Committee to assist Parties if necessary in reviewing the status of species in Appendix III, subject to available funding;</p> <p>URGES Parties having included species in Appendix III to periodically review 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;</p>
<b>Conf. 10.21 (Rev. CoP16)</b> <b>Transport of live specimens</b>	<p>DIRECTS the Standing Committee and the Animals and Plants Committees to deal with matters related to the transport of live specimens;</p> <p>RECOMMENDS that:</p> <p>e) the Standing Committee and the Secretariat, in consultation with the Animals and Plants Committees and IATA, regularly review, revise and approve amendments to the <i>CITES guidelines for the non-air transport of live wild animals and plants</i>;</p> <p>DIRECTS the Standing Committee and the Animals and Plants Committees, in consultation with the Secretariat:</p> <p>a) to participate in meetings of the Live Animals and Perishables Board of IATA in order to amplify or update the <i>Live Animals Regulations, the Perishable Cargo Regulations and the CITES guidelines for the non-air transport of live wild animals and plants</i>;</p> <p>b) to examine new or additional references for transport of live specimens for incorporation into the present Resolution, if appropriate;</p> <p>c) to examine developments related to the transport of live plant specimens for incorporation into the present Resolution, if appropriate; and</p> <p>d) to examine when appropriate, any high mortality shipments of live specimens and make recommendations to relevant Parties, exporters, importers and transport companies on how to avoid this in the future;</p>
<b>Conf. 11.1 (Rev. CoP16)</b> <b>Establishment of Committees</b>	<p><b>Annex 2: Establishment of the Animals and Plants Committees of the Conference of the Parties</b></p> <p>RESOLVES to re-establish the Animals and Plants Committees of the Conference of the Parties, with the following terms of reference:</p> <p>within the policy agreed to by the Conference of the Parties, the Animals and Plants Committees shall:</p> <p>a) provide scientific advice and guidance to the Conference of the Parties, the other committees, working groups and the Secretariat, on all matters relevant to international trade in animal and plant species included in the Appendices, which may include proposals to amend the Appendices;</p> <p>b) deal with nomenclatural issues by carrying on the following tasks:</p> <p>i) cause standardized nomenclatural references for animal and plant taxa, to the level of subspecies or botanical variety and including synonyms, to be prepared, or propose for adoption existing nomenclatural references, as appropriate, for all species listed in the Appendices to the Convention;</p> <p>ii) upon its acceptance of a new or updated reference (or part thereof) for a given taxon, after following the procedure described below, present this to the Conference of the Parties for adoption as the standard reference for that taxon;</p> <p>iii) ensure that the highest priorities in developing the standard reference lists of animal and plant names and synonyms be:</p> <p>A. species names of animals and plants listed at the species</p>

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	<p>level in the Appendices;</p> <p>B. generic names of animals and plants listed at the genus or family level in the Appendices; and</p> <p>C. family names of animals and plants listed at the family level in the Appendices;</p> <p>iv) review the existing Appendices with regard to the correct use of zoological and botanical nomenclature;</p> <p>v) upon request, provide advice to Parties concerning nomenclature issues related to proposals to amend the Appendices;</p> <p>vi) upon request from the Secretariat, review proposals to amend the Appendices to ensure that correct names for the species and other taxa in question are used;</p> <p>vii) ensure that changes in nomenclature recommended by a Party do not alter the scope of protection of the taxon concerned; and</p> <p>viii) make recommendations on nomenclature to the Conference of the Parties, other committees, working groups and the Secretariat;</p> <p>c) assist the Secretariat with the implementation of the Resolution on the Identification Manual and Decisions related to it and, upon request of the Secretariat, review proposals to amend the Appendices with regard to possible identification problems;</p> <p>d) cooperate with the Secretariat on the implementation of its programme of work to assist Scientific Authorities and provide scientific advice on training materials used in capacity building;</p> <p>e) develop regional directories that list the botanists and zoologists in each region who are experts in CITES-listed species;</p> <p>f) establish a list of those taxa included in Appendix II that are considered as being significantly affected by trade, and review and assess all available biological and trade information including comments by the range States on these taxa to:</p> <p>i) exclude all species for which there is adequate information to conclude that trade is not having a significant detrimental effect on their populations;</p> <p>ii) formulate recommendations for remedial measures for those species for which trade is believed to be having a detrimental effect; and</p> <p>iii) establish priorities for projects to collect information for those species for which there is insufficient information available on which to base a judgement as to whether the level of trade is detrimental;</p> <p>g) assess information on those species for which there is evidence of a change in the volume of trade or for which specific information is available to indicate the necessity for review;</p> <p>h) undertake a periodic review of animal or plant species included in the CITES Appendices by:</p> <p>i) establishing a schedule for reviewing the biological and trade status of these species;</p> <p>ii) identifying problems or potential problems concerning the biological status of species being traded;</p> <p>iii) consulting the Parties on the need to review specific species, working directly with the range States in the selection process, and seeking their assistance in such reviews; and</p> <p>iv) preparing and submitting amendment proposals resulting from the review, through the Depositary Government, for consideration at</p>

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	<p>meetings of the Conference of the Parties;</p> <ul style="list-style-type: none"> <li>i) make available advice on management techniques and procedures for range States requesting such assistance;</li> <li>j) draft resolutions on scientific matters related to animals or plants, for consideration by the Conference of the Parties, with a budget for the work involved and an indication of the source of funding;</li> <li>k) perform any other functions that may be entrusted to them by the Conference of the Parties or the Standing Committee; and</li> <li>l) report to the Conference of the Parties and, if so requested, to the Standing Committee, on the activities they have carried out or supervised between meetings of the Conference;</li> </ul> <p>AGREES that in giving instructions to the Animals and Plants Committees, the Conference of the Parties should pay due attention to whether the nature of the work is within their mandate and whether the committees have the time and personnel to undertake such work;</p> <p>DETERMINES that:</p> <ul style="list-style-type: none"> <li>a) the membership of the Animals and Plants Committees shall consist of: <ul style="list-style-type: none"> <li>i) a person chosen by each of the major geographic regions consisting of North America and Oceania;</li> <li>ii) two persons chosen by each of the major geographic regions consisting of Africa, Asia, Central and South America and the Caribbean, and Europe; and</li> <li>iii) a specialist on zoological nomenclature (Animals Committee) and a specialist on botanical nomenclature (Plants Committee) appointed by the Conference of the Parties who would be <i>ex-officio</i> and non-voting;</li> </ul> </li> <li>b) each person chosen as an alternate member for a member described in paragraph a) i) or ii), shall be represented at meetings as a regional member only in the absence of the member for whom he/she is the alternate;</li> <li>c) the membership of the Committees shall be reviewed at every regular meeting of the Conference of the Parties. The terms of office of the members shall commence at the close of the regular meeting at which they are elected and shall expire at the close of the second regular meeting thereafter;</li> <li>d) any Party shall be entitled to be represented at meetings of the Committees as an observer;</li> <li>e) a chair and a vice-chair shall be elected by the Committee. The Chair should be replaced in his/her role of regional member by his/her alternate. In the absence at a meeting of the alternate in question, the Chair shall serve also as regional member for his/her region on an <i>ad hoc</i> basis; and</li> <li>f) the Chair may invite any person or representative of any other country or organization to participate in meetings of the Committee as an observer;</li> </ul> <p>RESOLVES that the duties of members elected by the regions of the Animals and Plants Committees and their alternates are as follows:</p> <ul style="list-style-type: none"> <li>a) each member should, to the best of their abilities, act as impartially as possible and endeavour to base their judgements and opinions upon an objective, scientific assessment of the available evidence;</li> <li>b) each member should collaborate with his/her alternate regarding the work to be done between the meetings of the Committee;</li> <li>c) each member should maintain regular communication with the Parties in his/her region;</li> <li>d) when a region has more than one representative, the representatives should also agree which Parties each represents. Contact persons should</li> </ul>

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	<p>be identified in those countries. Contact should also be established with non-Parties in the region;</p> <p>e) each member should increase the awareness of the role and function of the Committee, its mandate and the issues of concern to his/her region through mechanisms such as participation in seminars or in related meetings organized by the Secretariat and by other organizations at regional or sub-regional level;</p> <p>f) before the meetings of the Committee, the members should inform and consult the Parties in their regions about the agenda and in particular on matters specifically relevant to the countries of the region;</p> <p>g) the members should submit a written report, covering the preceding period, to each meeting of the Committee;</p> <p>h) the members should inform the Parties in their regions of the results of each meeting of the Committee;</p> <p>i) the members must inform the alternates well in advance if they will not attend a forthcoming Committee meeting; and</p> <p>j) the members should provide to their successors all relevant information on the activities in the region;</p> <p>FURTHER RESOLVES that the zoological and botanical nomenclature specialists of the Animals and Plants Committees shall coordinate, monitor and analyse the input needed from specialists in fulfilling the responsibilities assigned by the Parties;</p> <p>DETERMINES further the following principles for the payment of travel expenses to members of the Plants or Animals Committee:</p> <p>a) the Secretariat shall make provisions in its budget for the payment, if requested, of reasonable and justifiable travel expenses of members, to attend no more than two meetings of the Committee concerned between meetings of the Conference of the Parties, other than for members from developed countries;</p> <p>b) the Secretariat shall also make provision for the participation of the Committees' Chairs at meetings of the Standing Committee and at other meetings that the Chairs are instructed to attend by the Conference of the Parties;</p> <p>c) members should make every effort to pay their own travel expenses; and</p> <p>d) travel arrangements for sponsored members will be made by the Secretariat in accordance with the Rules and Regulations of the United Nations and, where applicable, claims for refunds must be supported by receipts, and be submitted to the Secretariat within 30 days from the completion of the travel;</p> <p>URGES Parties and regions to utilize or develop long-term sustainable funding mechanisms to support their representatives in the Committees; and</p> <p>DIRECTS the Secretariat, to the extent possible, to provide funding from outside sources for the production costs of publications prepared by the Committees.</p>
<p><b>Conf. 11.12 (Rev. CoP15)</b>  <b>Universal tagging system for the identification of crocodilian skins</b></p>	<p>DIRECTS the Secretariat to report deficiencies of the system or specific instances of concern to the Animals Committee and the relevant Parties, as appropriate;</p>
<p><b>Conf. 11.16 (Rev. CoP15)</b>  <b>Ranching and trade in ranched specimens of species transferred from Appendix I to Appendix II</b></p>	<p><b><i>Regarding proposals to transfer populations from Appendix I to Appendix II for ranching</i></b></p> <p>e) in order to be discussed at the next meeting of the Conference of the Parties, any proposal for amendment of the Appendices pursuant to this Resolution be received by the Secretariat at least 330 days before that meeting. In consultation with the Animals Committee, the Secretariat shall</p>

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	<p>seek appropriate scientific and technical advice to verify that the criteria specified in paragraph d) above under RECOMMENDS have been met and to review the information and assurances in the proposal that are specified in paragraph b) above. If in the opinion of the Secretariat further information concerning the criteria is required, the Secretariat shall request information from the proposing Party within 150 days after receipt. Thereafter, the Secretariat shall communicate with the Parties in accordance with Article XV of the Convention;</p> <p><b><i>Regarding changes to the ranching programme described in the proposal to transfer a species from Appendix I to Appendix II</i></b></p> <p>RECOMMENDS that:</p> <p>b) any Party with an approved ranching proposal submit any changes to the information supplied in paragraph c) above under RECOMMENDS to the Secretariat. The Secretariat, in consultation with the Animals Committee, should determine whether the changes proposed substantially alter the original ranching programme, and undermine or jeopardize the conservation of the wild population. The Secretariat should advise the Party of its determination accordingly; and</p> <p>c) in cases where the Secretariat, in consultation with the Animals Committee, concludes that changes to the ranching programme that are proposed in accordance with paragraph h) would result in substantial changes to management of the species, the proposed management be treated as a new proposal, requiring the submission of a proposal pursuant to this Resolution and to the requirements of Article XV of the Convention</p>
<p><b>Conf. 11.19 (Rev. CoP16)</b> <b>Identification Manual</b></p>	<p>DIRECTS the Secretariat to:</p> <p>h) inform the Standing, Animals and Plants Committees on the progress made whenever appropriate;</p>
<p><b>Conf. 12.6 (Rev. CoP16)</b> <b>Conservation and management of sharks</b></p>	<p>DIRECTS the Animals Committee to examine new information provided by range States on trade and other available relevant data and information, and report their analyses at meetings of the Conference of the Parties;</p> <p>ENCOURAGES Parties to obtain information on implementation of NPOA-Sharks or regional plans, and to report directly on progress to the CITES Secretariat and at future meetings of the Animals Committee;</p> <p>DIRECTS the Animals Committee to make species-specific recommendations at meetings of the Conference of the Parties if necessary on improving the conservation status of sharks;</p> <p>DIRECTS the Animals Committee to report progress on shark and ray activities at the meetings of the Conference of the Parties.</p>
<p><b>Conf. 12.7 (Rev. CoP16)</b> <b>Conservation of and trade in sturgeons and paddlefish</b></p>	<p>DIRECTS the Secretariat to provide at each meeting of the Animals Committee a written report, based on information submitted by the range States concerned requested in paragraph a) subparagraph iv) above, including references to relevant documents, on its activities related to the conservation of and trade in sturgeons and paddlefish;</p> <p>DIRECTS the Animals Committee, in collaboration with the Secretariat, interested Parties, international organizations and relevant experts, to monitor progress on the relevant provisions of this Resolution and to carry out on a three-year cycle starting in 2008, and using information from preceding years, an evaluation of the assessment and the monitoring methodologies used for stocks of Acipenseriformes species subject to the provisions under RECOMMENDS further, paragraph a), above;</p> <p>URGES range States to cooperate with the Animals Committee and the Secretariat with a view to implementing the provisions under RECOMMENDS further, paragraph a), and the paragraph DIRECTS the Animals Committee above;</p> <p>DIRECTS the Animals Committee to provide to the Standing Committee its</p>

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	<p>recommendations on actions to be taken based upon the above-mentioned monitoring of progress and three-year cycle evaluation;</p> <p>CALLS UPON range States, importing countries and other experts and appropriate organizations, such as the IUCN/SSC Sturgeon Specialist Group, in consultation with the Secretariat and the Animals Committee, to continue to explore the development of a uniform DNA-based identification system for parts and derivatives and aquaculture stocks of Acipenseriformes species to assist in the subsequent identification of the origin of specimens in trade and the development and application of methods for differentiating wild from aquaculture origin caviar in cases where DNA-based methods are not useful;</p>
<p><b>Conf. 12.8 (Rev. CoP13)</b></p> <p><b>Review of Significant Trade in specimens of Appendix-II species</b></p>	<p><b><i>Regarding conduct of the Review of Significant Trade</i></b></p> <p>DIRECTS the Animals and Plants Committees, in cooperation with the Secretariat and experts, and in consultation with range States, to review the biological, trade and other relevant information on Appendix-II species subject to significant levels of trade, to identify problems and solutions concerning the implementation of Article IV, paragraphs 2 (a), 3 and 6 (a), in accordance with the following procedure:</p> <p><u>Selection of species to be reviewed</u></p> <p>b) on the basis of recorded trade levels and information available to the Animals or Plants Committee, the Secretariat, Parties or other relevant experts, species of priority concern shall be selected for review by the Animals or Plants Committee;</p> <p>c) in exceptional cases where new information indicates an urgent concern, the Animals or Plants Committee may add a species to the list of species of concern at another stage;</p> <p><u>Consultation with the range States concerning implementation of Article IV</u></p> <p>e) the Secretariat shall report to the Animals or Plants Committee on the response of the range States concerned, including any other pertinent information;</p> <p>f) when the Animals or Plants Committee, having reviewed the available information, is satisfied that Article IV, paragraph 2 (a), 3 or 6 (a), is correctly implemented, the species shall be eliminated from the review with respect to the State concerned. In that event, the Secretariat shall notify the Parties accordingly within 60 days;</p> <p><u>Compilation of information and preliminary categorization</u></p> <p><u>Review of information and confirming of categorization by the Animals or Plants Committee</u></p> <p>k) the Animals or Plants Committee shall review the report of the Secretariat or the consultants and the responses received from the States concerned and, if appropriate, revise the preliminary categorization proposed;</p> <p><u>Formulation of recommendations and their transmission to the range States</u></p> <p>m) the Animals or Plants Committee shall, in consultation with the Secretariat, formulate recommendations for the remaining species. These recommendations shall be directed to the range States concerned;</p> <p>Deadlines for implementation of these recommendations should be determined by the Animals or Plants Committee. They must be appropriate to the nature of the action to be undertaken, and should normally be not less than 90 days but not more than two years after the date of transmission to the State concerned;</p> <p>o) for species of possible concern, these recommendations should specify the information required to enable the Animals or Plants Committee to determine whether the species should be categorized as either of urgent concern or of least concern. They should also specify interim measures where appropriate for the regulation of trade. Such recommendations should differentiate between short-term and long-term actions, and may</p>

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	<p>include, for example:</p> <ul style="list-style-type: none"> <li>i) the conducting of taxon and country-specific status assessments, field studies or evaluation of threats to populations or other relevant factors; or</li> <li>ii) the establishment of cautious export quotas for the species concerned as an interim measure.</li> </ul> <p>Deadlines for implementation of these recommendations should be determined by the Animals or Plants Committee. They must be appropriate to the nature of the action to be undertaken, and should normally be not less than 90 days but not more than two years after the date of transmission to the State concerned;</p> <p><u>Measures to be taken regarding the implementation of recommendations</u></p> <ul style="list-style-type: none"> <li>q) the Secretariat shall, in consultation with the Chairman of the Animals or Plants Committee, determine whether the recommendations referred to above have been implemented and report to the Standing Committee accordingly;</li> <li>s) when the Secretariat, having consulted with the Chairman of the Animals or Plants Committee, is not satisfied that a range State has implemented the recommendations made by the Animals or Plants Committee in accordance with paragraph n) or o), it should recommend to the Standing Committee appropriate action, which may include, as a last resort, a suspension of trade in the affected species with that State. On the basis of the report of the Secretariat, the Standing Committee shall decide on appropriate action and make recommendations to the State concerned, or to all Parties;</li> <li>v) the Standing Committee, in consultation with the Secretariat and the Chairman of the Animals or Plants Committee, shall review recommendations to suspend trade that have been in place for longer than two years and, if appropriate, take measures to address the situation;</li> </ul> <p><u>Regarding monitoring, reporting and reintroduction of species into the review process</u></p> <p>DIRECTS the Secretariat, for the purpose of monitoring and facilitating the implementation of this Resolution and the relevant paragraphs of Article IV:</p> <ul style="list-style-type: none"> <li>a) to report at each meeting of the Animals or Plants Committee on the implementation by the range States concerned of the recommendations made by the Committee;</li> </ul>
<p><b>Conf. 12.10 (Rev. CoP15)</b>  <b>Registration of operations that breed Appendix-I animal species in captivity for commercial purposes</b></p>	<p><b>Annex 2: Procedure to be followed by the Secretariat before registering new operations</b></p> <ul style="list-style-type: none"> <li>3. If any Party objects to the registration, the Secretariat shall refer the documentation to the Animals Committee to review the objection. The Animals Committee shall comment on the objection within 60 days. The Secretariat shall forward the comments made by the Animals Committee to the Parties concerned and allow a further 30 days for resolution of the identified problem(s).</li> </ul>

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<p><b>Conf. 12.11 (Rev. CoP16)</b></p> <p><b>Standard nomenclature</b></p>	<p>RECOMMENDS that:</p> <ul style="list-style-type: none"> <li>c) where there are domesticated forms of listed taxa, the Animals and Plants Committees recommend names for the wild and domestic forms;</li> <li>e) upon receiving proposals to amend the Appendices to the Convention, the Secretariat seek, where appropriate, the advice of the Animals and Plants Committees on the correct names to use for the species or other taxa in question;</li> <li>f) whenever a change in the name of a taxon included in the Appendices is proposed, the Secretariat, in consultation with the Animals or Plants Committee, determine whether this change would alter the scope of protection for fauna or flora under the Convention. In the case where the scope of a taxon is redefined, the Animals or Plants Committee shall evaluate whether acceptance of the taxonomic change would cause additional species to be included in the Appendices or listed species to be deleted from the Appendices and, if that is the case, the Depositary Government should be requested to submit a proposal to amend the Appendices in accordance with the recommendation of the Animals or Plants Committee, so that the original intent of the listing is retained. Such proposals should be submitted for consideration at the next regular meeting of the Conference of the Parties, at which the recommendations of the Animals and Plants Committees will be considered;</li> <li>g) if the Animals or Plants Committee proposes nomenclatural changes relating to taxa included in Appendix-III, they should advise the Secretariat whether these changes would also result in changes in distribution that would affect the determination of which countries would be required to issue certificates of origin;</li> <li>h) if there is conflict regarding the choice of taxonomic authority for taxa for which no standard references have been adopted by the Conference of the Parties, countries authorizing export of animals or plants (or parts or derivatives thereof) of such taxa inform the CITES Secretariat and prospective importing countries of their preferred published taxonomic authority. 'Taxonomic authority' means a recent published paper or monograph that reviews the nomenclature of the taxon being exported and that has been reviewed by professionals in the pertinent discipline. In cases where specimens of the taxon are exported from several countries and the exporting countries do not agree, or the exporting and importing countries do not agree, on the taxonomic authority, the Animals or Plants Committee should determine the most appropriate taxonomic authority, until a formal recommendation to the Conference of the Parties is made. The Animals or Plants Committee shall include this interim decision in its report to the Conference of the Parties, for adoption. The Secretariat shall notify the Parties about the interim decision;</li> <li>k) when the Animals or Plants Committee recommends a change in the name of a taxon to be used in the Appendices, it also provide an evaluation of the implications for the implementation of the Convention;</li> </ul> <p>RECOMMENDS the following procedure for updating current standard nomenclatural references and adoption of new ones:</p> <ul style="list-style-type: none"> <li>a) the process for updating current standard nomenclatural references and adoption of new ones shall be initiated directly by the Animals or Plants Committee on their own initiative or by the submission of a proposal to the Committees by: <ul style="list-style-type: none"> <li>i) one or more Parties; or</li> <li>ii) the Secretariat, on its own initiative or in response to information it has received from the Parties; and</li> </ul> </li> <li>b) proposed changes shall be based on recognized taxonomic publications. In</li> </ul>

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	<p>the case where a proposed amendment to the nomenclatural status of a taxon is still under discussion, the new taxonomy should not be adopted;</p> <p>RESOLVES that the Secretariat, in consultation with the Animals or Plants Committee, may make orthographical changes in the lists of species included in the Appendices to the Convention, without consulting the Conference of the Parties, and shall inform the Parties of those changes;</p> <p>DIRECTS the Secretariat, in close cooperation with the nomenclature specialists of the Animals and Plants Committees, and in the implementation of its memoranda of understanding or cooperation, or programmes of work with other biodiversity-related multilateral environmental agreements, to consider ways of harmonizing the taxonomy and nomenclature of species included in their respective provisions;</p> <p>DIRECTS the Secretariat, in close cooperation with the nomenclature specialists of the Animals and Plants Committees, to promote harmonization of the taxonomy and nomenclature used by biodiversity-related multilateral environmental agreements;</p>
<p><b>Conf. 13.4 (Rev. CoP16)</b> <b>Conservation of and trade in great apes</b></p>	<p>URGES the Secretariat, the Standing Committee and the Animals Committee to work closely with GRASP, and to explore and implement other measures through which the Convention can contribute to the conservation of great apes and to the promotion of public awareness of the threat posed to great ape populations by illegal trade</p>
<p><b>Conf. 14.3</b> <b>CITES compliance procedures</b></p>	<p><b>Annex: Guide to CITES compliance procedures</b></p> <p><i>The various bodies and their compliance-related tasks</i></p> <p>13. The Animals and Plants Committees, acting in accordance with instructions from and authority delegated by the Conference of the Parties, advise and assist the Standing Committee and the Conference of the Parties with regard to compliance matters, <i>inter alia</i>, by undertaking necessary reviews, consultations, assessments and reporting. These Committees are entrusted with specific tasks in the handling of matters related to the Review of Significant Trade.</p>
<p><b>Conf. 14.8 (Rev. CoP16)</b> <b>Periodic Review of species included in Appendices I and II</b></p>	<p>AGREES to the following:</p> <ul style="list-style-type: none"> <li>a) The Animals and Plants Committees should share their experience, especially during joint meetings, regarding the undertaking of periodic reviews of taxa included in the Appendices (including financing of reviews, processes, format and outputs);</li> <li>b) The Animals and Plants Committees shall establish a schedule for the Periodic Review of the Appendices and identify a list of taxa they propose to review during the next two intersessional periods between meetings of the Conference of the Parties (CoP). The list should be established at the first meetings of the Committees after the meeting of the CoP that initiates the review period;</li> <li>c) The Animals and Plants Committees are strongly encouraged to follow the following guidelines: <ul style="list-style-type: none"> <li>i) the Animals and Plants Committees, in consultation with the UNEP World Conservation Monitoring Centre, shall select a practical taxonomic entity or entities for analysis;</li> <li>ii) the following taxa should not be considered for review: <ul style="list-style-type: none"> <li>A. species that were the subject of listing proposals at the previous three meetings of the CoP (whether or not the proposals were adopted);</li> <li>B. species subject to ongoing reviews, under the Review of Significant Trade [Resolution Conf. 12.8 (Rev. CoP13)], or periodic reviews conducted within the last 10 years; or</li> <li>C. species subject to other reviews targeted by valid Decisions and</li> </ul> </li> </ul> </li> </ul>

Resolution	Instruction
	<p>Resolutions of the CoP; and</p> <ul style="list-style-type: none"> <li>D. species for which it is clear that there has been no change in the status, range or trade and for which there is no possibility to need to amend the Appendices;</li> </ul> <ul style="list-style-type: none"> <li>iii) the selected taxonomic entity or entities shall be assessed using the process outlined in the Annex to the present Resolution; and</li> <li>iv) outputs resulting from the assessment conducted in accordance with the Annex shall contain the following information in summary tables that include: <ul style="list-style-type: none"> <li>A. a summary of trade data since the initial inclusion of that taxon in the Appendices;</li> <li>B. current conservation status, including the IUCN category of the species, if assessed;</li> <li>C. current listing in the CITES Appendices, date of first listing; and</li> <li>D. the distribution of the species (range States);</li> </ul> </li> </ul> <ul style="list-style-type: none"> <li>d) From the resulting summary tables, the Animals and Plants Committees will identify the list of taxa to be reviewed;</li> <li>e) The Secretariat shall send a copy of the proposed list of taxa to be reviewed to all Parties, and request range States of the taxa to comment within 60 days on the need to review the taxa and express their interest in undertaking the reviews. The responses shall be relayed by the Secretariat to the Animals or Plants Committee. If no volunteer offers to undertake a review within two intersessional periods between CoPs, those taxa shall be deleted from the list of species to be reviewed;</li> <li>f) The Animals and Plants Committees shall conduct or organize the reviews responsibly, seeking information, participation and support from the range States. The regional representatives of the Animals and Plants Committees shall seek assistance from range States within their region to support the taxon reviews;</li> <li>g) The Animals and Plants Committees and Parties are encouraged to undertake the following in order to facilitate periodic reviews: <ul style="list-style-type: none"> <li>i) collaborate with university graduate students, including those from the CITES Master's Programme at the International University of Andalusia;</li> <li>ii) collaborate with other non-Party reviewers including species experts such as IUCN-SSC Specialist Groups;</li> <li>iii) utilize readily available information on species' conservation status from organizations (e.g. IUCN, BirdLife, etc.) and Parties;</li> <li>iv) seek financial support for reviews, including from importing countries, as appropriate; and</li> <li>v) increase communication between the Chairs of the Animals and Plants Committees and suggest coordination with Parties when animal and plant species' ranges overlap;</li> </ul> </li> <li>h) The Chair of the Animals and Plants Committees shall keep the Standing Committee informed about the conduct of periodic reviews, noting that Standing Committee approval is not required to initiate the process;</li> <li>i) Each review (in the format of a proposal used to amend the Appendices) is to be submitted as a working document to the Animals or Plants Committee for review, clearly specifying the recommendation with reference to the criteria in Resolution Conf. 9.24 (Rev. CoP16). The Secretariat shall notify the relevant range States of these working documents in advance of the meeting of the Committee;</li> <li>j) In cases where a review indicates, and the Animals or Plants</li> </ul>

Resolution	Instruction
	<p>Committee agrees, that it would be appropriate to transfer a taxon from one Appendix to another, or to delete a taxon from the Appendices:</p> <ul style="list-style-type: none"> <li>i) the Animals or Plants Committee shall, in consultation with the range States, prepare or arrange the preparation of a proposal to amend the Appendices;</li> <li>ii) the Secretariat, on behalf of the Animals or Plants Committee, shall provide copies of the proposal to the range States and request that one or more should submit the proposal for consideration at the following meeting of the CoP;</li> <li>iii) if no range State is willing to submit the proposal, the Secretariat shall request the Depository Government to submit it as specified in Resolution Conf. 11.1 (Rev. CoP16) and to include the comments of the range States in the supporting statement; and</li> <li>iv) proposals resulting from the periodic review of the Appendices must be submitted for decision to the CoP; and</li> </ul> <p>k) In cases where the Animals or Plants Committee decides that it would not be appropriate to transfer a taxon from one Appendix to another, or to delete a taxon from the Appendices, it shall draft its decision with reference to the criteria in Resolution Conf. 9.24 (Rev. CoP16);</p>
<p><b>Conf. 16.2</b> <b>Financing and the costed programme of work for the Secretariat for the triennium 2014-2016</b></p>	<p>REQUESTS the Secretariat:</p> <ul style="list-style-type: none"> <li>c) in consultation with the Chairs of the Animals and Plants Committees, to assign scientific consultants and define terms of reference for specific science-based projects. Such a process should be implemented in a fashion that would not have a negative impact on the budget but rather effectively utilize the scientific expertise of the Parties which is available to the Secretariat via the Chairs of the technical committees;</li> </ul>
<p><b>Conf. 16.7</b> <b>Non-detriment findings</b></p>	<p>DIRECTS the Secretariat:</p> <ul style="list-style-type: none"> <li>a) to maintain a prominent section for non-detriment findings on the CITES website and to update it regularly with information from the Animals and Plants Committees, Parties and other sources;</li> <li>b) to implement a user-friendly mechanism on the CITES website that would allow Parties to easily submit relevant information to be considered for inclusion in the website;</li> <li>c) to ensure that this information is accessible in the appropriate sections of the CITES Virtual College; and</li> <li>d) to assist in identifying possible funding sources to help Parties implementing capacity-building activities related to the making of non-detriment findings.</li> </ul>

DECISIONS DIRECTED TO THE ANIMALS COMMITTEE  
OR THAT MAY REQUIRE ITS ASSISTANCE

**Potential conflicts of interest in the Animals and Plants Committees**

***Directed to the Standing Committee***

16.9 The Standing Committee shall, at its 65th meeting and on the basis of a review from the Secretariat, assess the functioning of the conflict of interest policy set out in paragraph c) under *Regarding representation in the Animals and Plants Committees* of Resolution Conf. 11.1 (Rev. CoP16), and make recommendations for refining the definition of conflict of interest, if appropriate, and for a mechanism to deal with such conflicts, having reference to such mechanisms developed in other multilateral environmental agreements or relevant international organizations and bodies, for consideration at the 17th meeting of the Conference of the Parties.

***Directed to the Secretariat***

16.10 The Secretariat shall compile examples of conflicts of interest procedures under other relevant agreements and organizations, and shall prepare a report for the 65th meeting of the Standing Committee.

**Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES)**

***Directed to the Animals and Plants Committees***

- 16.15 The Chairs of the Animals and Plants Committees shall:
- a) assist the Standing Committee with the implementation of Decision 16.14;
  - b) subject to external funds, participate as observers in the IPBES Multidisciplinary Expert Panel (MEP) and thereby reinforce linkages between the MEP and the CITES scientific committees; and
  - c) report regularly to the Standing Committee on their activities under paragraph a) above.

**Capacity building**

***Directed to the Secretariat***

- 16.29 The Secretariat shall, subject to the availability of external funding, where needed:
- a) undertake a review of capacity-building activities found in Resolutions and Decisions to assess whether and how they could be rationalized and consolidated, and report its findings and recommendations at the 66th meeting of the Standing Committee, and report on proposed revisions to Resolutions and Decisions, and, if considered appropriate, present a draft resolution on capacity building at the 17th meeting of the Conference of the Parties;
  - b) collaborate with the Animals and Plants Committees on relevant capacity-building activities, *inter alia* to improve and expand the Secretariat's training materials on the making of non-detriment findings, including those available through the CITES Virtual College;
  - c) within the mandate of Goals 1 and 3 of the *CITES Strategic Vision*, provide targeted capacity-building support to CITES Management and Scientific Authorities, Customs and law enforcement entities, the judiciary, legislators and other stakeholders, particularly in new Parties and Small Island Developing States;
  - d) assist and support the Parties' own capacity-building efforts to implement the Convention at the national level;
  - e) deliver general and specialized training through regional workshops and the CITES Virtual College;

- f) develop and further enhance partnerships with institutions and organizations providing Parties with capacity-building assistance of relevance to CITES, for example through the International Consortium on Combating Wildlife Crime, the International Tropical Timber Organization and the International University of Andalusia;
- g) provide guidance to Parties on accessing financial resources to support the implementation of CITES (such as the Global Environment Facility and the African Elephant Fund); and
- h) undertake needs assessments and gap analyses to improve CITES capacity-building efforts.

## Review of reporting requirements

### ***Directed to the Animals and Plants Committees***

- 16.45 The Animals and Plants Committees, with the assistance of the Standing Committee Working Group on Special Reporting Requirements and the Secretariat, shall undertake the following actions at their 27th meeting (AC27) and 21st meeting (PC21), respectively:
- a) review the special reporting requirements identified by the Standing Committee Working Group on Special Reporting Requirements which relate to animals and plants, respectively;
  - b) assess whether any of these reporting requirements are still current and valid, or whether they are outdated or otherwise unnecessary and can be considered for deletion; and
  - c) advise the Standing Committee Working Group on Special Reporting Requirements of the results of the review and assessments mentioned in paragraphs a) and b) above, in a timely manner, so that it can provide a collated report on valid reporting requirements for the 65th meeting of the Standing Committee (SC65).

## Review of Significant Trade

- 13.67 (Rev. CoP14) The Conference of the Parties has adopted the *Terms of Reference for an evaluation of the Review of Significant Trade* contained in Annex 2 to these Decisions.

## Identification of CITES-listed corals in trade

### ***Directed to the Animals Committee***

- 15.64 The Animals Committee shall:
- a) identify existing coral reference materials that could be adopted as standard nomenclatural references for CITES-listed corals; and
  - b) update its list of coral taxa for which identification to genus level is acceptable, but which should be identified to species level where feasible, and provide the updated list to the Secretariat for dissemination.

## Identification Manual

### ***Directed to the Plants and Animals Committees and the Secretariat***

- 16.59 The Plants and Animals Committees shall:
- a) form an intersessional working group comprising at least one representative from each region of both Committees to assist in identifying CITES-listed taxa, taking account of existing CITES identification and guidance material as well as other material produced by Parties, non-governmental organizations and intergovernmental organizations;
  - b) determine, in collaboration with Parties, the current availability of identification and guidance material (printed and electronic) to increase accessibility to Parties;
  - c) consult with Parties to assess the need for additional identification material, including material under production by Parties and requested in Decisions;

- d) compile a list of outstanding Decisions directing the Parties, the Animals and Plants Committees, and the Secretariat to produce identification and guidance material for CITES-listed taxa;
- e) review, in collaboration with the Secretariat, and, taking into account new Web-based technologies, make recommendations, including amendments to Resolution Conf. 11.19 (Rev. CoP16) on *Identification Manual*, to promote accuracy and availability of identification and guidance material; and
- f) report progress at the 17th meeting of the Conference of the Parties.

#### **Production systems for specimens of CITES-listed species**

##### ***Directed to the Animals and Plants Committees***

- 15.53 The Animals and Plants Committees shall review and provide feedback to the Secretariat on the draft guide to advise the Parties on the appropriate use of source codes.

#### **Implementation of the Convention relating to captive-bred and ranched specimens**

##### ***Directed to the Animals Committee***

- 16.65 The Animals Committee, at its 27th meeting, shall review the report and provide recommendations to the Standing Committee.

#### **Great apes (*Hominidae* spp.)**

##### ***Directed to the Standing Committee***

- 16.67 The Standing Committee, assisted by the Secretariat, and in consultation with interested Parties, GRASP, the Convention on the Conservation of Migratory Species of Wild Animals, the Food and Agriculture Organization of the United Nations, the Animals Committee and other bodies as appropriate, review Resolution Conf. 13.4 (Rev. CoP16), with a view to establishing an illegal trade reporting mechanism, and present a summary of its consultations and its recommendations at the 17th meeting of the Conference of the Parties.

#### **Illegal trade in cheetahs (*Acinonyx jubatus*)**

##### ***Directed to the Animals Committee***

- 16.72 The Animals Committee should review the study undertaken in accordance with Decision 16.71 and make recommendations, as appropriate, to the Standing Committee.

#### **Great whales**

##### ***Directed to the Animals Committee***

- 14.81 No periodic review of any great whale, including the fin whale, should occur while the moratorium by the International Whaling Commission is in place.

#### **Snake trade and conservation management (*Serpentes* spp.)**

##### ***Directed to the Animals Committee***

- 16.103 The Animals Committee shall:
- a) review the results of the activities indicated in Decision 16.102, paragraphs a) to c), as well as the results of the ITC study and other relevant studies on trade in python snakes in Asia and UNCTAD Biotrade Initiative's Working Group on reptile skin sourcing, when available; and, based on these studies and reports, develop guidance and recommendations for consideration by the Standing Committee;
  - b) examine the study undertaken by the UNCTAD Biotrade initiative's Working Group on reptile skin sourcing mentioned in Decision 16.102, paragraph c), and any other relevant available information concerning:

- i) existing marking and tracing systems and, where relevant, accompanying certification schemes of all kinds (and not necessarily limited to those currently in use for trade in wild species), which could provide best practices that might be applicable to snakes;
  - ii) a traceability system to confirm the legal origin of snake skins; and
  - iii) the economic feasibility of current technologies to implement such a traceability and marking system;
- c) advise the Standing Committee on the feasibility of implementing such a traceability system for snakes; and
  - d) report on the status of this work at the 65th and 66th meetings of the Standing Committee.
- 16.104 The Animals Committee shall, at its 27th meeting, consider the final IUCN red list assessments for Asian snake species and, if available, incorporate new information and data and make appropriate recommendations, including recommendations to the Standing Committee.

#### **Tortoises and freshwater turtles (*Testudines* spp.)**

##### ***Directed to the Animals Committee***

- 16.111 The Animals Committee shall review the study undertaken in accordance with Decision 16.109 and make recommendations, as appropriate and, if possible, at its 27th meeting for consideration by the Standing Committee and the Parties.

##### ***Directed to the Animals Committee***

- 16.124 The Animals Committee shall, as a matter of priority, include *Cuora galbinifrons* and *Mauremys annamensis* in its Periodic Review of the Appendices.

#### **Roti Island snake-necked turtle (*Chelodina mccordi*)**

##### ***Directed to the Animals Committee***

- 16.125 Include the Roti Island side-necked turtle (*Chelodina mccordi*) as matter of priority in the Periodic Review of the Appendices at its 27th meeting.

#### **Freshwater stingrays (*Potamotrygonidae* spp.)**

##### ***Directed to the Animals Committee***

- 16.131 The Animals Committee shall establish a working group comprising the range States of freshwater stingrays in order to evaluate and duly prioritize the species for inclusion in CITES Appendix II.
- 16.132 The Animals Committee shall consider all information submitted on freshwater stingrays in response to the request made under Decision 16.131 above, and shall:
- a) identify species of priority concern, including those species that meet the criteria for inclusion in Appendix II of the Convention;
  - b) provide specific recommendations to the range States of freshwater stingrays; and
  - c) submit a report at the 17th meeting of the Conference of the Parties on the progress made by the working group, and its recommendations and conclusions.

#### **Sturgeons and paddlefish (*Acipenseriformes* spp.)**

##### ***Directed to the Animals Committee***

- 16.137 The Animals Committee shall assist the Secretariat in determining the specifications for the study referred to in Decision 16.136 and monitoring its conduct. It shall review the report of the study at its 27th or 28th meeting, and make recommendations as appropriate for consideration by the Standing Committee.

## Bushmeat

### ***Directed to the Standing Committee***

- 16.149 The Standing Committee, assisted by the Secretariat, and in consultation with interested Parties, the Convention on Biological Diversity (CBD), the Convention on the Conservation of Migratory Species of Wild Animals, the Food and Agriculture Organization of the United Nations, the International Tropical Timber Organization, relevant United Nations programmes, relevant Parties, the Animals and Plants Committees as appropriate, intergovernmental and non-governmental organizations, and other experts and stakeholders shall:
- a) review Resolution Conf. 13.11 on *Bushmeat*, taking into consideration the decisions and guidance developed under the CBD, the outcomes of the joint CITES/CBD meeting on bushmeat and other relevant sources of information; and
  - b) submit the results and its recommendations for consideration at the 17th meeting of the Conference of the Parties.

## Review of the Appendices: Felidae

### ***Directed to the Animals Committee***

- 13.93 The Animals Committee shall complete its Review of the Appendices for Felidae. The Animals (Rev. Committee shall provide a report at the 17th meeting of the Conference of the Parties on the CoP16) result of the review of all Felidae.

## Annotations

### ***Directed to the Standing Committee, Animals Committee and Plants Committee***

- 16.162 The Standing Committee shall form a working group on annotations, in close collaboration with the Animals and Plants Committees, recognizing that the Animals and Plants Committees are an important source of expertise and advice to Parties on such scientific and technical issues. The group shall be chaired by a member of the Standing Committee and shall include, but not be limited to, members from the Standing Committee, Animals Committee, Plants Committee, observer Parties, CITES Management and Scientific Authorities, enforcement authorities, including Customs, and industry representatives. The terms of reference for the working group shall be:
- a) to explore the shared understanding among Parties of annotations, both their meaning and function, and the adoption of appropriate and reasonable procedures for crafting plant annotations;
  - b) to evaluate and address issues related to the drafting, interpretation and implementation of annotations, and assist Parties in drafting future annotations, drawing on appropriate expertise from within and outside its membership;
  - c) initially, to focus its efforts on evaluating the existing annotations for plant taxa listed in Appendices II and III, with an emphasis on ensuring that such annotations are clear as to the types of specimens to be covered by a listing, can be readily implemented, and focus on those parts and derivatives primarily exported from the range States and those commodities that dominate the trade in and demand for the wild resource;
  - d) based on the results of the timber trade study directed to the Secretariat in Decision 15.35 (Rev. CoP16), to review the existing annotations for tree species and, if appropriate, draft amendments to those annotations and prepare clear definitions for the terms used in the annotations in order to facilitate their use and understanding by CITES authorities, enforcement officers, exporters and importers;
  - e) to review the appropriateness and practical implementation of the annotation(s) of the agarwood-producing taxa (*Aquilaria* spp. and *Gyrinops* spp.), taking into consideration the previous work done by the range and consumer States of these species;

- f) to review outstanding implementation challenges resulting from the listings of *Aniba rosaeodora* and *Bulnesia sarmientoi* in the Appendices, and propose appropriate solutions at the 17th meeting of the Conference of the Parties;
- g) to draft definitions of terms included in annotations, in cases where the terms are not easily understood or where there has been difficulty in implementing the listing as a result of confusion about what commodities are covered, and submit them to the Standing Committee for adoption by the Conference of the Parties and subsequent inclusion in the *Interpretation* section of the Appendices;
- h) to consider the effectiveness of including definitions of terms in annotations in the *Interpretation* section of the Appendices instead of elsewhere (e.g. in Resolutions) and, based on the determination, draft a proposal to include all definitions in a single location;
- i) to conduct any work related to annotations directed to it by the Conference of the Parties, the Standing, Animals or Plants Committee; and
- j) to prepare reports on progress made in addressing the issues tasked to it and submit them for the 65th and 66th meetings of the Standing Committee.

### Extinct or possibly extinct species

#### ***Directed to the Animals and Plants Committees***

16.164 The Animals and Plants Committees shall review the provisions of Resolution Conf. 9.24 (Rev. CoP16) on *Criteria for amendment of Appendices I and II* as they apply to species that are either extinct or possibly extinct and report to the Standing Committee on their findings.

## Annex 2 Terms of Reference for an evaluation of the Review of Significant Trade<sup>1</sup>

### Objectives

1. The objectives of the evaluation of the Review of Significant Trade are to:
  - a) evaluate the contribution of the Review of Significant Trade to the implementation of Article IV, paragraphs 2 (a), 3 and 6 (a);
  - b) assess the impact over time of the actions taken in the context of the Review of Significant Trade on the trade and conservation status of species selected for review and subject to recommendations, taking into consideration the possible effects of these measures on other CITES-listed species;
  - c) formulate recommendations in view of the results and findings of the evaluation and the impact assessment; and
  - d) prepare a document on the evaluation of the Review of Significant Trade and the resulting conclusions and recommendations for consideration at the first appropriate meeting of the Conference of the Parties.

### Process

2. The evaluation will commence immediately after the 14th meeting of the Conference of the Parties, contingent on the availability of sufficient funds to ensure its completion.
3. The Animals and Plants Committees will oversee the evaluation, which will be administered by the Secretariat. Consultants may be engaged to assist it in this regard.

<sup>1</sup> Note from the Secretariat: this Annex was adopted at the 14th meeting of the Conference of the Parties.

4. A working group composed of members of the Animals and Plants Committees, Parties, the Secretariat and invited experts will be responsible for advising on the evaluation process, reviewing the findings of associated research and developing recommendations for wider consideration by the Parties.
5. The Secretariat will regularly report on the progress of the evaluation at meetings of the Animals and Plants Committees.
6. A final report, which may include proposed amendments to existing Resolutions or Decisions, or other recommendations, and which will incorporate the comments of the Animals and Plants Committees and of range States addressed in the report, will be submitted by the Chairmen of the Animals and Plants Committees for consideration at a future meeting of the Conference of the Parties. The Chairman of the Animals or Plants Committee may submit an interim report to the Standing Committee when appropriate and considered useful.

#### Content of the evaluation

7. The evaluation of the Review of Significant Trade should include the following activities:
  - a) assess:
    - i) the process used to select species for review (including the reliance on numerical data), and the species selected as a result;
    - ii) the process and means used to compile and review information concerning the implementation of Article IV, paragraphs 2 (a), 3 and 6 (a), for the selected species (including communications with the range States), and the subsequent use of this information by the Animals and Plants Committees for the categorization of species and the issuance of recommendations;
    - iii) the types and frequency of recommendations made;
    - iv) the nature and rate of responses to recommendations, and problems identified;
    - v) the use of the recommendations by range States as guidance for managing target species and other CITES-listed species with similar characteristics;
    - vi) the nature and scale of the support provided to range States for implementing the recommendations, including field projects, financial aid and assistance in building local capacities;
    - vii) the ongoing process to monitor and review the implementation of recommendations, having regard to differing points of view as to where this responsibility should lie; and
    - viii) the impacts of the process on other aspects of CITES implementation, including how problems identified in the course of the review but not directly related to the implementation of Article IV, paragraphs 2 (a), 3 and 6 (a), were addressed;
  - b) conduct case studies of a representative range of species and countries subject to recommendations to assess subsequent short- and long-term changes, and whether these could be attributed to the process, in:
    - i) conservation status of the target taxa in the range States;
    - ii) trade volumes and patterns of the target taxa, considering trade involving the range States subject to recommendations, other range States and non-range States;
    - iii) production or management strategies for the target taxa;
    - iv) market developments of conservation relevance (such as shifts in supply or demand);
    - v) costs and benefits associated with the management of and trade in the target taxa (such as the effects of trade suspensions and export quotas, shift in trade to non-CITES species or increased illegal trade);

- vi) protection status of the target taxa within range States, and regulatory measures outside range States;
  - vii) trade patterns, conservation status and management for other CITES-listed species that might be suitable 'substitutes' for the target taxa; and
  - viii) changes in conservation policies in range States; and
- c) analyse the information to assess the effectiveness, costs and benefits<sup>2</sup> of the Review of Significant Trade as implemented so far, by reference to the cost of the process and the time it takes, and identify means to improve the contribution it makes to the objectives of the Convention by reducing the threats to wild species.

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<sup>2</sup> *The phrase 'effectiveness, costs and benefits' is intended to address issues such as whether or not the funds spent on the process give value for money comparable to that for other CITES activities, and whether the time-scale envisaged in the process is too long for species that are in rapid decline.*