

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



Joint meeting of the Animals and Plants Committees
Shepherdstown (United States of America), 7–9 December 2000

CLEAN TEXT OF THE DRAFT OF AMENDED RESOLUTION CONF. 9.24

Criteria for Amendment of Appendices I and II

RECALLING that the Conference of the Parties at its eighth meeting, held in Kyoto, Japan, in March 1992, was convinced that the criteria adopted at the first meeting of the Conference of the Parties (Berne, 1976) (Resolutions Conf. 1.1 and Conf. 1.2) did not provide an adequate basis for amending the appendices, and directed the Standing Committee to undertake, with the assistance of the Secretariat, a revision of the criteria for amending the appendices (Resolution Conf. 8.20);

NOTING that this review was carried out in consultation with the Parties and on the basis of initial technical work carried out by IUCN in collaboration with other experts;

NOTING further that all aspects of this review were addressed by a joint meeting of the Plants and Animals Committees, in association with the Standing Committee, held in Brussels in September 1993;

CONSIDERING the fundamental principles in paragraphs 1 and 2 of Article II of the Convention, which specify the species to be included in Appendices I and II;

RECOGNIZING that to qualify for inclusion in Appendix I a species must meet biological and trade criteria;

RECALLING that Article II, paragraph 2(a), provides for the inclusion of species which may become threatened with extinction in Appendix II, in order to avoid utilization incompatible with their survival;

RECOGNIZING that for the proper implementation of this provision it is necessary to adopt appropriate criteria, considering both biological and trade factors;

RECALLING that paragraph 2(b) of Article II provides only for the inclusion in Appendix II of species which must be subject to regulation in order that trade in specimens of certain species included in Appendix II in accordance with Article II, paragraph 2(a), may be brought under effective control;

CONSIDERING, however, that this provision should also apply where there is a need to bring under effective control trade in specimens of species included in Appendix I;

RECOGNIZING that the range States of a species subject to an amendment proposal should be consulted following the procedures recommended by the Conference of the Parties, and that the intergovernmental bodies having a function in relation to that species should be consulted as well;

NOTING the competence of certain intergovernmental organizations in relation to the management of marine species;

RECALLING that the international trade in all wild fauna and flora is under the purview of the Convention;

EMPHASIZING the importance of Resolution Conf. 3.4, adopted at the third meeting of the Conference of the Parties (New Delhi, 1981), regarding the need to provide to developing countries technical assistance in matters relating to the Convention;

RECOGNIZING that by virtue of the precautionary principle, in cases of uncertainty, the Parties shall act in the best interest of the conservation of the species when considering proposals for amendment of Appendices I and II;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

ADOPTS the following Annexes as an integral part of this Resolution:

Annex 1: Biological criteria for Appendix I;

Annex 2a: Criteria for the inclusion of species in Appendix II in accordance with Article II, paragraph 2(a);

Annex 2b: Criteria for the inclusion of species in Appendix II in accordance with Article II, paragraph 2(b);

Annex 3: Special cases;

Annex 4: Precautionary measures;

Annex 5: Definitions, notes and guidelines; and

Annex 6: Format for proposals to amend the appendices;

RESOLVES that when considering any proposal to amend Appendix I or II the Parties shall apply the precautionary principle so that scientific uncertainty should not be used as a reason for failing to act in the best interest of the conservation of the species;

RESOLVES that, when considering proposals to amend Appendices I and II, the following applies:

- a) any species that is or may be affected by trade should be included in Appendix I if it meets at least one of the biological criteria listed in Annex 1;
- b) a species "is or may be affected by trade" if:
 - i) it is known to be in international trade, and that trade has a detrimental impact on the status of the species; or
 - ii) it is probably in international trade, although conclusive evidence is lacking, and that trade has a detrimental impact on the status of the species; or
 - iii) there is a potential international demand, and any international trade would have a detrimental impact on the status of the species; or
 - iv) it would probably enter international trade, with a detrimental impact on the status of the species, were it not subject to Appendix-I controls;
- c) any species that meets the criteria for inclusion in Appendix II listed in Annex 2a should be included in Appendix II in accordance with Article II, paragraph 2(a);
- d) species should be included in Appendix II under the provisions of Article II, paragraph 2(b), if they satisfy the criteria listed in Annex 2b;

- e) species should be included in more than one appendix at the same time, and higher taxa should be included in the appendices, only if the species or higher taxa concerned satisfy the relevant criteria listed in Annex 3;
- f) species of which all specimens in trade have been bred in captivity or artificially propagated should not be included in the appendices if there is no probability of trade taking place in specimens of wild origin;
- g) any species included in Appendix I for which sufficient data are available to demonstrate that it does not meet the criteria listed in Annex 1 should be transferred to Appendix II only in accordance with the relevant precautionary measures listed in Annex 4;
- h) any species included in Appendix II in accordance with Article II, paragraph 2(a), that does not meet the criteria listed in Annex 2a should be deleted only in accordance with the relevant precautionary measures listed in Annex 4; and species included in accordance with Article II, paragraph 2(b), because they look like the species subject to the deletion, or for a related reason, should also be deleted only in accordance with the relevant precautionary measures; and
- i) the views, if any, of intergovernmental organizations with competence for the management of the species concerned should be taken into account;

RESOLVES that proposals to amend Appendices I and II should be based on the best information available and presented in the format in Annex 6, unless otherwise justified;

RESOLVES that Parties should avoid the inclusion in Appendix II of species that are in international trade, but managed in such a manner that there is a negligible risk that, in the near future, the species will qualify for inclusion in Appendix II under the provisions of Annex 2a to this Resolution;

RESOLVES/RECOMMENDS that a species should normally not be included in Appendices I or II when the risk of a detrimental increase in trade as a result of the listing is considered to outweigh the conservation benefit of the listing;

RESOLVES that species subject to review under the provisions of Resolution Conf. 8.9 (Rev.) should not normally be transferred to Appendix I, or being subjected to a zero quota established by the Conference of the Parties:

- a) until the completion of the review process has demonstrated that there is a need to do so; or
- b) unless the proponent demonstrates why the procedures outlined in Resolution Conf. 8.9 (Rev.) are not sufficient and an Appendix-I listing is warranted;

RESOLVES that annotations to proposals to amend Appendix I or Appendix II should be made in accordance with the applicable Resolutions of the Conference of the Parties;

ENCOURAGES Parties, when sufficient and relevant biological data are available, to include a discussion of appropriate quantitative analysis in the supporting statement of an amendment proposal;

RESOLVES that, to monitor the effectiveness of protection offered by the Convention, the status of species included in Appendices I and II should be regularly reviewed by the range States and proponents, in collaboration with the Animals Committee or the Plants Committee, subject to the availability of funds;

URGES Parties and co-operating organizations to provide financial and technical assistance, when requested, in the preparation of proposals to amend the appendices, the development of management programmes, and the review of the effectiveness of the inclusion of species in the appendices. Parties should be open to using other available international mechanisms and instruments for these purposes in the broader context of biodiversity; and

REPEALS the Resolutions listed hereunder:

- a) Resolution Conf. 1.1 (Berne, 1976) - Criteria for the Addition of Species and Other Taxa to Appendices I and II and for the Transfer of Species and Other Taxa from Appendix II to Appendix I;
- b) Resolution Conf. 1.2 (Berne, 1976) - Criteria for the Deletion of Species and Other Taxa from Appendices I and II;
- c) Resolution Conf. 2.17 (San José, 1979) - Format for Proposals to Amend Appendix I or II;
- d) Resolution Conf. 2.19 (San José, 1979) - Criteria for Addition of Extremely Rare Species to Appendix I;
- e) Resolution Conf. 2.20 (San José, 1979) - The Use of the Subspecies as a Taxonomic Unit in the Appendices;
- f) Resolution Conf. 2.21 (San José, 1979) - Species Thought to Be Extinct;
- g) Resolution Conf. 2.22 (San José, 1979) - Trade in Feral Species;
- h) Resolution Conf. 2.23 (San José, 1979) - Special Criteria for the Deletion of Species and Other Taxa Included in Appendix I or II without Application of the Berne Criteria for Addition;
- i) Resolution Conf. 3.20 (New Delhi, 1981) - Ten-year Review of the Appendices;
- j) Resolution Conf. 4.26 (Gaborone, 1983) - Ten-year Review of the Appendices;
- k) Resolution Conf. 7.14 (Lausanne, 1989) - Special Criteria for the Transfer of Taxa from Appendix I to Appendix II; and
- l) Resolution Conf. 8.20 (Kyoto, 1992) - Development of New Criteria for Amendment of the Appendices.

Annex 1

Biological Criteria for Appendix I

The following criteria must be read in conjunction with the definitions, notes and guidelines listed in Annex 5.

A species is considered to be threatened with extinction if it meets, or is likely to meet, **at least one** of the following criteria.

- A. The wild population has a restricted area of distribution and is characterized by **at least one** of the following:
 - i) fragmentation or occurrence at very few locations; or
 - ii) large fluctuations in the area of distribution or the number of sub-populations; or
 - iii) a high vulnerability due to the species' biology or behaviour (including migration); or
 - iv) an observed, inferred or projected decrease in any one of the following:
 - the area of distribution; or
 - the number of sub-populations; or
 - the number of individuals; or
 - the area or quality of habitat; or
 - reproductive potential; or
 - recruitment/reproductive success or reproductive potential.

- B. The wild population is small, and is characterized by **at least one** of the following:
- i) each sub-population being very small; or
 - ii) a majority of mature individuals, during one or more life-history phases, being concentrated in one sub-population; or
 - iii) large short-term fluctuations in the number of mature individuals; or
 - iv) a high vulnerability due to the species' biology or behaviour (including migration).
- C. A marked decline in the number of individuals in the wild, which has been either:
- i) observed as ongoing or as having occurred in the past (but with a potential to resume); or
 - ii) inferred or projected on the basis of any one of the following:
 - a decrease in area or quality of habitat; or
 - levels or patterns of exploitation; or
 - threats from extrinsic factors such as the effects of pathogens, competitors, parasites, predators, hybridization, introduced species and the effects of toxins and pollutants; or
 - decreasing reproductive potential; or
 - decreasing recruitment/reproductive success or reproductive potential.

Annex 2a

Criteria for the Inclusion of Species in Appendix II in Accordance with Article II, Paragraph 2(a)

The following criteria must be read in conjunction with the definitions, notes and guidelines listed in Annex 5.

A species should be included in Appendix II when, on the basis of available information on the status and trends of the wild population(s), any of the following criteria is met:

- A. It is known or can be projected that unless the international trade in the species is subject to strict regulation, it is likely to satisfy one or more of the biological criteria for inclusion in Appendix I in the near future; or
- B. It is known or can be projected that strict regulation of international trade is required to ensure that harvests of specimens from the wild for international trade do not negatively influence the status of the wild populations to such a degree that criterion A above would apply; or
- C. An Appendix-II listing will enable any Party, in particular range States of the species, to limit use of the species to a level that can be maintained in perpetuity, and for which international co-operation is necessary.

Annex 2b

Criteria for the Inclusion of Species in Appendix II in Accordance with Article II, Paragraph 2(b)

Species should be included in Appendix II in accordance with Article II, paragraph 2(b), if they satisfy the following criterion.

- A. The specimens of a species in the form in which they are traded resemble specimens of a species included in Appendix II under the provisions of Article II, paragraph 2(a), or in Appendix I, for which the proponent has demonstrated that a non-expert, using basic identification materials, is unlikely to be able to distinguish between them.

Annex 3

Special Cases

Split-Listing

Listing of a species in more than one appendix should be avoided unless it relates to the down-listing of a population from Appendix I to Appendix II in accordance with the precautionary measures contained in paragraph A of Annex 4 to this Resolution.

When split-listing does occur, this should generally be on the basis of national or continental populations, and should not result in some populations being outside the Appendices.

For species outside the jurisdiction of any State, listing in the appendices should use the terms used in other relevant international agreements, if any, to define the population. If no such international agreement exists, then the appendices should define the population by region or by geographic co-ordinates.

Taxonomic names below the species level should not be used in the appendices unless the taxon in question is highly distinctive and the use of the name would not give rise to enforcement problems.

Higher Taxa

If all species of a higher taxon are included in Appendix I or II, they should be included under the name of the higher taxon. If some species in a higher taxon are included in Appendix I or II and all the rest in the other appendix, the latter species should be included under the name of the higher taxon, with an appropriate annotation.

Annex 4

Precautionary Measures

- A. 1. No species listed in Appendix I shall be removed from the appendices unless it has been first transferred to Appendix II, with monitoring of any impact of trade on the species for at least two intervals between meetings of the Conference of the Parties.
2. Species included in Appendix I should only be considered for transfer to Appendix II if they do not satisfy the relevant criteria in Annex 1. Even if such species do not satisfy the relevant criteria in Annex 1, they should be retained in Appendix I unless they satisfy one of the following criteria:
- a) the species is not in demand for international trade, nor is its transfer to Appendix II likely to stimulate trade in, or cause enforcement problems for, any other species included in Appendix I; or
 - b) the species is likely to be in demand for trade, but its management is such that the Conference of the Parties is satisfied with:
 - i) implementation by the range States of the requirements of the Convention, in particular Article IV; and
 - ii) appropriate enforcement controls and compliance with the requirements of the Convention; or
 - c) an integral part of the amendment proposal is an export quota approved by the Conference of the Parties, based on management measures described in the supporting statement of the amendment proposal, provided that effective enforcement controls are in place; or
 - d) an integral part of the amendment proposal is an export quota approved by the Conference of the Parties for a specified period of time, based on management measures described in the

supporting statement of the amendment proposal, provided that effective enforcement controls are in place; or

- e) a ranching proposal is submitted consistent with the applicable Resolutions of the Conference of the Parties and is approved.
3. No proposal for transfer of a species from Appendix I to Appendix II shall be considered from a Party that has entered a reservation for the species in question, unless that Party agrees to remove the reservation within 90 days of the adoption of the amendment.
 4. A species should be deleted from Appendix II when it no longer qualifies under the provisions of Annexes 2a and 2b of this Resolution and therefore implementation of the provisions of Article IV of the Convention is no longer required.
- B. The following review procedures shall apply when a species is transferred to Appendix II pursuant to paragraphs A2c and A2d above.
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.
 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.
- C. If the proponent Party wishes to renew, amend or delete a quota established pursuant to paragraph A2d above, it shall submit an appropriate proposal for consideration at the next meeting of the Conference of the Parties. In anticipation of there being no such proposal submitted, the Depository Government shall submit a proposal for consideration at the next meeting of the Conference of the Parties to impose a zero quota.
- D. Species that are regarded as possibly extinct should not be deleted from Appendix I if they may be affected by trade in the event of their rediscovery; these species should be annotated in the appendices as "p.e." (i.e. possibly extinct).

Annex 5

Definitions, Notes and Guidelines

Area of distribution

Area of distribution is defined as the area contained within the shortest continuous imaginary boundary which can be drawn to encompass all the known, inferred or projected sites of occurrence, excluding cases of vagrancy (though inferring and projecting area of occurrence should be undertaken carefully, and in a precautionary manner). The area within the imaginary boundary should, however, exclude significant areas where the species does not occur, and so in defining area of distribution, account should be taken of discontinuities or disjunctions in the spatial distribution of species. For migratory species, the area of distribution is the smallest area essential at any stage for the survival of that species (e.g. colonial nesting sites, feeding sites for migratory taxa, etc.). For some species in trade where data exist to make an estimate, a figure of less than 10,000 km² has been found to be an appropriate guideline (not a threshold) of what constitutes a restricted area of distribution. However, this figure is presented only as an example, since it is impossible to give numerical values that are applicable to all taxa. There will be many cases where this numerical guideline does not apply.

Decline

A decline is a reduction in the number of individuals, or a decrease of the area of distribution, the causes of which are either not known or not adequately controlled. It need not necessarily still be continuing. Natural fluctuations will not normally count as part of a decline, but an observed decline should not be considered part of a natural fluctuation unless there is evidence for this. A decline that is the result of a harvesting programme that reduces the population to a planned level, not detrimental to the survival of the species, is not covered by the term "decline". For some species in trade where data exist to make an estimate, a decrease of 50% or more in total within 5 years or two generations, whichever is the longer, has been found to be an appropriate guideline (not a threshold) of what constitutes a decline. A guideline (not a threshold) of what constitutes a decline in a small wild population could be 20% or more in total within ten years or three generations, whichever is the longer. However, both these figures are presented only as examples, since it is impossible to give numerical values that are applicable to all taxa. There will be many cases where these numerical guidelines do not apply.

Extended period

The meaning of the term extended period will vary according to the biological characteristics of the species. Selection of the period will depend upon the observed pattern of natural fluctuations in the abundance of the species and on whether the number of specimens removed from the wild is consistent with a sustainable harvesting programme that is based on these natural fluctuations.

Fragmentation

Fragmentation refers to the case where most individuals within a taxon are found in small and relatively isolated sub-populations, which increases the probability that these small sub-populations will become extinct and the opportunities for re-establishment are limited. For some species in trade where data exist to make an estimate, an area of distribution of 500 km² or less for each subpopulation has been found to be an appropriate guideline (not a threshold) of what constitutes fragmentation. However, this figure is presented only as an example, since it is impossible to give numerical values that are applicable to all taxa. There will be many cases where this numerical guideline does not apply.

Generation

Generation is measured as the average age of parents in the population; except in the case of species that breed only once a lifetime, this will always be longer than the age at maturity.

Large fluctuations

Large fluctuations occur in a number of species where the population size or area of distribution varies widely, rapidly and frequently, with a variation greater than one order of magnitude. For some species in trade where data exist to make an estimate, a figure of two years or less has been found to be an appropriate guideline (not a threshold) of what constitutes a short-term fluctuation. However, this figure is presented only as an example, since it is impossible to give numerical values that are applicable to all taxa. There will be many cases where this numerical guideline does not apply.

Population

Population is measured as the total number of individuals of the species (as defined in Article I of the Convention). In the case of species biologically dependent on other species for all or part of their life cycles, biologically appropriate values for the host species should be chosen. For some species in trade where data exist to make an estimate, a figure of less than 5,000 individuals has been found to be an appropriate guideline (not a threshold) of what constitutes a small wild population. However, this figure is presented only as an example, since it is impossible to give numerical values that are applicable to all taxa. There will be many cases where this numerical guideline does not apply.

Possibly extinct

A species is presumed extinct when exhaustive surveys in known and/or suspected habitat, and at appropriate times (diurnal, seasonal, annual), throughout its historic range have failed to record an individual. Before a species can be declared possibly extinct, surveys should take place over a time frame appropriate to the species's life cycle and life form.

Sub-populations

Sub-populations are defined as geographically or otherwise distinct groups in the population between which there is little exchange. For some species in trade where data exist to make an estimate, a figure of less than 500 individuals has been found to be an appropriate guideline (not a threshold) of what constitutes a very small sub-population. However, this figure is presented only as an example, since it is impossible to give numerical values that are applicable to all taxa. There will be many cases where this numerical guideline does not apply.

Threatened with extinction

Threatened with extinction is defined by Annex 1. The vulnerability of a species to threats of extinction depends on its population demographics, biological characteristics, such as body size, trophic level, life cycle, breeding structure or social structure requirements for successful reproduction, and vulnerability due to aggregating habits, natural fluctuations in population size (dimensions of time and magnitude), residency/migratory patterns. This makes it impossible to give numerical values for population size or area of distribution that are applicable to all taxa.

Annex 6

Format for proposals to amend the Appendices

The following provides information and instructions for the submission of a proposal to amend the appendices and the appropriate supporting statement. Proponents should be guided by the need to provide to the Conference of the Parties sufficient information, of sufficient quality and in sufficient detail, to allow it to judge the proposal against the criteria established for the proposed action. Parties are reminded that proposals should normally be limited to 12 pages (exclusive of references cited). This means that the relevant published and unpublished sources of information should be used, although for some species the amount of scientific information will be limited. Where research has been undertaken specifically to obtain information for the proposal, it should be presented in sufficient detail to be assessed by the Parties. Furthermore, this means that it may not be possible to address all elements of the proposal format.

A. Proposal

The proponent should indicate the specific amendment to the Appendices being proposed and any relevant annotations or qualifications proposed.

- Inclusion in Appendix I. Specify which of the criteria in Annex 1 of the Resolution are satisfied
- Inclusion in Appendix II. Specify which of the criteria in Annex 2 of the Resolution are satisfied
 - in accordance with Article II 2(a)
 - in accordance with Article II 2(b)
 - for reasons of look-a-like problems (in this case, the name of the similar species already included in the appendices should be given in section C7 Additional Remarks)
 - for other reasons (such as those referred to in Annex 3 to this Resolution)

- Transfer from Appendix I to Appendix II in accordance with a precautionary measure specified in Annex 4 to this Resolution. Specify which of the criteria in Annex 2 of this Resolution are satisfied; specify why the criteria in Annex 1 of this Resolution are no longer satisfied; specify which of the criteria and factors in Annex 4 of this Resolution are satisfied or implemented
- Deletion from Appendix II. Specify why the criteria in Annex 2 of this Resolution are not satisfied
- Other action (provide explanation)

Annotations

If a specific substantive annotation to the listing in the Appendices is proposed, the proponent should address:

Whether the proposed annotation is in compliance with Resolution Conf. 11.20; and

The practical intent of the annotation.

B. Proponent

The proponent may only be a Party to the Convention, in accordance with Article XV of the Convention.

C. Supporting Statement

1. Taxonomy

The proponent should provide sufficient information to allow the Conference of the Parties to identify clearly the taxon that is the subject of the proposal.

1.1 Class

1.2 Order

1.3 Family

1.4 Genus, species or subspecies, including author and year

If the species concerned is included in one of the standard lists of names or taxonomic references adopted by the Conference of the Parties, the name provided by that reference should be entered here. If the species concerned is not included in one of the adopted standard references, the proponent should provide references as to the source of the name used.

1.5 Scientific synonyms

1.6 Common names

The proponent should provide information on other scientific names or synonyms under which the species concerned may be known currently, especially if these names are used in the trade in the species.

1.7 Code numbers

If the species concerned is already included in the appendices, refer to the code numbers in the CITES Identification Manual.

2. Rationale

2.1 Overview

Provide a brief overview of key elements of the proposal. Parties may wish to cite key sections of the supporting statement.

2.2 Compliance with the criteria

Provide a brief summary of the relevant criteria in this Resolution and how the taxon complies with those criteria. In the case of a transfer from Appendix I to II, the proponent should address both the Appendix II criteria satisfied and why the Appendix I criteria are no longer satisfied. Parties may wish to cite key sections of the supporting statement.

3. Species Overview

The information required in this section is a summary of surveys, literature searches, and relevant studies. The references used must be listed in section 12 of the proposal. It is understood that the quality of the information available will vary a lot, but these instructions indicate the type of information that is required. If the proposal relates to a geographically separate population or subspecies, it should consider the biological species in its entirety for appropriate context, as well as draw attention to any significant parameters relevant to the entity covered by the proposal.

3.1 Distribution

Specify the current range of the species. If possible, provide information to indicate whether or not the distribution of the species is continuous and, if it is not, indicate to what degree it is fragmented.

3.2 Habitat

Specify the types of habitats occupied by the species and, when relevant, the degree of habitat specificity.

3.3 Biological characteristics

Provide a summary of general biological and life history characteristics of the species, particularly those that are relevant to population dynamics or to this proposal (*e.g.*, reproduction, recruitment, survival rate, immigration, emigration, sex ratio, regeneration, reproductive strategies).

3.4 Role of the species in its ecosystem

Give information about the role of this species in its ecosystem, and other relevant ecological information, as well as the potential impact of this proposal on that role.

4. Status and trends

This section includes qualitative and quantitative information which allow past and present trends to be evaluated pursuant to the criteria. The sources used must be referenced in section 12. of the proposal. It is understood that the quality of the information available will vary, but these instructions indicate the type of information that is required. If the proposal relates to a geographically separate population or subspecies, it should consider the biological species in its entirety for appropriate context, as well as draw attention to any significant parameters relevant to the entity covered by the proposal. If available, the proposal should include any relevant quantitative analyses, stock assessments, etc. When noting status and trends, the proposal should note whether conclusions are based on observations, inferences, or projections.

4.1 Population size

Give an estimate of the current total population or number of individuals, or other indices of population abundance, based on the most recently available data. Where appropriate to the proposal of the criteria used, provide the number of sub-populations, and their estimated sizes.

4.2 Population trends

Basic, quantitative information should be provided on current trends in the species's abundance whether the population of the species is increasing, stable or declining, and past trends in the species's abundance, when available. The period over which these trends, if any, have been measured should be indicated. If the species naturally undergoes marked fluctuations in population size, information should be provided to demonstrate that the trend transcends natural fluctuations. If generation-time has been used in estimating the trend, state how the generation-time has been estimated.

4.3 Population structure

Provide basic information on the current structure of the population and any past or current changes over time in that structure (*e.g.*, population demographics, proportion of mature individuals, sex ratio).

4.4 Geographic trends

Basic, quantitative information should be provided on current trends in the species's distribution [whether the species' area of distribution is increasing, stable or declining], and past trends in the species's area of distribution, when available. The period over which these trends, if any, have been measured should be indicated. If relevant give data on the degree and periodicity of fluctuations in the area of distribution.

4.5 Habitat trends

Give information on the nature, rate and extent of habitat change (*e.g.*, loss, degradation, or modification), noting when applicable the degree of fragmentation and discernable changes in the quality of habitat. Where appropriate, the relationship between habitat and population trends should be described.

5. Threats

Specify the nature, intensity and relative importance of threats (*e.g.* habitat loss and/or degradation; over-exploitation; effects of introduced species, competitors, pathogens, parasites, predators, hybridization, toxins and pollutants; etc.). Discuss in particular the relative importance of exploitation for international trade as a threat to the species in question.

6. Utilization and Trade

6.1 National utilization

Specify the types and extent of all uses of the species, indicating trends if possible. Provide details of harvest methods. Indicate the extent to which utilization is from captive-bred, artificially propagated, or wild specimens.

Provide details of any stockpiles known to exist, and the measures that might be taken to dispose of them.

6.2 Legal trade

Quantify the level of international trade, identifying the source of statistics used (e.g. Customs statistics, CITES annual report data, FAO data, industry reports, etc.). Provide justification for inferences made about trade levels. Provide information about the nature of the trade (e.g. primarily for commercial purposes, primarily live specimens, primarily parts and derivatives, primarily of captive-bred or artificially propagated specimens, etc.) and about how the proposed amendment is expected to affect the nature of the trade. Discuss which parts and derivatives are or will be primarily in trade.

Assess the importance of the offtake and the relationship between national and international trades.

6.3 Illegal trade

To the extent possible, quantify the level of illegal trade, nationally and internationally, and describe its nature. Assess the relative importance of this trade as it relates to legal offtake for national use or legal international trade. Provide information on how the proposed amendment is expected to affect the nature of the trade.

6.4 Actual or potential trade impacts of the proposal

Comment on the actual or potential trade impacts of the proposed amendment on the species in question.

7. Legal status

7.1 National

Provide details of legislation relating to the conservation of the species, including its habitat, either specifically (such as endangered species legislation) or generally (such as legislation on wildlife and accompanying regulations). Indicate the nature of legal protection (i.e. is the species totally protected, or whether harvesting is regulated or controlled). Provide an assessment of the effectiveness of this legislation in ensuring the conservation of the species.

Provide similar information relating to legislation governing the management of trade in the species in question. Provide an assessment of the effectiveness of this legislation in controlling illegal trade in the species.

7.2 International

Provide details of international instruments relating to the species in question, including the nature of the protection afforded by such instruments. Provide an assessment of the effectiveness of these instruments in ensuring the conservation of the species.

Provide similar information on international instruments relating to the management of trade in the species in question. Provide an assessment of the effectiveness of these instruments in controlling illegal trade in the species.

8. Species management

8.1 Management measures

Provide details of programs in place in the range States to manage populations of the species in question (e.g. controlled harvest from the wild, captive breeding or artificial propagation, reintroduction, ranching, quota systems, etc.). Include, where appropriate, details such as planned harvest rates, planned population sizes, mechanisms and criteria for the establishment and implementation of quotas, etc.

Where applicable, provide details of any mechanisms used to ensure a return from utilization of the species in question to conservation and/or management programmes (e.g. pricing schemes, community ownership plans, export tariffs, etc.).

8.2 Population monitoring

Provide details of programmes in place to monitor the status of wild populations and the sustainability of offtake from the wild.

8.3 Control measures

8.3.1 International control measures

Provide information on measures in place, in addition to CITES, to control the movement of specimens of the species in question across international borders. Include information about marking schemes in place, if any.

8.3.2 Domestic control measures

Provide information regarding controls in the range States aimed at ensuring a sustainable harvest from the wild of the species in question. Include information on education, compliance and enforcement activities as appropriate and an assessment of the effectiveness of the programmes.

8.4 Captive breeding

Where applicable, provide details of commercial captive breeding or artificial propagation operations for the species in question within the country in question, including the size of captive stocks and the production, and the extent to which these operations are either contributing to a conservation programme or meeting a demand that would otherwise be met by specimens from the wild. Discuss any management implications of captive breeding or artificial propagation programs. Also provide information on the extent of captive breeding or artificial propagation outside the country or countries of origin to the extent possible.

8.5 Habitat conservation

Provide details of programs in place in the range States to protect the habitat of the species in question, both inside and outside protected areas. Provide details about the nature of the protection offered by the programmes in question.

8.6 Safeguards

In the case of downlisting or delisting proposals, or of proposals involving substantive annotations, address any relevant safeguards.

If the proposed amendment is likely to lead to an increase in trade in the species concerned, explain why this would not result in unsustainable trade in similar species.

9. Information on similar species

Give the names of species of which specimens in trade look very similar, state how they may be distinguished, based on the commodities or parts and derivatives most common in trade, and explain whether or not it is reasonable to expect an informed non-expert to be able to make a firm identification. Outline measures that would need to be taken to handle potential difficulties in distinguishing specimens of this species from those of similar species.

10. Other Comments

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.

In cases of consultation with Parties via the CITES Secretariat, information from range States and non-range States should be separated.

In the case of species that are also managed through other international agreements or intergovernmental bodies, provide details of the consultations undertaken to obtain the comments of those organizations or bodies, and indicate how those comments have been addressed in the supporting statement. Where comments were sought but not received in sufficient time to enable their inclusion in the supporting statement, this should be noted, as well as the date of the request.

11. Additional Remarks

12. References