

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



Twentieth meeting of the Plants Committee
Dublin (Ireland), 22-30 March 2012

SUMMARY RECORD

Plants Committee matters

1. Opening of the meeting

Participants in the meeting were welcomed by the Chair of the Plants Committee (Ms Clemente), the Chair of the Animals Committee (Mr Ibero), the Secretary-General of CITES (Mr John Scanlon) and the Minister for Arts, Heritage and the Gaeltacht of Ireland, Mr Jimmy Deenihan.

2. Rules of Procedure

The Secretariat introduced document PC20 Doc. 2.

The Committee confirmed the validity of the Rules of Procedure in the Annex to document PC20 Doc. 2.

No intervention was made during discussion of this item¹.

3. Adoption of the agenda and working programme

3.1 Agenda

The Chair introduced document PC20 Doc. 3.1.

After changing the title of agenda item 16.1.1 from *Report of Mexico* to *Report of the working group*, the Committee adopted the agenda presented in document PC20 Doc. 3.1.

During discussion of this item, an intervention was made by the regional representative of North America (Mr Benítez).

3.2 Working programme

The Chair introduced document PC20 Doc. 3.2 (Rev. 1).

After agreeing to discuss document PC20 Doc. 15.1 [*Timber species, medicinal plants and agarwood-producing species (Decisions 15.26 and 15.27) – Report of the working group*] in the afternoon of 26 March, in conjunction with document PC20 Doc. 17.2.1 [*Agarwood-producing taxa (Decision 15.94)*], the Committee adopted the working programme in document PC20 Doc. 3.2 (Rev. 1).

¹ As the Chair of the Plants Committee and the Secretariat intervened on all items not discussed in joint session with the Animals Committee, their names are not included in the lists of speakers at the end of those items.

During discussion of this item, an intervention was made by the regional representative of North America (Mr Benítez) and the nomenclature specialist (Mr McGough).

4. Admission of observers

The Secretariat introduced document PC20 Doc. 4.

With the inclusion of Ajmal Perfumes under National organizations in paragraph 2, the Committee noted the list of observers in document PC20 Doc. 4.

No intervention was made during discussion of this item.

Items discussed with the Animals Committee

The Chair of the Plants Committee (PC), the Chair of the Animals Committee (AC), the Secretary-General and the Irish Minister for Arts, Heritage and the Gaeltach, Mr Jimmy Deenihan, welcomed the participants to the joint sessions of the 26th meeting of the Animals Committee and the 20th meeting of the Plants Committee.

5. Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES) (Decision 15.12)

The Secretariat introduced document AC26/PC20 Doc. 5, drawing attention to the meeting of the Chairs of the Scientific Advisory Bodies of Biodiversity-related Conventions (CSAB) that would be held later in the week. This meeting would give an opportunity to prepare a joint statement for the second session of the plenary meeting of IPBES, and the possible work programme of the Platform presented in the Annex to document AC26/PC20 Doc. 5. The Secretariat also thanked the representative of Mexico (Mr Benitez) for its participation in the first plenary meeting of IPBES in Nairobi (2011).

Mexico, supported by the AC representative of Europe (Mr Fleming), emphasized the importance of CITES representation both in the establishment of IPBES and in its evolution in the future, and reiterated its support for a mutual collaboration between CITES and IPBES. Additionally, it mentioned the importance of guaranteeing a two-way relationship, as user-beneficiary and also as supplier of elements useful to the platform, in order to achieve common objectives and avoid duplications.

The PC representatives of Central and South America and the Caribbean (Ms Rivera) proceeded with reading out the following statement on behalf of the Plurinational State of Bolivia, which had requested that it be included in the record of the meeting:

When the delegation of the Plurinational State of Bolivia participated in the 19th meeting of the Plants Committee, 25th meeting of the Animals Committee and 61st meeting of the Standing Committee, it expressed its concern at the excessively commercial emphasis that had surrounded the debates on this Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES).

There is a clear intention to implement new market mechanisms and new types of rights of ownership of the services provided by nature, on the pretext of protecting biodiversity and conserving the functions of ecosystems. There is talk, for example, of payment mechanisms for ecosystem services, of assigning a monetary value to the functions of nature and to biodiversity in general, and of establishing new markets for nature, taking as a model the emerging markets for forests' capacity for carbon sequestration and storage.

Ecosystems have an intrinsic value, which cannot be calculated in monetary terms, and we stress that no instrument to conserve the biodiversity of our countries can be based on the commercialization of nature. For that reason, we oppose any plan to use the Platform as a mechanism to further the mandatory implementation of ecosystem markets, especially for those countries that do not share this approach.

In the view of Bolivia, dealing with the topic of the planet's biodiversity requires a high degree of care and profound thought, because we are making plans concerning an invaluable treasure which must remain in being to conserve and protect Mother Earth and all the beings that live on her. We are confident that, with contributions from all Member States the Platform on environmental and ecosystem services can become a useful instrument, contributing to tackling the underlying and structural causes which so far have brought about irreparable deterioration and losses of biodiversity.

In addition, we consider that, instead of this Platform concentrating on the commercialization of our Mother Earth by way of a monetary valuation, it should consider:

- Providing on an exclusive basis a scientific assessment which is authorized, independent, reliable and inclusive, similar to that of the IPCC, thus making a very positive contribution to the establishment of a more meaningful interface between science and politics, one which should contribute to the taking of more effective and equitable decisions, with equality of opportunities and the concerted action of decision-makers and populations to halt environmental degradation and the unrestrained exploitation of resources.*
- The need to include best practices of indigenous peoples and local communities, which possess knowledge and practices that are very important for the conservation of biological diversity, based on their wisdom handed down over thousands of years, and on respect for our Mother Earth. This wisdom is expressed in their usages, customs, local knowledge, experiences and principles, passed down from generation to generation.*
- An integral/holistic analysis of ecosystems that does not disaggregate or fragment the components of nature, given the interdependence among them.*
- The approach must be wide-ranging, and there is a need for methodologies for real implementation of actions. Evaluations should therefore be directed towards estimating the costs of conserving and/or preserving environmental integrity, as well as the costs of the losses and impacts and also the costs of rehabilitation and compensation for lost development opportunities.*
- The debate on recognition of the rights of Mother Earth is urgent and indispensable, as is an in-depth study of ecosystems' capacity for regeneration.*
- Taking a role of coordination and exchange of information between the various conventions, with the full participation of the States Party. In this context, it is important to stress the need to analyse the relationship which would exist between the Committees and the Parties on the one hand and the IPBES on the other, and the benefit that would be obtained from it, although not from a commercial view of biodiversity but rather from a strictly scientific point of view directed towards caring for it, promoting the defence of it and planning actions to balance the current conditions of deterioration.*

The Plurinational State of Bolivia is committed to working in this area, given that we have the best of reasons to make efforts in a constructive and positive manner with the objective of achieving a fair and balanced legal framework for all the beings that live on the planet, for the benefit of all, in particular the developing countries. For that reason, we stress that the work must take place under the rules of consensus and with equal participation by all countries.

The Committees established a drafting group (AC26/PC20 DG1) with the following mandate:

On the basis of discussion in the plenary and contributions from the Chairs, as well as the Secretariat, finalize the wording of a draft statement that CITES could make at the 5th meeting of the Chairs of Scientific Advisory Bodies of Biodiversity-related Conventions and the second session of the IPBES plenary, whether individually or in coordination with the secretariats and scientific bodies of other biodiversity-related conventions.

The membership was decided as follows:

Co-Chairs: Plants Committee (PC) representative of North America (Mr Benítez) and Animals Committee (AC) representative of Europe (Mr Fleming); and

Members: PC representative of Asia (Ms Zhou), Chair of the Standing Committee and the Secretariat.

Later in the meeting, Mr Benítez introduced document AC26/PC20 DG1 Doc. 1.

The Committees adopted document AC26/PC20 DG1 Doc. 1 with the following amendments to the membership of the drafting group:

- Co-Chairs: PC representative of North America (Mr Benítez) and AC representative of Europe (Mr Fleming); and
- Members: China, Republic of Korea, Chair of the Standing Committee, the Convention on the Conservation of Migratory Species of Wild Animals (CMS) and the Secretariat.²

During discussion of this item, interventions were made by the AC representatives of Asia (Mr Pourkazemi) and Europe (Mr Fleming), the PC representatives of Africa (Mr Hafashimana), Asia (Ms Zhou), Central and South America and the Caribbean (Ms Rivera) and North America (Mr Benítez), and by China, Mexico Norway, the Chair of the Standing Committee, the AC and PC Chairs, IUCN, Humane Society International and the Secretariat.

6. Climate change (Decision 15.15) – Report of the joint working group

The AC representative of North America (Ms Caceres), as Co-Chair of the joint intersessional Working Group on Climate Change, presented document AC26/PC20 Doc. 6. She explained that the majority of members were of the opinion that the existing CITES provisions were sufficient to take into consideration the impacts of climate change, and that further specific guidance in that regard was not required. Nevertheless, five NGO members of the joint working group believed that such guidance would be needed, particularly for including species in CITES Appendices and making non-detriment findings.

The PC representatives of Central and South America and the Caribbean (Ms Rivera) proceeded with reading out the following statement on behalf of the Plurinational State of Bolivia, which had requested that it be included in the record of the meeting:

There is currently a strong consensus within the scientific community that climate change is happening much faster than in the most pessimistic scenarios, with severe and irreversible effects on wild species and the most vulnerable ecosystems in many regions, such as ecosystems in high mountain regions and in the Amazon basin. Climate change is already identified as a major threat factor for hundreds of CITES species, and at the same time some of its impacts may affect the way in which CITES carries out its function.

The most recent evaluations reported by the IPCC (Intergovernmental Panel on Climate Change) estimate that 20-30 % of the plants and animal species evaluated will probably be at greater risk of extinction if the rise in global average temperatures exceeds 1.5 – 2.5° C.

It is therefore imperative to take into account the impact of climate change, with particular attention to financing and capacity building to contribute to the sustainability of the use of wildlife. In the light of these risks, the CITES Parties must increasingly take the impacts of climate change into consideration in their decision-making processes, and particularly in the making of non-detriment findings.

Similarly, inadequate action in the control of trade in CITES species would have a serious effect on ecosystems' capacity for resilience and/or response under the impacts of climate change on biodiversity.

There is a need for a greater degree of research and fieldwork at regional level to study and implement actions of adaptation to or mitigation of the impacts of climate change in the context of transferring species between Appendices or in the making of non-detriment findings. The Convention should redouble its efforts in the raising of funding in order to measure the threat represented by climate change to those species that are listed in the CITES Appendices.

We recognize that the assessments provided by the Scientific Authority of the exporting countries, in relation to export permits, are based on a scientific review of the information available on population status, distribution, population trend, harvesting and other biological and ecological factors, as appropriate. However, climate change is clearly an ecological factor which should also be considered in this context, owing to the fact that CITES also requires that exports be regulated to maintain trade in species at a level consistent with their role in the ecosystems where they are found.

Most participants supported the approach and recommendations of the Working Group, concurring that no further action was required.

² The report of AC26/PC20 DG1 in its final adopted form is contained in Annex 1 to the present summary record.

The Committees agreed that the current provisions of the Convention and of Resolutions of the Conference of the Parties were sufficiently comprehensive and flexible to take into account the implications of climate change for science-based decision-making.

The Committees welcomed an initiative by the UNEP World Conservation Monitoring Centre (UNEP-WCMC) and partners, which are conducting an extensive literature review regarding the impacts of climate change on the population abundance of terrestrial vertebrates and plants, which may be relevant to the making of non-detriment findings as requested under Article IV of the Convention, and the adaptive management of many CITES-listed species.

The Committees requested that, on the basis of paragraphs 3 to 7 of document AC26/PC20 Doc. 6, the Co-Chairs of the joint working group on climate change, the AC representative of North America (Ms Caceres) and the United States of America, together with the Secretariat, prepare a report for submission at the 62nd meeting of the Standing Committee (SC62). The Committees agreed that with this, they had completed the work directed to them in Decision 15.15.

During discussion of this item, interventions were made by the AC representatives of Europe (Mr Fleming) and North America (Ms Caceres), the PC representatives of Central and South America and the Caribbean (Ms Rivera) and North America (Mr Benítez), and by Australia, Canada, China, Mexico, Norway, the AC and PC Chairs, European Union, UNEP-WCMC, Animal Welfare Institute, Humane Society International, WWF and the Secretariat.

7. Evaluation of the Review of Significant Trade [Decision 13.67 (Rev. CoP14)]

The Secretariat introduced document AC26/PC20 Doc. 7. TRAFFIC then presented the findings of its evaluation (in collaboration with IUCN) of six case studies of the Review of Significant Trade, contained in Annexes 3, 4 and 5 to that document.

The following general conclusions were highlighted:

- a) In all cases, the Review had led to significant changes in trade patterns for the species concerned, often entailing shifts in supply from one country to another. There was relatively little evidence that the review had led to shifts in supply to other CITES-listed species.
- b) In all cases, there had been changes to the management of the species in at least some range States, some of which could clearly be attributed to the Review. Most frequent were export controls, usually in the form of quotas. There was little evidence of large-scale shifts in production systems taking place as a result of the Review.
- c) It had been very difficult to assess changes in the status of wild populations of the species concerned, or to determine whether these could be attributed to the Review. There was a major gap in the long-term assessment of the impact of the Review, because it was often difficult and expensive to monitor wild populations of harvested species, and resources to carry out such work were limited in the range States concerned.
- d) Resolution Conf. 12.8 (Rev. CoP13) provided that financial support for implementing recommendations made under the Review were explicitly reliant on voluntary contributions from Parties and others. The Review had attracted funding for some of the case studies, including for survey work, development of sustainable harvest methods, and international cooperation and development of national action or management plans. But the question of long-term financing and capacity for implementing the Convention in at least some range States remained unresolved, and any positive impacts of the Review in these cases might be only temporary.
- e) The effectiveness of communications had considerable bearing on the progress of range States through the Review. There were instances where lack of response from range States has led to suspensions of trade, while it had subsequently become clear that harvest for trade was not an important factor in that range State, or that satisfactory non-detriment findings had been made but had not been communicated in a timely fashion. Conversely, rapid communication and evidence of some form of management in place was in itself not found to be evidence that harvest of the species for export was compliant with Article IV.

- f) A country-based approach could be more effective in the long term and a more efficient way of using resources when range States were the subject of Review recommendations for a range of different species.
- g) Within individual species, putting a stop to illegal harvests may be even more important than managing legal trade sustainably. Although outside the current remit of the Review, solving this problem could be the most important measure in ensuring that the provisions of Article IV were met. Again, this indicated that a more holistic approach may be advantageous.
- h) It seemed evident that one of the great strengths of the Review had been its ability to combine support (through financial and technical input) with the possibility of sanction (ultimately through recommended suspensions of trade).
- i) The Review had become more formalized with time, which delivered benefits in terms of transparency, accountability and engagement of stakeholders, but had been accompanied by the loss of some speed, flexibility and adaptability. There was a perception amongst some stakeholders that the process was unduly lengthy and rigid.

The Committees established a working group (AC26/PC20 WG2) to look at item 7 with the following mandate:

On the basis discussions in plenary and document AC26/PC20 Doc. 7, the working group shall:

1. examine the case studies presented in Annex 3 to document AC26/PC20 Doc. 7 and provide comments orally for the plenary;
2. determine the agenda and any instructions for the meeting of the advisory working group for the evaluation of the Review of Significant Trade to be held in June 2012;
3. prepare a roadmap for the preparation of the final report on the evaluation of the Review of Significant Trade for presentation to the 17th meeting of the Conference of the Parties; and
4. confirm the final membership of the advisory working group.

The membership of working group AC26/PC20 WG2 was decided as follows:

Co-Chairs: PC nomenclature specialist (Mr McGough) and AC representative of North America (Ms Caceres);

Members: AC representative of Asia (Mr Pourkazemi), PC representative of Africa (Mr Hafashimana), alternate AC representative of Europe (Mr Lörtscher);

Parties: Australia, Belgium, Canada, China, France, Indonesia, Ireland, Mexico, Netherlands, South Africa, Thailand, United Kingdom of Great Britain and Northern Ireland, United States and United Republic of Tanzania; and

IGOs and NGOs: European Union, IUCN, UNEP-WCMC, TRAFFIC, Pet Industry Joint Advisory Council, Humane Society International, WWF, Natural Resources Defence Council and Species Survival Network.

Later in the meeting, Ms Caceres introduced document AC26/PC20 WG2 Doc. 1.

The Committees agreed a number of amendments and additions to document AC26/PC20 WG2 Doc. 1, namely regarding the membership (names of the AC and PC representatives), Recommendation 2 (Draft agenda and Roadmap), and Recommendation 3 (include a chapeau statement). The Committees requested the Secretariat to produce a revised version of document AC26/PC20 WG2 Doc. 1 for later consideration.

Later in the meeting, the Chair of the Animals Committee introduced document AC26/PC20 WG2 Doc. 2, noting that all comments and proposed amendments had been included.

The Committees adopted document AC26/PC20 WG2 Doc. 2.³

During discussion of this item, interventions were made by the AC representatives of Asia (Mr Pourkazemi) and Europe (Mr Fleming), the PC representatives of Asia (Ms Zhou) and North America (Mr Benítez), and by the PC nomenclature specialist (Mr McGough), China, the AC and PC Chairs, TRAFFIC and the Secretariat.

8. Non-detriment findings

8.1 Implementation of Decision 15.23 on Non-detriment findings: background and links with Decisions 15.24, 15.26 and 15.27

The PC Chair, as Co-Chair of the joint Working Group on Non-Detriment Findings, introduced document AC26/PC20 Doc. 8.1 and provided an overview of the implementation of Decisions 15.23 to 15.27.

The Committees noted document AC26/PC20 Doc. 8.1.

No intervention was made during discussion of this item.

8.2 Summary report based on the responses to Notifications to the Parties [No. 2009/023, paragraph 1. f) of No. 2010/027 and No. 2011/004]

The PC Chair, as Co-Chair of the joint Working Group on Non-Detriment Findings, introduced document AC26/PC20 Doc. 8.2. She drew particular attention to the summary and conclusions in paragraphs 7 to 16.

Participants stressed the importance for all Parties to make robust Non-detriment findings. They acknowledged the considerable amount of information that Parties had provided on the making of non-detriment findings, and suggested that it should be made available to the Parties as guidance material.

The Committees agreed to refer document AC26/PC20 Doc. 8.2 to a working group.

During discussion of this item, interventions were made by the PC representatives of Asia (Ms Zhou) and Central and South America and the Caribbean (Ms Mites), and by the PC Chair.

8.3 Progress reports from Parties (Decision 15.23)

The Secretariat introduced document AC26/PC20 Doc. 8.3, including the responses from Parties to Notification No. 2011/049 of 10 November 2011 contained in its Annex. In ensuing discussions, reference was made to information document AC26/PC20 Inf. 1 concerning a workshop on the making of non-detriment findings organized by China.

The Committees noted document AC26/PC20 Doc. 8.3.

During discussion of this item, interventions were made by China and the PC Chair.

8.4 Draft guidance on the making of non-detriment findings

The AC Chair, as Co-Chair of the joint Working Group on Non-Detriment Findings, introduced document AC26/PC20 Doc. 8.4. He drew attention to its Annex, which listed a large variety of guidance and taxa-specific case studies for making non-detriment findings, and to the considerations in paragraph 8.

While recognizing the need to remain practical and pragmatic about the making of non-detriment findings, participants discussed possibilities to peer-review or formally publish information and research used in the process. They also recognized the need to improve access to relevant bibliographic databases, and develop or encourage user-friendly, accessible websites with information

³ The report of AC26/PC20 WG2 in its final adopted form is contained in Annex 2 to the present summary record.

relevant to the making of non-detriment findings, including the Parties' reports on non-detriment findings.

The Committees agreed to refer document AC26/PC20 Doc. 8.4 to a working group.

During discussion of this item, interventions were made by the AC representative of Asia (Mr Pourkazemi), the PC representatives of Central and South America and the Caribbean (Ms Rivera) and North America (Mr Benítez), and by China, Mexico, the AC and PC Chairs and Humane Society International.

8.5 Discussion paper on non-detriment findings

The AC Chair, as Co-Chair of the joint Working Group on Non-Detriment Findings, introduced document AC26/PC20 Doc. 8.5. He drew attention to the draft resolution in the Annex to this document, which could be submitted at CoP16, in compliance with Decision 15.24.

The participants generally agreed to the proposal from the Working Group to draft a resolution with non-prescriptive and non-binding guidance and principles for the making of non-detriment findings for submission at CoP16. Various suggestions for amending the draft in the Annex were made, including those proposed in information document AC26/PC20 Inf. 3, and it was agreed that all these proposals needed to be considered by a working group.

The Committees agreed to refer document AC26/PC20 Doc. 8.5 to a working group. They also agreed that the discussion paper that they would prepare for consideration at CoP16 in compliance with Decision 15.23 would include a draft resolution on the establishment of non-legally binding guidelines for the making of non-detriment findings.

During discussion of this item, an intervention was made by the AC representatives of Asia (Mr Pourkazemi) and North America (Ms Caceres), the PC representatives of Asia (Ms Zhou), Central and South America and the Caribbean (Ms Rivera) and North America (Mr Benítez), and by Australia, Canada, China, Japan, the United States, and the AC and PC Chairs.

The Committees established a working group (AC26/PC20 WG3) to look at item 8 with the following mandate:

The working group shall:

1. review and provide comments on the actions proposed in paragraphs 15 and 16 of document AC26/PC20 Doc. 8.2;
2. on the basis of document AC26/PC20 Doc. 8.4 and taking account of the results of the International Expert Workshop on Non-Detriment Findings (Cancún, November 2008) and the responses to Notification to the Parties No. 2009/023, paragraph 1 f) of Notification to the Parties No. 2010/027, Notification to the Parties No. 2011/004 and paragraph f) of Notification to the Parties No. 2011/049, prepare draft guidance on the making on non-detriment findings, which can be conveyed to Parties for comment, in line with paragraph d) iii) of Decision 15.24; and
3. on the basis of document AC26/PC20 Doc. 8.5, prepare a discussion paper for consideration at CoP16 with options on how to use the workshop outputs, including a draft resolution on the establishment of non-legally binding guidelines for the making of non-detriment findings.

The membership was decided as follows:

Co-Chairs: AC Chair (Mr Ibero) and PC Chair (Ms Clemente);

Members: AC Representatives: Africa, Asia, Central and South America and the Caribbean, Europe, North America and Oceania; PC Representatives: Africa, Asia, Central and South America and the Caribbean, North America and Oceania;

Parties: Australia, Brazil, Canada, Chile, China, Czech Republic, France, Germany, Iraq, Ireland, Japan, Kuwait, Madagascar, Malaysia, Mexico, Netherlands, Poland, Republic of Korea, Russian Federation, South Africa, Thailand, United Kingdom and United States; and

IGOs and NGOs: European Commission, IUCN, Association of Midwest Fish & Wildlife Agencies, Association of Northeast Fish & Wildlife Agencies, Association of Western Fish & Wildlife Agencies, Association of Fish & Wildlife Agencies, Conservation Force, Eurogroup for Animals, Humane Society International, Humane Society of the United States, Natural Resources Defense Council, Safari Club International Foundation, SSN, TRAFFIC International.

CITES Secretariat

Later in the meeting, the PC Chair reported on progress. AC26/PC20 Working Group 3 on non-detriment findings had not been able to fulfil its mandate within the allocated time frame and discussions on its recommendations, as presented in document AC26/PC20 WG3 Doc. 1, continued in plenary.

The Committees adopted document AC26/PC20 WG3 Doc. 1 with the following amendments:

Recommendations:

1. The Working Group concludes that point 1 is included in 3.
2. The Working Group concludes that the Annex to document Doc. AC26/PC20 Doc. 8.4 has to be submitted at CoP16 as ~~framework~~ reference and flexible examples for the Parties to make NDF.
3. Regarding point 3: the Working Group recommends the following draft resolution be adopted by the Animals and Plants Committees:

Non-detriment findings

RECOGNIZING that according to Articles II, III, and IV of the Convention, Parties shall only allow trade in specimens of species included in Appendices I and II in accordance with their provisions, it is required that an export permit shall only be granted when a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of the species being traded (i.e. non-detriment finding or NDF), which shall be considered an essential requirement for CITES implementation;

RECALLING also that Article IV, paragraph 3, requires a Scientific Authority of each Party to monitor exports of Appendix-II species and to advise the Management Authority of suitable measures to be taken to limit such exports in order to maintain such species throughout their range at a level consistent with their role in the ecosystem [and well above the level at which they would qualify for Appendix I];

NOTING that Resolution Conf. 14.7 (Rev. CoP15) recommends that, when Parties are establishing national voluntary export quotas, they should do so based on a non-detriment finding by the Scientific Authority of the State of export;

RECALLING furthermore that, in Resolution Conf. 10.3 (*Designation and role of the Scientific Authorities*), the Conference of the Parties recommends, amongst other things, that:

- c) Management Authorities not issue any export or import permit, or certificate of introduction from the sea, for species listed in the Appendices without first obtaining the appropriate Scientific Authority findings or advice;

and

- h) the findings and advice of the Scientific Authority of the country of export be based on the scientific review of available information on the population status, distribution, population trend, harvest and other biological and ecological factors, as appropriate, and trade information relating to the species concerned;

RECALLING that the effective implementation of Article IV, paragraphs 2 (a), 3 and 6 (a) will prevent the need to take appropriate actions according to Resolution Conf. 12.8 (Rev. CoP13) on the *Review of Significant Trade in specimens of Appendix-II species*;

NOTING that the great variety of taxa, life forms and biological characteristics of species included in Appendices I and II supports the idea that there are various ways a Scientific Authority can make non-detriment findings;

AWARE of the challenges Parties face when making scientifically-based non-detriment findings, and that guiding principles and experience sharing for making non-detriment findings would improve implementation of Articles III and IV of the Convention;

RECOGNIZING the outputs of the national and international/regional workshops on CITES non-detriment findings (China, Dominican Republic, Indonesia, Kuwait, Mexico, Nepal, Peru, etc.), the guidance for CITES Scientific Authorities produced by the IUCN and, other capacity-building workshops;

Note: It was agreed to mention in the preamble the CITES Strategic Vision in its updated version as appropriate [REAFFIRMING Objective 1.5 of the CITES Strategic Vision: 2008-2013 (Resolution Conf. 14.2) adopted by the Conference of the Parties at its 14th meeting (The Hague, 2007), that the best available scientific information is the basis for non-detriment findings].

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS that:

- a) Scientific Authorities consider the following, non-binding, guiding principles in advising that trade will, or will not, be detrimental to the survival of a species:

- i) The non-detriment findings for Appendix-I and -II species is a science-based assessment that verifies that the proposed export is not detrimental to the survival of that species.
- ii) The non-detriment finding considers whether the species is maintained throughout its range at a level consistent with its role in the ecosystems in which it occurs.
- iii) The data requirements for a non-detriment finding depend on the level of risk and shall be influenced by, and be proportionate, to the vulnerability of the target species.
- iv) The making of an effective non-detriment finding relies upon specimen verification and certainty of identification for all specimens.
- v) The origin of the specimen will affect the type of non-detriment finding assessment that is appropriate, and may simplify assessment of risk.
- vi) When making a non-detriment finding, the methodology used should employ flexibility that enables the specific and individual characteristics of different taxa to be considered.
- iv) vii) The implementation of adaptive management, including monitoring, is an important consideration in the non-detriment finding making process.
- v) viii) The non-detriment finding is based on resource assessment methodologies which may include consideration of, but not limited to:
 - a) A. species biology and life history characteristics;
 - b) B. species range – historic and current;
 - c) C. population structure, status and trends (nationally or in the harvested area); ~~threats;~~
 - D. ~~threats;~~
 - d) E. species-specific levels and patterns of harvest/mortality (e.g. age, sex) ~~from the export operation;~~ - historic and current;
 - e) F. estimates of species-specific levels of harvest/mortality from all sources combined;
 - f) G. management measures currently in place and proposed, including adaptive management strategies and consideration of ~~rates~~ levels of compliance; and
 - g) H. results of population monitoring.

~~When making an NDF the methodology used, should employ flexibility that enables the specific and individual characteristics of different taxa to be considered.~~

- vi) ix) The sources of information that may be considered by the Scientific Authorities, but not limited to, in making non-detriment finding includes:
 - a) A. relevant scientific literature concerning species biology, life history, distribution and population trends;
 - b) B. details of any ecological risk assessments conducted;
 - c) C. scientific surveys conducted at harvest locations and ~~related sites that the species could recruit from (i.e. demonstrated important habitat that has been~~ at sites protected from harvest and other impacts); and
 - d) D. relevant knowledge and expertise of local and indigenous communities.
- ~~vii) The NDF employs appropriate broad-scale assessment, including assessments of total off-take whether destined for international trade or not.~~

- b) Parties consider as framework reference for making non-detriment findings the information included in the Annex of AC26/PC20 Doc. 8.4 and any subsequent updates available on the CITES Website (<http://www.cites.org/eng/prog/ndf/index.php>).

ENCOURAGE Parties:

- a) to explore more methods of making non-detriment findings;
- b) to share experiences and examples of making non-detriment findings, including through appropriate regional or subregional workshops, and communicate them to the Secretariat ~~in time~~;
- c) to maintain written records of the science-based rationale included in the Scientific Authorities non-detriment finding assessments; and
- d) to offer, on request, cooperative assistance to developing countries, for improvement of capacity regarding non-detriment finding based on nationally identified needs. Such cooperative assistance could take multiple forms, including financial and technical support.

DIRECTS the Secretariat:

- a) to maintain and update regularly with information from the Animals ~~&~~ and Plants Committees and Parties, a prominent section, with appropriate categorization of the information, on the CITES web site devoted to the making of non-detriment findings;
- 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;
- c) to request that this information is accessible in the *Introduction to CITES and non-detriment findings* course in the CITES Virtual College; and
- ⇒ d) to assist identifying possible funding sources to help Parties implementing capacity building activities to make non-detriment findings.⁴

⁴ The report of AC26/PC20 WG3 in its final adopted form is contained in Annex 3 to the present summary record.

The Committees asked the Secretariat, in collaboration with the Chairs of the Committees, to finalize the editing and formatting of the agreed text of the draft resolution on *Non-Detriment Findings* based on recommendation 3 of document AC26/PC20 WG3 Doc. 1.

The Committees requested the Secretariat to issue a Notification to the Parties, inviting the Parties to comment on the finalized draft resolution on *Non-Detriment Findings*.

The Committees agreed that the comments of the Parties, as received by the Secretariat, would be forwarded to the Chairs of the Animals and Plants Committees. Should the contributions or proposed amendments prove to be minor and non-controversial, the Committees would endeavour to consolidate these in a revised version of a draft resolution on non-detriment findings for consideration at CoP16. Otherwise, the Committees would submit at CoP16 the existing draft resolution with a summary of the different responses that had been received.

During discussion of this item, interventions were made by the AC representatives of Asia (Mr Pourkazemi), Europe (Mr Fleming) and Oceania (Mr Robertson), the PC representative of Africa (Mr Hafashimana), and by Australia, Canada, China, Japan, South Africa, the United States, the AC and PC Chairs, European Union, Humane Society International, Humane Society of the United States, TRAFFIC, WWF and the Secretariat.

9. Capacity-building programme for science-based establishment and implementation of voluntary national export quotas for Appendix-II species (Decision 12.91) – Report of the joint working group

The AC representative of North America (Ms Caceres), as Co-Chair of the joint Working Group on Capacity-Building Programme for Science-Based Establishment and Implementation of Voluntary National Export Quotas for Appendix-II Species, introduced document AC26/PC20 Doc. 9. In connection with the recommendations in paragraphs 13 and 14, participants pointed out that various courses and workshops on the making of non-detriment findings already existed, including a course on the CITES website. The Secretariat thanked the Working Group for its comprehensive advice on improving this course.

The Committees adopted the recommendations in paragraphs 13 and 14, subparagraphs a) and b), of document AC26/PC20 Doc. 9, as follows:

- a) Request each Committee member to seek further examples/case studies from their region to provide to the Secretariat, in particular focusing attention on those countries with existing quotas that may have experiences or case studies to share.
- b) Request the Secretariat to consider the suggestions for improvement as outlined in Annex to this document [AC26/PC20 Doc. 9]
- c) Request the Secretariat to make available the contents of the CITES Virtual College in CD form for those without easy access to the CITES Virtual College via the Internet.

In relation to subparagraph c) of paragraph 14, the Committees noted that the CITES Virtual College contained a stand-alone course on the making on non-detriment findings, but recommended that it be updated and expanded.

They requested that the Co-Chairs of the joint Working Group (Ms Caceres and the United Kingdom):

- a) revise the recommendations in paragraph 14, subparagraph d), in light of the comments and discussion in plenary; and
- b) draft amendments to Resolution Conf. 11.1 (Rev. CoP15) on *Establishment of committees* and relevant Decisions in order to require the Animals and Plants Committees to provide on a permanent basis scientific advice on training materials used in capacity-building.

The Committees agreed that the report from the Co-Chairs would be considered later in the meeting in English only.

Later in the meeting, the United Kingdom introduced document AC26/PC20 Com. 1.

The Committees adopted document AC26/PC20 Com. 1 with the following amendment to paragraph 2, paragraph a): in the draft decision directed to the Secretariat, replace “request” by “invite”.⁵

During discussion of this item, interventions were made by the AC representative of North America (Ms Caceres), and by the United Kingdom, the AC and PC Chairs, and the Secretariat.

10. Revision of Resolution Conf. 14.8 on *Periodic Review of the Appendices*

The Secretariat introduced document AC26/PC20 Doc. 10.

Participants agreed that the current process for the Periodic Review of the Appendices was complex and slow, and that some parts of Resolution Conf. 14.8 were ambiguous, but there were reservations about suggestions to ‘automate’ the species selection to expedite or simplify the existing procedures.

The Committees adopted the suggestions in paragraph 2 of document AC26/PC20 Doc. 10 to improve the performance of the Periodic Review of the Appendices, and agreed that they should be considered in revising Resolution Conf. 14.8 on *Periodic Review of the Appendices*.

The Committees asked the participants to submit comments on, or propose amendments to Resolution Conf. 14.8 in writing to the Secretariat at the present joint sessions. They requested the Secretariat to prepare a document (in English only) on the basis of these contributions and the discussion in plenary, for consideration by the Committees later in the meeting.

Later in the meeting, and further to discussions and comments received at the present joint sessions, the Secretariat introduced a ‘non-paper’ outlining two options to revise Resolution Conf. 14.8 on *Periodic Review of the Appendices*: option 1 with amendments to the existing text of Resolution Conf. 14.8; and option 2 replacing the detailed instructions in the Resolution with a general mandate for the Animals and Plants Committees to develop and use any procedure they deemed appropriate.

The Committees decided that only option 1 should be discussed, as a proposal similar to option 2 had been rejected by the Conference of the Parties at its 15th meeting.

After hearing various suggestions to amend the text of Resolution Conf. 14.8 (specifically concerning paragraphs f), g) and h) under AGREES), the Committees concurred that it would not be feasible to revise in detail Resolution Conf. 14.8 during the present joint session. They requested the Secretariat to prepare a document during the lunch recess that listed the recommendations and issues concerning the Periodic Review of the Appendices that had emanated from recent meetings of the Committees, including the present joint session. They also agreed to establish a process for the revision of Resolution Conf. 14.8 that would involve the Standing Committee and to make proposals at CoP16.

Later in the meeting, the Secretariat introduced document AC26/PC20 Com. 2, outlining ways to improve the performance of the Periodic Review of the Appendices, as identified at the 25th meeting of the Animals Committee (AC25), AC26 and AC26/PC20, that could be considered when amending Resolution Conf. 14.8.

The Committees agreed that the Plants Committee would prepare a document for submission at SC62 concerning proposed amendments to improve the Periodic Review of the Appendices, incorporating the elements of document AC26/PC20 Com. 2 and a draft decision for submission at CoP16, instructing the Animals and Plants Committees to revise Resolution Conf. 14.8 in collaboration with the Secretariat. It was further decided by the Committees that the Plants Committee document would be circulated to the Animals and Plants Committees prior to the deadline for the submission of documents for SC62 (24 May 2012) to seek their concurrence.

Many participants regretted that no working group had been established to discuss this item more in-depth.

During discussion of this item, interventions were made by the AC representatives of Europe (Mr Fleming), North America (Ms Caceres) and Oceania (Mr Robertson), the PC representatives of Africa (Ms Khayota), Asia (Ms Zhou), Central and South America and the Caribbean (Ms Rivera) and North America (Mr Benítez), and by Australia, Chile, Mexico, Norway, South Africa, the United States, the AC and PC

⁵ Document AC26/PC20 Com. 1 in its final adopted form is contained in Annex 4 to the present summary record.

Chairs, European Union, Humane Society International, Humane Society of the United States and the Secretariat.

11. Transport of live specimens (Decision 15.59) – Report of the joint working group

Austria, as Chair of the joint Working Group on Transport of Live Specimens, introduced document AC26/PC20 Doc. 11, drawing attention to the recommendations in paragraph 11. He also indicated that the working group had drafted an addendum to the IATA Live Animal Regulations (IATA/LAR) with taxa that required particular modifications of the existing IATA container requirements or transport procedures in order to ensure adequate transport by non-air modes.

The Committees established a working group (AC26/PC20 WG1), chaired by Austria, to look at item 11 with the following mandate:

The working group shall:

1. review and finalize the draft set of guidelines on non-air transport of live specimens provided by the co-chairs, which would replace the CITES Guidelines for transport and preparation for shipment of wild animals and plants (1981);
2. consider whether the final draft guidelines should be incorporated into an existing Resolution of the Conference of the Parties or the IATA/LAR and IATA/PCR or provided to Parties in some other way, and make related recommendations including the repeal of the existing Guidelines;
3. review and, if needed, propose revisions to Resolution Conf. 10.21 (Rev. CoP14) and Resolution Conf. 12.3 (CoP15); and
4. determine whether one or more draft Decisions are needed to provide for and guide future work on the transport of live specimens and, if so, prepare such draft Decisions.

The Committees agreed that this and other working groups established at the joint sessions of the 26th meeting of the Animals Committee and 20th meeting of the Plants Committee needed to include in their reports a list of the participants that took part in the working groups' discussions.

Later in the meeting, Austria introduced document AC26/PC20 WG1 Doc. 1.

The Committees adopted document AC26/PC20 WG1 Doc. 1 with the following amendments:

- a) In Recommendations: delete paragraph 5 and incorporate its text in Annex 2 of document AC26/PC20 WG1 Doc. 1, as shown in paragraph b) below; and
- b) In Annex 2, under RECOMMENDS, replace paragraph e) with "the Standing Committee and the Secretariat, in consultation with the Animals and Plants Committees and IATA, regularly review, revise and approve amendments to the CITES Guidelines for the Non-Air Transport of Live Wild Animals and Plants."⁶

During discussion of this item, interventions were made by Austria, Mexico, the AC and PC Chairs, and the Secretariat.

⁶ The report of AC26/PC20 WG1 in its final adopted form is contained in Annex 5 to the present summary record.

12. Strategic planning: Progress report on the work programme of the Plants Committee

and

22. Preparation of the Chair's report for CoP16

The Chair introduced documents PC20 Doc. 12 and PC20 Doc. 22, stressing the need for the person in charge of each subject matter to submit their contributions to the Chair's report for CoP16 in a timely manner. She proposed the formation of a working group to oversee this.

The Committee established a working group (PC20 WG1) comprising members of the Committee and the Secretariat to ensure that the report of the Chair for CoP16 would be prepared in due time and would take account of all of the instructions directed to the Committee by the Conference. The Committee noted documents PC20 Doc. 12 and PC20 Doc. 22 and confirmed the responsibilities of the representatives and alternate representatives in the Annex to document PC20 Doc. 22.

No intervention was made during discussion of these items.

13. Global Strategy for Plant Conservation of the Convention on Biological Diversity (Decision 15.19) – Report of the working group

The Vice-Chair (Mr Benítez) introduced document PC20 Doc. 13, inviting the adoption of the draft resolution on cooperation with the GSPC. He drew attention to the welcoming statement by the Executive Secretary of CBD included in document PC20 Inf. 8. Speakers welcomed the cooperation between the Convention on Biological Diversity and CITES, in particular over the Global Strategy for Plant Conservation, which, if successfully implemented, could contribute to the effective implementation of CITES. In this context, amendments to the draft resolution in paragraph 7 of document PC20 Doc. 13 were suggested.

With the addition of the words “and the effect upon CITES if the GSPC is successfully implemented” at the end of the last preambular sentence, the Committee agreed to submit the draft resolution in paragraph 7 of document PC20 Doc. 13 for consideration at CoP16.⁷

During discussion of this item, interventions were made by the regional representatives of Africa (Mr Hafashimana) and North America (Mr Benítez), and by India and TRAFFIC.

14. Review of Significant Trade in specimens of Appendix-II species

14.1 Overview of the species-based Review of Significant Trade

The Secretariat introduced document PC20 Doc. 14.1 and agreed to correct Table 4 of document PC20 Doc. 14.1 to indicate that the status of the review of *Euphorbia famatamboay*, *E. genoudiana*, *Aloe acutissima*, *A. antandroi*, *A. betsileensis*, *A. bosseri*, *A. bulbillifera*, *A. isaloensis*, *A. itremensis*, *A. macroclada*, *A. prostrata*, *A. suarezensis*, *A. pratensis*, *Pericopsis elata* (from Cameroon, the Central African Republic, Ghana and Nigeria) and *Swietenia macrophylla* (from the Bolivarian Republic of Venezuela and Colombia) should be “completed – removed from review”.

The Committee noted the document.

During discussion of this item, an intervention was made by the United States.

14.2 Species selected following CoP15

The Secretariat introduced document PC20 Doc. 14.2

The Committee established a working group (PC20 WG2), to be chaired by the nomenclature specialist (Mr McGough), with the following mandate:

⁷ The final agreed text of the draft resolution is shown in Annex 6 to the present summary record.

- a) In accordance with paragraph f) of Resolution Conf. 12.8 (Rev. CoP13), review the available information to determine whether it is satisfied that Article IV, paragraphs 2 (a) and 3, are being implemented; and
- b) Propose which species should be eliminated from the review with respect to the range State concerned, and which should be kept in the review.

Later in the meeting, Mr McGough introduced the report of the working group and the Committee adopted document PC20 WG2 Doc. 1.⁸

The membership was decided as follows:

- Chair: PC nomenclature specialist (Mr McGough);
- Members: Representatives of Africa (Mr Hafashimana) and Central and South America and the Caribbean (Ms Mites);
- Parties: Belgium, Madagascar, Namibia, South Africa, United Republic of Tanzania, Thailand, the Netherlands, United States of America; and
- IGOs and NGOs: UNEP-WCMC, TRAFFIC and WWF.

No intervention was made during discussion of this item.

14.3 Review of Significant Trade in *Cistanche deserticola*, *Dioscorea deltoidea*, *Nardostachys grandiflora*, *Picrorhiza kurrooa*, *Pterocarpus santalinus*, *Rauvolfia serpentina* and *Taxus wallichiana*

The Secretariat introduced document PC20 Doc. 14.3. Speakers congratulated Bhutan and Nepal for workshops undertaken and planned, and offered detailed comments on the document and the issue under discussion, drawing attention to the specific wording of Decision 15.37.

The Committee noted document PC20 Doc. 14.3. The Committee requested the United States and TRAFFIC to send their detailed comments on the organization of the workshop referred to in paragraph 4 of the document, in writing to the Secretariat.

During discussion of this item, interventions were made by the United States and TRAFFIC.

15. Non-detriment findings

15.1 Timber species, medicinal plants and agarwood-producing species (Decisions 15.26 and 15.27) – Report of the working group

and

17. Proposals for possible consideration at CoP16

17.2 Other proposals

17.2.1 Agarwood-producing taxa (Decision 15.94)

The representative of Asia (Ms Zhou) introduced document PC20 Doc. 15.1, explaining the close relationship between this document and document PC20 Doc. 17.2.1, particularly concerning agarwood-producing species. Range States of agarwood-producing species explained that they would submit the proposal they thought appropriate at CoP16 but welcomed the comments of the Committee, which they would take fully into account. Speakers believed it would be valuable to offer the Committee's views, and discussions focused on the mandate of a working group to be set up to examine the issues raised in documents PC20 Doc. 15.1 and PC20 Doc. 17.2.1. It was pointed out that document PC20

⁸ The report of PC20 WG2 in its final adopted form is contained in Annex 7 to the present summary record.

Inf. 7 could be used by the working group. However, as it was not a document for discussion at the present meeting, it could not be referred to its mandate.

Kuwait then introduced document PC20 Doc. 17.2.1, explaining that it had been prepared jointly with Indonesia and that it conveyed the results of workshops on agarwood-producing species held in these two countries in October and November 2011. More detailed information about these workshops could be found in information documents PC20 Inf. 1 and PC20 Inf. 7. Guidance was sought on how to submit these proposals at CoP16 and in particular what status the glossary in Annex 3 of document PC20 Doc. 17.2.1 could have.

The Committee established a working group (PC20 WG6), to be co-chaired by the regional representatives of Asia (Ms Zhou) and Oceania (Mr Leach), and by Kuwait, with the mandate to consider the recommendations in documents PC20 Doc. 15.1 and PC20 Doc. 17.2.1.

Later in the meeting, Mr Leach introduced document PC20 WG6 Doc. 1, noting that the regional representative of Africa (Mr Hafashimana) and India had participated in the working group. Indonesia introduced document PC20 Com. 1, welcoming comments. With respect to the definitions of artificially propagated plants and how they applied to trees in mixed species plantations, it was recognized that there was some overlap between the proposals of the range States and the obligation of the Committee arising from Decision 15.94. Some speakers expressed concern that defining specimens of artificially propagated agarwood-producing species too broadly would mean that controls would be reduced on many specimens exported and that, if the amended definition were applied to other plant species, there may be unforeseen consequences. It was not possible to reconcile the diverging views on this point. Regarding the Committee's comments on other aspects of documents PC20 Doc. 15.1, the suggestions in document PC20 WG6 were welcomed by Kuwait, which confirmed that they would act on them when making their proposal for CoP16. There was less discussion on the working group's recommendations related to PC20 Doc. 17.2.1 and to document PC20 Com. 1.

The Committee agreed the following amendments to document PC20 WG6 Doc. 1:

- a) Paragraph 9: replace the three dots with "paragraph 3 of the present document";
- b) Paragraph 10: add "and paragraph 1 in Annex 1 of document PC20 Doc. 17.2.1" after "Doc. 15.1";
- c) Paragraph 14: add "but recommended that the words "or mixed" be added after the word "monospecific" in paragraph g) of Resolution Conf. 10.13 (Rev. CoP15)";
- d) Paragraph 14, proposed new draft decision:
 - delete "tropical";
 - add "of artificial propagation" after "definitions"; and
 - add "respectively," after "Resolution Conf. 11.11"; and
- e) In paragraph 17, replace "PC20 WGXX" with "PC20 WG5".

With these changes, the Committee adopted the recommendations in paragraphs 1 to 14 of document PC20 WG6 Doc. 1.⁹

With respect to paragraphs 15 to 18 of document PC20 WG6 Doc. 1 and to document PC20 Com. 1, the Committee noted that Parties would consider submitting these proposals at CoP16.¹⁰

⁹ The recommendations of PC20 WG6 in their final adopted form are contained in Annex 8, Section 1, to the present summary record.

¹⁰ The paragraph concerned in their final adopted form and the content of document PC20 Com. 1 are contained in Annex 8, Section 2, to the present summary record.

During discussion of the working group report, interventions were made the regional representatives of Africa (Mr Hafashimana), Asia (Mr Partomihardjo and Ms Zhou), Central and South America and the Caribbean (Ms Mites), North America (Mr Benítez) and Oceania (Mr Leach), and by Brazil, Germany, Indonesia, Kuwait, South Africa, the United Kingdom, the United States, and All Assam Agar Traders & Agaroil Manufacturers' Association and the Agarwood Exporters Association.

15.2 Aniba rosaeodora [Decision 15.90, par. e)] – Report of Brazil

Brazil introduced document PC20 Doc. 15.2, stressing the replanting scheme in place for the species and the existence of an online traceability scheme for harvested products.

The Committee noted document PC20 Doc. 15.2 and agreed that it would be used to help prepare the Committee's report for CoP16 required in Decision 15.90, paragraph f).

No intervention was made during discussion of this item.

16. Periodic review of plant species included in the CITES Appendices

The Committee designated the regional representative of North America (Mr Benítez) as Chair of the Working Group on the Periodic Review of Plant Species Included in the CITES Appendices.

16.1 Overview

16.1.1 Report of the working group

The regional representative of North America (Mr Benítez) introduced document PC20 Doc. 16.1.1 (Rev. 1), clarifying that it had been submitted by the Committee's intersessional Working Group on the Periodic Review and not by the Scientific Authority of Mexico, as wrongly indicated in the document. He added that there had been no reply from Costa Rica regarding the possible occurrence of *Platymiscium pleiostachyum* in that country. He expressed dissatisfaction with the Secretariat's delay in issuing Notifications to the Parties Nos. 2011/038 and 2011/049 requesting necessary inputs for the elaboration of working documents for PC20, which had negatively affected the quality of the information contained in them. The Secretariat apologized for this delay. Finally, he thanked Ms Patricia Dávila, the former Chair of the Plants Committee Working Group on the Periodic Review, for her service to the Committee on this issue.

No intervention was made during discussion of this item.

16.1.2 Report of the Secretariat

The Secretariat introduced document PC20 Doc. 16.1.2. Speakers queried some of the data in the annexes of the document.

The Committee noted document PC20 Doc. 16.1.2 and requested the Secretariat to liaise with Mexico to ensure that references to certain species correctly reflect the previous decisions of the Committee and that the number of the amendment proposal that resulted from each review be inserted.

During discussion of this item, interventions were made by the regional representatives of Central and South America and the Caribbean (Ms Rivera) and North America (Mr Benítez) and by Mexico.

This item was further considered by PC20 WG3 (see below).

16.2 Report of the working group

The regional representative of North America (Mr Benítez) introduced document PC20 Doc. 16.2, explaining that it had been submitted by the Committee's intersessional Working Group on the Periodic Review and not by the Scientific Authority of Mexico, as wrongly indicated. The working group continued to follow up the outstanding cases from the list of species selected for review between

CoP13 (2007) and CoP15 (2010). He thanked the Netherlands for undertaking a review of *Cycas beddomei* and the United States for volunteering to undertake reviews of *Dudleya stolonifera* and *Lewisia serrata*.

This item was further considered by PC20 WG3 (see below).

No intervention was made during discussion of this item.

16.3 Assessment of trade in epiphytic cacti and review of listing of Cactaceae spp. in Appendix II (Decision 15.89)

The regional representative of North America (Mr Benítez) introduced document PC20 Doc. 16.3 and its two Annexes, thanking the contractor, Mr Grogan, for undertaking the study presented in Annex 2 to the document. Additionally, he expressed disagreement with the Secretariat for preparing an introductory page for documents PC20 Doc. 16.3 and Doc. 16.4 which, in his view, were redundant and undermined the work of the authors of the Annexes to these documents. The United States expressed reservations about some of the conclusions drawn by the contractor.

This item was further considered by PC20 WG3 (see below).

No other intervention was made during discussion of this item.

16.4 *Euphorbia* spp. [Decision 14.131 (Rev. CoP15)]

The regional representative of North America (Mr Benítez) introduced document PC20 Doc. 16.4 and its two Annexes, thanking the contractor, Mr Grogan, for undertaking the study presented in Annex 2 to the document. He recommended that no changes be proposed to the Appendices for succulent *Euphorbia* species currently included in Appendix II, and believed that this review had concluded implementation of Decision 14.131 (Rev. CoP15).

The Committee agreed that no changes to the listing of succulent *Euphorbia* species included in Appendix II were required. It requested its nomenclature specialist to address the issue of new *Euphorbia* species as well as taxonomic changes that had been proposed for genera that phylogenetically belonged within *Euphorbia*, including *Elaeophorbia*, *Endadenium*, *Monadenium*, *Synadenium* and *Pedilanthus*.

No intervention was made during discussion of this item.

The Chair explained that, at their joint sessions, the Animals and Plants Committees had agreed that the Plants Committee would prepare a document for submission to the Standing Committee at its 62nd meeting concerning proposed amendments to improve the Periodic Review of the Appendices. This document would incorporate the elements of document AC26/PC20 Com. 2 and a draft decision for submission at CoP16, instructing the Animals and Plants Committees to revise Resolution Conf. 14.8 in collaboration with the Secretariat. In the light of this and other elements arising from the discussion of agenda item 16, the Committee established a working group (PC20 WG3), to be chaired by the regional representative of North America (Mr Benítez) with the following mandate:

- a) Consider and draft recommendations on the basis of the reports submitted by Brazil and Namibia in document PC20 Doc. 16.1.1, Annexes 1 and 2;
- b) Consider and draft recommendations on the basis of the report submitted by the Netherlands in document PC20 Doc. 16.2, Annex 1; and
- c) On the basis of document PC20 Doc. 16.3, Annex 2, consider the relevance of drafting a proposal to delete from Appendix II the following seven genera of epiphytic cacti: *Disocactus*, *Epiphyllum*, *Hatiora*, *Lepismium*, *Pseudorhipsalis*, *Rhipsalis* and *Schlumbergera*, for consideration at CoP16. If such a proposal is drafted, include therein identification material to distinguish these genera from other non-epiphytic cacti.
- d) Identify proponents for any proposals to amend the Appendices to be made at CoP16.

- e) Contribute to the work on the revision of Resolution 14.8 on Periodic Review of the Appendices (item 10) commenced during the joint session of AC26 and PC20.
- f) Consider additional information supplied in relation to the reviews of *Balmea stormiae*, *Platymiscium pleiostachyum*, *Peristeria elata* and *Sclerocactus* spp.

The membership was decided as follows:

Chair: Representative of North America (Mr Benítez);

Members: Representatives of Africa (Ms Beatrice Khayota) and Central and South America and the Caribbean (Ms Dora Ingrid Rivera);

Parties: Belgium, Canada, Chile, Czech Republic, Madagascar, Mexico, Namibia, the Netherlands, South Africa and the United States of America; and

IGOs and NGOs: UNEP-WCMC, IUCN, European Union and Species Survival Network.

Later in the meeting, Mr Benítez introduced document PC20 WG3 Doc. 1. Discussions clarified several issues raised in the report. It was reported that India was carrying out a study of *Cycas beddomei*, the results of which should be available later in the year.

The Committee adopted document PC20 WG3 Doc. 1 with the following amendments:

- a) Paragraph 1. c): delete “notes that no information on trade is available and”;
- b) Paragraph 1. e): delete “that there is no data on international trade in wild specimens;”;
- c) Paragraph 1. f): replace “Plants Committee Representative of Central and South America and the Caribbean (Ms Rivera)” with “the representative of North America (Mr Benítez)”;
- d) Paragraph 3: replace “seeks the view of India, the sole range State for this species” with “noted the offer of India to supply additional information later”;
- e) Paragraph 4. a): replace “report was received from XXX that they” with “communication was received from the representative of Central and South America and the Caribbean (Ms Rivera) that the Amazon Cooperation Treaty Organization”;
- f) Paragraph 5. b): replace “address” with “respond to” and delete the last sentence;
- g) Paragraph 6: add “and the Animals Committee, if they agree,” after “reviews, the Plants Committee” and replace “. In addition, the Plants Committee” with “and”;
- h) Annex 2, paragraph j): replace “technical committee concerned” with “the Animals or Plants Committee”; and
- i) New paragraph k): replace the text with “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. CoP15)”.¹¹

During discussion of this working group report, interventions were made by the regional representative of North America (Mr Benítez), and by Canada, India, Namibia and the United States.

¹¹ The report of PC20 WG3 in its final *adopted* form is contained in Annex 9 to the present summary record.

17. Proposals for possible consideration at CoP16

17.1 Proposals to amend the Appendices

17.1.1 Madagascar (Decision 15.97)

The nomenclature specialist (Mr McGough) and Madagascar, in turn, introduced document PC20 Doc. 17.1.1, drawing attention to information documents PC20 Inf. 3 to PC20 Inf. 6 submitted on this subject by Madagascar. In discussion, reference was made to ongoing support to Madagascar being provided by the Secretariat with funding from the European Union and Norway, and to the willingness of the International Tropical Timber Organization to provide support.

The Committee established a working group (PC20 WG4), to be co-chaired by the Mr McGough and Madagascar, with the following mandate:

- a) Prepare a work plan to facilitate the submission of amendment proposals at CoP16;
- b) Identify issues related to the identification of species that will need to be addressed to ensure that any potential listings can be adequately implemented and enforced;
- c) Identify mechanisms to support the preparation of such amendment proposals; and
- d) Consider any other items that it finds appropriate.

The membership was decided as follows:

Co-Chairs: PC nomenclature specialist (Mr McGough) and the observer for Madagascar;

Members: Representative of Africa (Ms Khayota);

Parties: Canada, France, Germany, Ireland, the Netherlands and the United States of America; and

IGOs and NGOs: INDENA, ITTO, IUCN, WWF.

Later in the meeting the PC nomenclature specialist (Mr McGough) and Madagascar introduced the report of the working group in document PC20 WG4 Doc. 1.

The Committee adopted document PC20 WG4 Doc. 1 and congratulated Madagascar on progress made in implementing Decision 15.97.¹²

During discussion of this item, interventions were made by the nomenclature specialist (Mr McGough), and by Madagascar and the International Tropical Timber Organization.

17.1.2 Annotations

17.1.2.1 Overview [Decisions 15.31, 15.34, 14.133, 14.134 (Rev. CoP15), 14.149, 15.35 and 14.148 (Rev. CoP15)] – Report of the working group

The Vice-Chair (Mr Benítez) introduced document PC20 Doc. 17.1.2.1 (Rev. 1).

The Committee noted document PC20 Doc. 17.1.2.1 (Rev. 1).

No intervention was made during discussion of this item.

¹² The report of PC20 WG4 in its final adopted form is contained in Annex 10 to the present summary record.

17.1.2.2 Preparation of clarification of and guidance on the meaning of "packaged and ready for retail trade" and other terms used in the Annotations – Report of the working group

The regional representative of North America (Mr Benítez) introduced document PC20 Doc. 17.1.2.2, drawing attention to the fact that a glossary would not have any legal status and commending the recommendations in the document. Speakers expressed concerns about some of these recommendations, in particular the definition of 'essential oil', and the recommendations were referred the working group detailed below.

During discussion of this item, interventions were made the regional representative of North America (Mr Benítez), and by Brazil and Germany.

17.1.2.3 Cactaceae and Orchidaceae: review of annotations (Decision 15.34)

The Chair explained that an intersessional working group charged at PC19 with conducting a Web survey on the international trade in orchid products had not produced a report. The United States said that good work had been started with implementing Decision 15.34, particularly for Orchidaceae, and that the Decision should be retained at CoP16.

The Committee requested the United States to prepare a proposal for a revision of Decision 15.34 which would continue the work after CoP16 for a more limited number of taxa, for later consideration by the Committee.

Later in the meeting, the United States introduced document PC20 Com. 2 and the Committee agreed that it would propose the draft decision in PC20 Com. 2 for adoption at CoP16.¹³

No intervention was made during discussion of this item.

17.1.2.4 Tree species: annotations for species included in Appendices II and III [Decision 14.149, 15.35 and 14.148 (Rev. CoP15)] – Report of the working group

Canada, as Chair of the intersessional Working Group on Annotations, introduced document PC20 Doc. 17.1.2.4, noting that the study envisaged in paragraph a) of Decision 14.148 (Rev. CoP15) had yet to be undertaken. Nevertheless, the Working Group had been able to prepare the ground for further work. Speakers reported that some funds had been provided for the study, which would be a combination of statistics and assessment. It was suggested that annotation #7 (in relation to *Pterocarpus santalinus*) be included under paragraph 14. b). The recommendations in document PC20 Doc. 17.1.2.4 were referred the working group detailed below.

During discussion of this item, interventions were made by the Canada, the United States and the International Tropical Timber Organization.

17.1.2.5 *Aniba rosaeodora* (Decision 15.90) – Report of Brazil

Brazil introduced document PC20 Doc. 17.1.2.5, adding that there may be a need to include two further species in Appendix II for look-alike reasons, namely *Aniba parviflora* and *Aniba fragrans*. Speakers insisted on the need to examine carefully the annotations that might be attached to further species listings. It was suggested that work on Decision 15.90 could be merged with that related to Decision 15.34 and continued between CoP16 and CoP17.

The Committee noted document PC20 Doc. 17.1.2.5 and the oral presentation by Brazil.

During discussion of this item, interventions were made by the regional representative of North America (Mr Benítez), and by Brazil and the European Union.

¹³ The draft decision from document PC20 Com. 2 is contained in Annex 11 to the present summary record.

17.1.2.6 *Bulnesia sarmientoi* (Decision 15.96) – Report of Argentina

In the absence of the author of document PC20 Doc. 17.1.2.6, the Chair proposed taking note of the report it contained. The European Union welcomed the report which, in their view, was heading in a good direction.

The Committee noted document PC20 Doc. 17.1.2.6.

There was no other intervention during discussion of this item.

In relation to agenda item 17.1.2, the Committee established a working group (PC20 WG5), to be co-chaired by the PC Chair, Canada and the European Union with the following mandate:

Mandate

Regarding document PC20 Doc. 17.1.2.2:

- a) Reconsider and simplify the definitions in paragraph 11 document PC20 Doc. 17.1.2.2 so that an informed non-expert may be able to make a firm identification of specimens; and
- b) Draft a definition of 'finished products' that can be applicable to all CITES plant products.

Regarding document PC20 Doc. 17.1.2.4:

- a) Consider the conclusions of the intersessional working group with respect to the need to amend annotations for tree species;
- b) Consider whether annotations #2, #7, #11 and #12 require specific clarification given the apparent range of interpretations by Parties;
- c) Identify the conclusions of this working group and of previous timber annotation working groups as potentially useful guidance for amending tree species annotations (see the PC19 summary record);
- d) Suggest ways to encourage participation at the Plants Committee by enforcement officers and other regulatory experts in the evaluation of any new listings and annotations for timber species; and
- e) Consider and discuss the terms in the glossary of agarwood products in Annex 3 of document PC20 Doc. 17.2.1 Annex 3, and recommend the best way to make this available to the CITES community.

Later in the meeting, Canada introduced the report of the working group in document PC20 WG5 Doc. 1, noting that the working group had been unable to agree to exclude 'complex mixtures' in the definition of 'extract'. Extensive debate ensued. Concerning the definition of 'extract', in particular its reference to 'complex mixtures', some speakers were concerned that this would increase the permitting burden for Parties, while others stressed that border control officers needed to be able to know exactly which products were controlled. There were also appeals for all annotations to be clear and unambiguous in order to encourage compliance by industry. Some speakers thought it would be preferable to include the last sentence of the proposed definition in the annotation itself, rather than in the definition. Differences of view were expressed about the proposed definition of the term 'root': some speakers preferred using a botanical definition including epiphytic roots; others wished to include bulbs, rhizomes, corms, caudices and tubers under that term; and others still thought that it was not necessary to adopt a definition at all. Opinions were also divided on the possibility and practicality of merging annotations #2, #7, #11 and #12. Some supported such an idea, while others felt that further study of the likely consequences was required before a decision could be taken.

The Committee agreed on the following amendments to document PC20 WG5 Doc. 1 under *Recommendations*:

- a) Paragraph 2: replace “it was unable to agree to exclude” with “did not reach a consensus regarding the exclusion of”;
- b) Paragraph 4: add the words “if necessary, following review of the trade study referred to in an updated version of Decision 14.148 (Rev. CoP15) if adopted at CoP17” at the end of the last sentence; and
- c) Paragraph 6: remove the strikethrough of paragraph c) of the proposed revised Decision and replace “16th” in this paragraph with “17th”;

With these amendments, the Committee adopted the recommendations in document PC20 WG5 Doc. 1, except that concerning 'extract' and 'root' in recommendation 1. It also agreed that, in the absence of a consensus on the definition of the term 'root' and on the matter referred to in the second paragraph of recommendation 2, these issues would be referred to SC62 for consideration. In this regard, the Committee noted the request of the Chair, for PC20 participants to send written comments on these issues to her, so that she may take them into account in presenting the matter to the Standing Committee.¹⁴

During discussion of this working group report, interventions were made by the regional representatives of Central and South America and the Caribbean (Ms Mites and Ms Rivera), Oceania (Mr Leach) and North America (Mr Benítez), and by Brazil, Canada, France, Germany, India, Indonesia, Italy, the United Kingdom, the United States, the European Union, International Fragrance Association and Species Survival Network

17.1.3 Draft proposals from Parties to amend the Appendices

Speakers briefly referred to proposals to amend the Appendices which they were considering and welcomed comments, which should be sent directly to them. Madagascar referred to document PC20 Inf. 6 in connection with their activities.

The Committee noted that proposals to include species in the Appendices were under consideration: *Uncarina* spp. by Madagascar, *Dalbergia cochinchinensis* by Thailand and *Yucca queretaroensis* by Mexico.

During discussion of this item, interventions were made by Madagascar, Mexico, Thailand and the United States.

17.2 Other proposals

17.2.1 Agarwood producing taxa (Decision 15.94)

This item was discussed with item 15.1.

18. Reporting on trade in artificially propagated plants [Decisions 14.39 (Rev. CoP15) and 14.40 (Rev. CoP15)]

The Secretariat reported that external funding had recently been secured to conduct the survey referred to in Decisions 14.39 (Rev. CoP15) and that UNEP-WCMC had been contracted to undertake this work. However, its report was not available for the present meeting. The Chair expressed the hope that it might be possible for her to report orally on this matter at SC62.

The Committee noted the oral report from the Secretariat.

No intervention was made during discussion of this item.

¹⁴ The recommendations from document PC20 WG5 Doc. 1 in their final adopted form are contained in Annex 12 to the present summary record.

19. Timber issues

19.1 Progress report of the Working Group on the Bigleaf Mahogany and Other Neotropical Timber Species [Decisions 15.91, 15.92 and 14.146 (Rev. CoP15)]

Guatemala, as Chair of the Working Group on the Bigleaf Mahogany and Other Neotropical Timber Species, introduced document PC20 Doc. 19.1. They thanked all those involved in the fourth meeting of the Working Group held from 7 to 11 November in Petén, Guatemala, and drew attention in particular to the recommendations emanating from that meeting, which were to be found in paragraph 36 of the document. Speakers congratulated the Working Group for its achievements and for the document, and thanked ITTO for supporting its work. It was observed that a number of suggestions by the Working Group had an application wider than neotropical timber species and that there was a need to coordinate the work at a broader level. Attention was drawn to the ongoing preparation of a CITES/ITTO compendium of timber tracking systems (in relation to paragraph 7 of document PC20 Doc. 19.1) and the results of a recent CITES capacity-building workshop in Fiji (in relation to paragraph 14). The Chair of the Plants Committee concluded that the Working Group had completed its work in line with its terms of reference and mandate in Annexes 3 and 4 to the Decisions of the Conference of the Parties, and it was now for the Committee to prepare its report on this matter for CoP16.

The Committee established a drafting group (PC20 DG1), to be chaired by the observer from Guatemala (Mr Belletón Chacón), in his role as Chair of the Working Group on the Bigleaf Mahogany and Other Neotropical Timber Species, with the following mandate:

Propose recommendations for the Plants Committee to consider presenting to CoP16 based on the recommendations in document PC20 Doc. 19.1.

The Committee also established another working group (PC20 WG7), to be co-chaired by the regional representative of Oceania (Mr Leach) and the Chair of the Working Group on the Bigleaf Mahogany and Other Neotropical Timber Species, which would be comprised only of members of the Committee and have the following mandate:

Taking account of all available information, the working group shall test the criteria for inclusion of species in Appendix II for *Cedrela odorata*, *Dalbergia retusa*, *Dalbergia granadillo* and *Dalbergia stevensonii*, and evaluate whether the genera meet the criteria or not.

Later in the meeting, Mr Leach introduced document PC20 WG7 Doc. 1. Speakers suggested some substantive corrections, to which there were no objections, and concluded that the report fulfilled the requirements of paragraph 3 d) in Annex 4 of the Decisions of the Conference of the Parties.

The Committee agreed the following changes to document PC20 WG7 Doc. 1:

- a) Paragraphs 1, 2 a) and 4 a): delete the words “and may qualify for Appendix-II listing under Annex 2a, Criterion B”;
- b) Paragraph 5 a): change the text to “As it does not seem that a proposal from Parties to include these species in Appendix II is going to be presented, the work of the Plants Committee in relation to Decision 14.146 (Rev. CoP15) is considered to be completed”;
- c) Paragraph 5 c): add the sentence “WG7 also noted the difficulty of implementation and enforcement.” at the end; and
- d) Add new paragraph 5 e) “WG7 also encourages Parties listing these species in Appendix III to facilitate and contribute on permit confirmation requests from importing Parties”.

With these amendments, the Committee noted document PC20 WG7 Doc. 1.¹⁵

¹⁵ The report of PC20 WG7 in its final adopted form is contained in Annex 13 to the present summary record.

The Chair of the Working Group on the Bigleaf Mahogany and Other Neotropical Timber Species then introduced document PC20 DG1 Doc. 1, requesting a minor change to paragraph 11, and expressed his thanks to the Vice-Chair of the Working Group (Ms Nuñez Neyra) for her work.

The Committee adopted the recommendations in paragraphs 10 and 11 of document PC20 DG1 Doc. 1, with the replacement of “as well as” with “and from” in paragraph 11.

Concerning the recommendation in paragraph 31 of document PC20 DG1 Doc. 1, the Committee agreed that the terms of reference and membership of the proposed working group could be decided at its 21st meeting in the light of decisions taken at CoP16. The Committee further agreed that the other parts of document PC20 DG1 Doc. 1 would be incorporated into the report for CoP16 required under paragraph 1 e) of Annex 3 to the CoP15 Decisions.¹⁶

The Committee congratulated the Chair, Vice-Chair and members of the Working Group on the Bigleaf Mahogany and Other Neotropical Timber Species for the work they had undertaken under Decision 15.91.

The United States introduced document PC20 Com. 3 which, they explained, arose from discussion in PC20 DG1 in relation to agenda item 19.1 and responded to a need for better coordination of the production and availability of tools for the identification CITES specimens in trade.

The Committee adopted document PC20 Com. 3 with the following amendments:

a) In the first draft decision:

- Add “and the Secretariat” after “Directed to the Plants and Animals Committees”;
- Delete the square brackets in the first paragraph;
- Replace the word “Party”, with the word “representative” in the first paragraph;
- Delete the words “the Secretariat and” in paragraph a);
- Add a new paragraph after paragraph b) with the wording “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;” and renumber the following paragraphs; and

b) Delete the draft decision directed to the Secretariat.¹⁷

During discussion of this item, interventions were made by the regional representatives of Asia (Ms Zhou), Central and South America and the Caribbean (Ms Rivera), North America (Mr Benítez) and Oceania (Mr Leach), and by Canada, China, Guatemala, the United States, ITTO and TRAFFIC.

19.2 Progress report on the joint CITES-ITTO timber programme

The Secretariat introduced document PC20 Doc. 19.2, drawing attention to the financial commitments made at the 47th Session of the International Tropical Timber Council in November 2011 and to the significant and generous decision of the European Commission to fund a second phase of the CITES-ITTO timber programme. This funding would permit further species and countries to be included in the programme and therefore more Parties to benefit from support. ITTO thanked the donors, stressing the significant progress that had been made in a short time and adding that they had recently received the first tranche of funds for the second phase of the programme. As they had several good project proposals from Parties already in hand, they expected to start work very shortly. A speaker commended the CITES and ITTO Secretariats for promoting the sustainable use of forests and CITES species under the programme.

¹⁶ The recommendations adopted by the Plants Committee and other parts of document PC20 DG1 Doc. 1 that the Committee agreed would be incorporated into the report for CoP16 required under paragraph 1 e) of Annex 3 to the CoP15 Decisions are contained in Annex 14 to the present summary record.

¹⁷ Document PC20 Com. 3 in its final adopted form is contained in Annex 15 to the present summary record.

The Committee congratulated the International Tropical Timber Organization and the Secretariat for the progress on their joint programme and thanked the donors that had supported it financially.

During discussion of this item, interventions were made the United States and ITTO.

20. Nomenclatural matters

The nomenclature specialist (Mr McGough) introduced document PC20 Doc. 20, explaining that, because of lack of funds, it was now unlikely that updated versions of the *CITES Orchid Checklist* Volume 1 and *CITES Cactaceae Checklist* would be available before CoP16. He added that the Committee would need to reflect on the Animals Committee's proposal for implementing Decision 15.63 on higher taxonomic listings

The Committee established a working group (PC20 WG8) to be chaired by Mr McGough, with the following mandate:

- a) Identify mechanisms that may be available to support the completion of outstanding revisions of key plant checklists;
- b) Consider whether it is useful to bring together all available information on the taxonomy and nomenclature of *Dalbergia* spp. and *Diospyros* spp.;
- c) Express a view on the status and use of the name "*Aloe capensis*"; and
- d) Consider other nomenclature matters referred to the Committee by Parties and the Secretariat.

The membership was decided as follows:

Chair: The PC nomenclature specialist (Mr McGough);

Members: Representatives from Africa (Mr Hafashimana) and Asia (Mr Partomihardjo);

Parties: India, the Netherlands, South Africa and the United States of America; and

NGO: Greenwood International.

Later in the meeting, Mr McGough introduced document PC20 WG8 Doc. 1, adding that he would communicate with Madagascar and the Secretariat after the present meeting regarding paragraph 6 of that report. The Committee adopted document PC20 WG8 Doc. 1.¹⁸

During discussion of this item, interventions were made the representative of Asia (Mr Partomihardjo), and by the nomenclature specialist (Mr McGough) and the Netherlands.

Item discussed with the Animals Committee

21. Progress report on the Identification Manual

The Secretariat introduced documents AC26 Doc. 22 and PC20 Doc. 21, emphasizing that it was seeking cooperation and partnership on technical issues mentioned in paragraphs 6 to 8 in the documents.

The Committees noted documents AC26 Doc. 22 and PC20 Doc. 21.

The Committees noted the intervention from Mexico, on behalf of the North American region, in support of the further development of the CITES Wiki Identification Manual. The Committees supported Mexico's call for the Committees, Parties and observers to become more engaged in this process, and to assist the Secretariat and UNEP-WCMC in their efforts to include links to relevant identification materials.

The Committees welcomed the offer from Belgium to collaborate with the Secretariat in updating the information in the Identification Manual concerning animal species held in captivity, and this with the

¹⁸ The report of PC20 WG8 in its final adopted form is contained in Annex 16 to the present summary record.

assistance of the European Association of Zoos and Aquaria (EAZA). They encouraged Belgium to contact the Secretariat in this regard.

During discussion of this item, interventions were made by Belgium, Mexico, the AC and PC Chairs, and the Secretariat.

Plants Committee matters

22. Preparation of the Chair's report for CoP16

This item was discussed with item 12.

23. Regional reports

23.1 Africa

The representative of Africa (Ms Khayota) introduced document PC20 Doc. 23.1, noting that the reference to "captive breeding" under *CITES activities in the country in respect to South Africa*, should say "artificial propagation". She highlighted the international engagements undertaken by the representatives from the region and the difficulties experienced in obtaining reports from Parties.

The Committee noted the report in document PC20 Doc. 23.1.

No intervention was made during discussion of this item.

23.2 Asia

The representative of Asia (Ms Zhou) introduced document PC20 Doc. 23.2.

The Committee noted the report in document PC20 Doc. 23.2.

No intervention was made during discussion of this item.

During the course of the meeting, participants offered a round of applause in honour of Mr Manit Jaichagun of the CITES Scientific Authority of Thailand who died in January 2012. The nomenclature specialist of the Plants Committee (Mr McGough) recalled that Mr Jaichagun was a regular participant at meetings of the Plants Committee, played a role in the hosting of the 13th meeting of the Conference of the Parties in Bangkok in 2004 and had contributed a lot to the implementation of the Convention for plants.

23.3 Central and South America and the Caribbean

The representative of Central and South America and the Caribbean (Ms Rivera) introduced document PC20 Doc. 23.3 (Rev. 1), noting the importance of timber and tree species for the region. She highlighted the regional preparatory meeting for PC20, held in Brazil from 29 February to 2 March 2012, and the excellent secretariat services provided by the Amazon Cooperation Treaty Organization on that occasion. She said that continual changes of staffing made it very difficult to keep the table in Annex 1 of document PC20 Doc. 23.3 (Rev. 1) up to date and suggested reviewing the relevance of maintaining this information.

The Committee noted the report in document PC20 Doc. 23.3 (Rev. 1).

No intervention was made during discussion of this item.

23.4 Europe

The Committee noted the report in document PC20 Doc. 23.4.

No intervention was made during discussion of this item.

23.5 North America

The Committee noted the report in document PC20 Doc. 23.5.

No intervention was made during discussion of this item.

23.6 Oceania

The Committee noted the report in document PC20 Doc. 23.6.

No intervention was made during discussion of this item.

24. Time and venue of the 21st meeting of the Plants Committee

Speaking on behalf of Mexico, the representative of North America (Mr Benítez) offered to host the 21st meeting of the Plants Committee in his country in 2014, possibly in conjunction with the 27th meeting of the Animals Committee and with a joint meeting of the two Committees.

The Committee welcomed the offer of Mexico to host its 21st meeting, possibly in conjunction with the 27th meeting of the Animals Committee, in 2014.

No intervention was made during discussion of this item.

25. Any other business

South Africa, speaking also on behalf of Namibia, explained that annotation #9 in the CITES Appendices had been misunderstood to refer to an agreement between Botswana, Namibia and South Africa, when in fact it referred to agreements between the CITES Management Authorities in those countries and manufacturers and distributors of *Hoodia* products. A meeting between the countries concerned was planned for 2-4 April 2012, at which it was hoped to agree a proposal for CoP16 to clarify the intent of annotation #9.

The Committee noted a statement from South Africa that they were considering proposing at CoP16, with Botswana and Namibia, a revision to annotation #9 concerning *Hoodia* spp.

The Committee requested the Secretariat to comply with the Rules of Procedure with regard to the time frame for the production of executive summary 5 and the summary record.

No other interventions were made during discussion of this item.

26. Closing remarks

At the end of the joint sessions with the Animals Committee, the Chair of the Plants Committee, the Chair of the Animals Committee and the CITES Secretary-General thanked Ireland for hosting the joint meeting and the United States for supporting it. They also thanked all the participants and in particular the interpreters. The Chairs of the Committees then closed the joint sessions of the 26th meeting of the Animals Committee and 20th meeting of the Plants Committee.

At the end of the last session of the Plants Committee meeting, the Chair thanked Ireland, the Committee members and observers, the interpreters and the Secretariat and closed the meeting.

**Results of discussions of the Animals and Plants Committees on item 5
on Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES)
(Decision 15.12), based on document AC26/PC20 DG1 Doc. 1**

Document adopted by the Committees

Membership (as decided by the Committee)

- Co-Chairs: PC representative of North America (Mr Benitez-Diaz) and AC representative of Europe (Mr Fleming); and
- Members: China, Republic of Korea, Chair of the Standing Committee, CMS and CITES Secretariat.

Mandate

On the basis of discussion in the plenary and contributions from the Chairs, as well as the Secretariat, the working group shall finalize the wording of a draft statement that CITES could make at the fifth meeting of the Chairs of Scientific Advisory Bodies of Biodiversity-related Conventions and at the second session of the IPBES plenary, whether individually or in coordination with the secretariats and scientific bodies of other biodiversity-related conventions.

Recommendations

1. The Drafting Group has noted the historical developments related to IPBES, including the Busan Outcome, Decision 15.12 of the Conference of the Parties to CITES, guidance provided by SC61 and the first plenary meeting for IPBES. The joint statement of the biodiversity-related conventions to the first plenary meeting for IPBES noted the need for strong linkages between the Platform and the Conventions and stressed that the Conventions stood ready to contribute ideas and proposals for the work of IPBES.
2. The Drafting Group recommends that the following key points be endorsed by the Animals and Plants Committees:
 - a) The second meeting of the plenary for IPBES (Panama City, April 2012) should clarify the means by which [CITES] is to participate in IPBES. For example, [CITES] [biodiversity-related conventions] could have a special status in IPBES, perhaps as participating organizations similar to those recognized in the IPCC.
 - b) There should be a two-way relationship between [CITES] and IPBES in which the [Convention] is both a user or beneficiary of IPBES as well as a contributor to IPBES.
 - c) A mechanism should be developed for facilitating communication between [CITES] and IPBES (e.g. for the conveyance of government requests to IPBES from the Conference of the Parties).
 - d) Cooperation among the secretariats of the biodiversity-related conventions in relation to IPBES could be facilitated through a cooperative Memorandum of Understanding between the Biodiversity Liaison Group and the IPBES Secretariat.
 - e) [CITES] already has a great deal of information, knowledge and experience – as well as existing databases – to contribute to IPBES (e.g. regarding the sustainable use of listed species in international trade and the ecosystem services that these species provide) and additional information, knowledge and experience will be generated and shared in the future. In this connection, [CITES] can contribute to each of the four key functions identified in the work programme for IPBES (assessment, knowledge generation, policy support tools and methodologies and capacity building).
 - f) The identification of capacity building needs and related financing by IPBES offers an opportunity to ensure that capacity building is linked wherever possible to the enhanced use of applied science for implementation of [CITES].

- g) Every effort should be made to enhance effective cooperation between [CITES] and IPBES and to avoid duplication.
 - h) Collaboration between [CITES] and IPBES should occur at the global, regional and national levels.
3. If, following the second meeting of the plenary for IPBES, there is any need for the Chairs of the Animals and Plants Committees and the Secretariat to participate in IPBES-related meetings before CoP16, this should be addressed in a discussion document prepared by the Secretariat for consideration by SC62. The same discussion document should also propose terms of reference for the Chairs and Secretariat to guide their engagement with IPBES prior to CoP16.

Results of discussions of the Animals and Plants Committees on item 7 on *Evaluation of the Review of Significant Trade [Decision 13.67 (Rev. CoP14)]*, based on document AC26/PC20 WG2 Doc. 2

Document adopted by the Committees

Membership (as decided by the Committee)

Chairs:	Carolina Caceres, North American Representative on the Animals Committee, Noel McGough, Nomenclature specialist on the Plants Committee;
Members and alternate members:	AC representative of Asia (Mr Pourkazemi), PC representative of Africa (Mr Hafashimana), Alternate AC representative of Europe (Mr Lörtscher);
Parties:	Australia, Belgium, Canada, China, France, Indonesia, Ireland, Mexico, Netherlands, South Africa, Tanzania, Thailand, United Kingdom and United States of America; and
IGOs and NGOs:	EU, IUCN, UNEP-WCMC, TRAFFIC, Pet Industry Joint Advisory Council, Humane Society International, WWF, Natural Resources Defence Council and Species Survival Network.

Mandate

On the basis discussions in plenary and document AC26/PC20 Doc. 7, the working group shall:

1. examine the case studies presented in Annex 3 to document AC26/PC20 Doc. 7 and provide comments orally for the plenary;
2. determine the agenda and any instructions for the meeting of the advisory working group for the evaluation of the Review of Significant Trade to be held in June 2012;
3. prepare a roadmap for the preparation of the final report on the evaluation of the Review of Significant Trade for presentation at the 17th meeting of the Conference of the Parties; and
4. confirm the final membership of the advisory working group.

Recommendations

1. The Animals and Plants Committee are invited to provide the advisory working group for the evaluation of the Review of Significant Trade with the observations made by the Dublin working group (below) for their discussion at the meeting to be held in June 2012.
2. The Animals and Plants Committee are invited to adopt the following as a proposed agenda for the meeting of the advisory group and roadmap for the preparation of the final report:

Draft Agenda

- a) Introductions
- b) Overview of Resolution Conf. 12.8 (Rev. CoP13), *Review of Significant Trade in specimens of Appendix-II species*, including its objections and process followed
- c) Presentation on the Results of the Case Studies
- d) Review progress against the Terms of Reference and *modus operandi* for the evaluation of the Review of Significant Trade and make recommendations for the consideration of the Animals and Plants Committees, focussing in particular on:

- i) Selection
 - ii) Correspondence and Communications
 - iii) Categorization
 - iv) Recommendations
 - v) Implementation of Recommendations
 - vi) Non-article IV issues
 - vii) Other
- e) Impact of the Review of Significant Trade
 - f) Conclusions and Next Steps (including management plans and action plans)
 - g) Approval of a report for the Animals and Plants Committees

Roadmap

Today – June 2012	<i>Opportunity for Parties and interested organizations to provide their feedback to the advisory working group co-chairs</i>
June 2012	Meeting of the Advisory Working Group, Vilm, Germany
July 2012	Oral report on progress to the Standing Committee
June – October 2012	Develop report for CoP16, reporting on current progress, initial conclusions and next steps
April 2013 – July 2014	Advisory Working Group works intersessionally to follow-up on direction confirmed by the Animals and Plants Committees.
April 2014	Report of the Advisory Working Group to be considered by AC27/PC21.
July 2014	Submit draft recommendations to Animals Committee and Plants Committee (may include changes to resolution as identified)
2014 Standing Committee Meeting	Report on progress to Standing Committee
2014 – 2015	Intersessional work to further elaborate draft recommendations following direction provided by AC/PC/SC
2014 – 2015	<i>Opportunity for Parties and interested organizations to provide their feedback to the advisory working group co-chairs</i>
2015 Meetings of the Animals & Plants Committees	Final draft report and recommendations to be agreed by the Animals and Plants Committee
2015 Standing Committee Meeting	Final draft report and recommendations presented to the Standing Committee
2015 – 2016	Final report and recommendations completed based on AC/PC/SC direction and recommendations submitted to CoP 17
2016	CoP 17

3. The Animals and Plants Committees agreed that the Advisory Working Group should take account of the following observations:

It was noted that the final membership of the advisory working group may change in that the currently identified representatives may no longer be available. The Co-Chairs of the advisory working group will work with the Secretariat and the Chairs of the Animals and Plants Committee to confirm the final participants in the advisory working group as soon as possible.

COMMENTS ON AC26/PC20 DOC. 7 THAT MAY BE OF RELEVANCE
FOR THE MEETING OF THE ADVISORY WORKING GROUP IN JUNE

It was noted that, whereas the case studies were presented on a species by species basis, most of the issues arising were cross-cutting in nature.

There was much discussion of the utility of conducting more country reviews, which might offer a means of addressing systemic capacity issues. Some discussion took place on the only country review to have been carried out to date; namely Madagascar. It was noted that no funds had been available to evaluate this review in parallel with the case studies considered by TRAFFIC. However, there was agreement that, if funds were made available in time, an evaluation of the Madagascar country review would be an invaluable aid to the discussions of the advisory working group meeting in June.

With regard to the remark in TRAFFIC's report that many of the most important issues that emerged in the case studies were not directly related to implementation of Article IV, the need for a more holistic approach was noted. At present, the only scope to deal with issues not relating to Article IV is for the Committees to bring these to the attention of the Secretariat. The Secretariat informed the group that, when it was made aware of such issues, the information was normally passed on to the relevant desk officer in the Secretariat. Depending on the seriousness of the issue raised, the Secretariat would decide subsequently whether or not to refer the matter to the Standing Committee. The working group felt that a more formalised process for dealing with such issues should be considered. It was also suggested that the advisory working group look at the case of bigleaf mahogany, where parallel processes are running in both the Plants and Standing Committees addressing Article IV issues and legal issues respectively.

The group also discussed the merits of the present system for informing the Standing Committee whether or not recommendations from the Plants or Animals Committees have been met. At present, this is decided upon by the Committee chairs, in consultation with the Secretariat. However the Chairs might not have been directly involved in formulating these recommendations at an earlier stage and so may not be in the best position to decide whether or not they had been complied with.

Cases where the same species was entered into review more than once were considered. This could be due to a range of factors, such as range States resuming high levels of trade once scrutiny had eased, shifts in trade to other range States, flaws in the recommendations provided by the Committees or simply poor communication and understanding. The question of range States establishing zero quotas in response to the review was discussed at some length. There was concern that sometimes this happened because the range States saw this as an easier route than trying to implement complex recommendations. There was also concern that such zero quotas could be lifted once the species/ country exited from the review. The Committees were responding to this problem by effectively requiring the relevant range States to seek Committee approval for resumption of trade. However, the wisdom of having an ever-accumulating list of such species/ countries was questioned.

Poor communication – and associated poor understanding on the part of range States in receipt of correspondence – emerged as major issues. It was noted that some countries that were subject to trade suspensions as a result of failure to respond to correspondence might not necessarily have more serious underlying problems relating to implementation of Article IV. It was recommended that the initial letter from the Secretariat be made more explanatory – e.g. by including a questionnaire. It was also recommended that range States be encouraged to see the process as an opportunity to draw attention to problems of capacity and to seek assistance in remedying these. It was also noted that better communication with range States in the initial stages might help to eliminate more countries, thus making the later stages more efficient.

The database which would allow structured review of past cases was universally welcomed. The Secretariat indicated that they intended to include correspondence from range States in the database, albeit with restricted access. In this regard, the working group noted the recommendation of the Animals Committee that in future range States be asked to specify if they did not want their correspondence to be made public, with a presumption that otherwise it would be.

The working group discussed means to make the process more efficient by resourcing it better in the initial stages. It was noted that the initial analysis provided to the Committees to aid in the selection process is carried out voluntarily by UNEP-WCMC; core funds are only sufficient to cover the cost of providing the raw trade data in phase 1 and the more detailed evaluations later. UNEP-WCMC indicated that, with more resources, they could make the initial selection process more efficient by developing automated ways of filtering out artefacts

that were the result of improved reporting, or cases where, despite a rising trend of overall trade volumes, some range States were exporting few or no specimens. It was also pointed out that, although the process appears very drawn out, the timespans for the later in-depth reviews are, in fact, very tight. This lends weight to the need to eliminate non-problem cases at the earliest opportunity.

More generally, the slowness of the process remains an issue. It was noted that this is determined by the frequency of physical meetings of the Committees and that it could be speeded up considerably without any need to amend Resolution Conf. 12.8 (Rev. CoP13) if the Committees were prepared to do more work intersessionally.

The need for improved guidance on the process was noted. There is a module devoted to it in the Virtual College. However, further means to provide expanded guidance could be considered.

**Results of discussions of the Animals and Plants Committees on item 8 on
Non-detriment findings based on document AC26/PC20 WG3 Doc. 1**

Document adopted by the Committees

Membership

- Co-Chairs: Mr Carlos Ibero Solana and Ms Margarita África Clemente Muñoz;
- Members: AC Representatives: Africa, Asia, Central and South America and the Caribbean; Europe; North America and Oceania; PC Representatives: Africa, Asia, Central and South America and the Caribbean; North America and Oceania;
- Party observers: Australia, Brazil, Canada, Chile, China, Czech Republic, France, Germany, Iraq, Ireland, Japan, Kuwait, Madagascar, Malaysia, Mexico, Poland, Republic of Korea, Russian Federation, South Africa, Thailand, The Netherlands, United Kingdom; United States of America;
- CITES Secretariat: Mr John Scanlon, Ms Milena Sosa Schmidt, Ms Elena Kvitsinskaia; and
- IGOs and NGOs: European Commission, IUCN, Assoc of Midwest Fish & Wildlife Agencies, Assoc. of Northeast Fish & Wildlife Agencies, Assoc. of Western Fish & Wildlife Agencies, Association of Fish & Wildlife Agencies, Conservation Force, CSA&C, Eurogroup for Animals, HSI, Humane Society US, NRDC, Safari Club International Foundation, SSN, TRAFFIC International.

Mandate

The working group shall:

1. review and provide comments on the actions proposed in paragraphs 15 and 16 of document AC26/PC20 Doc. 8.2;
2. on the basis of document AC26/PC20 Doc. 8.4 and taking account of the results of the International Expert Workshop on Non-Detriment Findings (Cancún, November 2008) and the responses to Notification to the Parties No. 2009/023, paragraph 1 f) of Notification to the Parties No. 2010/027, Notification to the Parties No. 2011/004 and paragraph f) of Notification to the Parties No. 2011/049, prepare draft guidance on the making on non-detriment findings, which can be conveyed to Parties for comment, in line with paragraph d) iii) of Decision 15.24; and
3. on the basis of document AC26/PC20 Doc. 8.5, prepare a discussion paper for consideration at the 16th meeting of the Conference of the Parties (CoP16) with options on how to use the workshop outputs, including a draft resolution on the establishment of non-legally binding guidelines for the making of non-detriment findings.

Recommendations

1. The Working Group concludes that the point 1 is included in 3.
2. The Working Group concludes that the Annex Doc. AC26/PC20 Doc. 8.4 has to be submitted to the CoP16 as reference and flexible examples for the Parties to make NDF.
3. Regarding point 3: the Working Group recommends the following draft resolution be adopted by the Animals and Plants Committees:

Non-detriment findings

RECOGNIZING that according to Articles II, III, and IV of the Convention, Parties shall only allow trade in specimens of species included in Appendices I and II in accordance with their provisions, it is required that an export permit shall only be granted when a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of the species being traded (i.e. non-detriment finding or NDF), which shall be considered an essential requirement for CITES implementation;

RECALLING also that Article IV, paragraph 3, requires a Scientific Authority of each Party to monitor exports of Appendix-II species and to advise the Management Authority of suitable measures to be taken to limit such exports in order to maintain such species throughout their range at a level consistent with their role in the ecosystem [and well above the level at which they would qualify for Appendix I];

NOTING that Resolution Conf. 14.7 (Rev. CoP15) recommends that, when Parties are establishing national voluntary export quotas, they should do so based on a non-detriment finding by the Scientific Authority of the State of export;

RECALLING furthermore that, in Resolution Conf. 10.3 (*Designation and role of the Scientific Authorities*), the Conference of the Parties recommends, amongst other things, that:

- c) Management Authorities not issue any export or import permit, or certificate of introduction from the sea, for species listed in the Appendices without first obtaining the appropriate Scientific Authority findings or advice; and
- h) the findings and advice of the Scientific Authority of the country of export be based on the scientific review of available information on the population status, distribution, population trend, harvest and other biological and ecological factors, as appropriate, and trade information relating to the species concerned;

RECALLING that the effective implementation of Article IV, paragraphs 2 (a), 3 and 6 (a) will prevent the need to take appropriate actions according to Resolution Conf. 12.8 (Rev. CoP13) on the *Review of Significant Trade in specimens of Appendix-II species*;

NOTING that the great variety of taxa, life forms and biological characteristics of species included in Appendices I and II supports the idea that there are various ways a Scientific Authority can make non-detriment findings;

AWARE of the challenges Parties face when making scientifically-based non-detriment findings, and that guiding principles and experience sharing for making non-detriment findings would improve implementation of Articles III and IV of the Convention;

RECOGNIZING the outputs of the national and international/regional workshops on CITES non-detriment findings (China, Dominican Republic, Indonesia, Kuwait, Mexico, Nepal, Peru, etc.), the guidance for CITES Scientific Authorities produced by the IUCN and, other capacity-building workshops;

Note: It was agreed to mention in the preamble the CITES Strategic Vision in its updated version as appropriate [REAFFIRMING Objective 1.5 of the CITES Strategic Vision: 2008-2013 (Resolution Conf. 14.2) adopted by the Conference of the Parties at its 14th meeting (The Hague, 2007), that the best available scientific information is the basis for non-detriment findings].

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS that:

- a) Scientific Authorities consider the following, non-binding, guiding principles in advising that trade will, or will not, be detrimental to the survival of a species:
 - i) The non-detriment findings for Appendix-I and -II species is a science-based assessment that verifies that the proposed export is not detrimental to the survival of that species.

- ii) The non-detriment finding considers whether the species is maintained throughout its range at a level consistent with its role in the ecosystems in which it occurs.
- iii) The data requirements for a non-detriment finding depend on the level of risk and shall be influenced by, and be proportionate, to the vulnerability of the target species.
- iv) The making of an effective non-detriment finding relies upon specimen verification and certainty of identification for all specimens.
- v) The origin of the specimen will affect the type of non-detriment finding assessment that is appropriate, and may simplify assessment of risk.
- vi) When making a non-detriment finding, the methodology used should employ flexibility that enables the specific and individual characteristics of different taxa to be considered.
- vii) The implementation of adaptive management, including monitoring, is an important consideration in the non-detriment finding making process.
- viii) The non-detriment finding is based on resource assessment methodologies which may include consideration of, but not limited to:
 - A. species biology and life history characteristics;
 - B. species range – historic and current;
 - C. population structure, status and trends (nationally or in the harvested area);
 - D. threats;
 - E. species-specific levels and patterns of harvest/mortality (e.g. age, sex) - historic and current;
 - F. estimates of species-specific levels of harvest/mortality from all sources combined;
 - G. management measures currently in place and proposed, including adaptive management strategies and consideration of levels of compliance; and
 - H. results of population monitoring.
- ix) The sources of information that may be considered by the Scientific Authorities, but not limited to, in making non-detriment finding includes:
 - A. relevant scientific literature concerning species biology, life history, distribution and population trends;
 - B. details of any ecological risk assessments conducted;
 - C. scientific surveys conducted at harvest locations and at sites protected from harvest and other impacts); and
 - D. relevant knowledge and expertise of local and indigenous communities.
- b) Parties consider as reference for making non-detriment findings the information included in the Annex of AC26/PC20 Doc. 8.4 and any subsequent updates available on the CITES Website (<http://www.cites.org/eng/prog/ndf/index.php>).

ENCOURAGE Parties:

- a) to explore more methods of making non-detriment findings;
- b) to share experiences and examples of making non-detriment findings, including through appropriate regional or subregional workshops, and communicate them to the Secretariat;

- c) to maintain written records of the science-based rationale included in the Scientific Authorities non-detriment finding assessments; and
- d) to offer, on request, cooperative assistance to developing countries, for improvement of capacity regarding non-detriment finding based on nationally identified needs. Such cooperative assistance could take multiple forms, including financial and technical support.

DIRECTS the Secretariat:

- a) to maintain and update regularly with information from the Animals and Plants Committees and Parties, a prominent section, with appropriate categorization of the information, on the CITES web site devoted to the making of non-detriment findings;
- 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;
- c) to request that this information is accessible in the Introduction to CITES and non-detriment findings course in the CITES Virtual College; and
- d) to assist identifying possible funding sources to help Parties implementing capacity building activities to make non-detriment findings.

**Results of discussions of the Animals and Plants Committees on item 9
on *Capacity-building programme for science-based establishment and implementation
of voluntary national export quotas for Appendix-II species (Decision 12.91) – Report of the joint
working group, based on document AC26/PC20 Com. 1***

Document adopted by the Committees

1. Further report of the working group Co-Chairs.
2. In relation to paragraph 14 d) of document AC26/PC20 Doc. 9, the Plants and Animal Committees are invited to consider the following draft Decision for submission at the 16th Conference of the Parties:

16.XX ***Directed to the Secretariat***

The Secretariat shall:

- a) invite Parties to submit their experiences and the results from workshops, projects or publications related to the making of NDFs for inclusion on the CITES website; and
 - b) ensure this information is available in other formats (e.g. CD-Rom) where appropriate.
3. In order to ensure that the Committees provide scientific advice to the Secretariat on its capacity-building materials on a permanent basis the Animal and Plants Committees are invited to adopt the following suggested text changes to Resolution Conf. 11.1 (Rev. CoP15) on *Establishment of committees* in order to facilitate this work:

In paragraph d) of the first RESOLVES of Annex 2 Resolution Conf. 11.1 (Rev. CoP15) on *Establishment of committees*, add the underlined text:

- 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; and*

and

Repeal the text in paragraph c) of Decision 15.24 and repeal the following text from Decision 12.91 as follows:

“and shall, as appropriate, consult with the Animals Committee and Plants Committee on this programme. This consultation may include:

- a) *solicitation of input from the Committees regarding materials used in the capacity-building programme for voluntary national export quotas for Appendix-II species; and*
- b) *a request for new information from the Committees on methods used for establishing quotas and for relevant case studies on the establishment of quotas.”*

**Results of discussions of the Animals and Plants Committees on item 11 on
Transport of live specimens (Decision 15.59) – Report of the joint working group,
based on document AC26/PC20 WG1°Doc.°1**

Document adopted by the Committees

Membership (as decided by the Committee)

Chair:	Austria;
Parties:	Ireland and United States of America; and
IGOs and NGOs:	Pet Industry Joint Advisory Council, Association of Zoos and Aquariums, Animal Welfare Institute, Alliance of Marine Mammal Parks and Aquariums, International Environmental Resources.

Mandate

The working group shall:

1. review and finalize the draft set of guidelines on non-air transport of live specimens provided by the co-chairs, which would replace the CITES *Guidelines for transport and preparation for shipment of live wild animals and plants* (1981);
2. consider whether the final draft guidelines should be incorporated into an existing Resolution of the Conference of the Parties or the IATA/LAR and IATA/PCR, or be provided to Parties in some other way, and make related recommendations including the repeal of the existing Guidelines;
3. review and, if needed, propose revisions to Resolution Conf. 10.21 (Rev. CoP14) and Resolution Conf. 12.3 (CoP15); and
4. determine whether one or more draft decisions are needed to provide for and guide future work on the transport of live specimens and, if so, prepare such draft decisions.

Recommendations

1. The Animals and Plants Committees should endorse the finalized CITES Guidelines for the Non-Air Transport of Live Wild Animals and Plants to replace the CITES *Guidelines for transport and preparation for shipment of live wild animals and plants* (1981);
2. The CITES Guidelines for the Non-Air Transport of Live Wild Animals and Plants should be made available on the CITES website and shared with IATA for possible incorporation into the IATA LAR and PCR;
3. The Animals and Plants Committees should endorse the proposed revisions of Resolution Conf. 10.21 (Rev. CoP14) for onward transmission to CoP16;
4. No revisions to Resolution Conf. 12.3 (Rev. CoP15) are necessary.

CITES GUIDELINES FOR THE NON-AIR TRANSPORT OF LIVE WILD ANIMALS AND PLANTS

1. Introduction

At the first meeting of the Conference of the Parties to the Convention on International

Trade in Endangered Species of Wild Fauna and Flora (CITES) (Bern, 1976), it was resolved that guidelines on the care and shipment of live specimens of species listed under the Convention should be prepared. At the special working session of the Conference (Geneva, 1977), it was agreed that such guidelines should apply to all animals and plants, not just those currently listed under the Convention. It was further agreed that such guidelines should cover all forms of transport, be practical, and should be directed to the use of persons actually handling the consignments as well as the enforcement authorities.

The resulting Guidelines for the transport and preparation for shipment of live wild animals and plants were broadly based upon the "Live Animals Regulations" (LAR) of the International Air Transport Association (IATA) and were finalized and made available to Parties in 1981.

At the 12th meeting of the Conference of the Parties (Santiago, 2002), Parties determined that the Guidelines were out of date and directed the Animals Committee to consider their replacement. The Animals Committee's Transport Working Group (TWG) subsequently determined that the IATA LAR provided appropriate guidance in most situations for the transport of live wild specimens of all CITES-listed species, regardless of the mode of transport.

At the 13th meeting of the Conference of the Parties (Bangkok, 2004), the Parties adopted a Decision directing the Animals Committee, in consultation with the Plants Committee and the Secretariat, to develop up-to-date guidance on the transport of live animals and plants of CITES-listed species to replace the 1981 CITES Guidelines. The subsequent work of the TWG led to a revision of Resolution Conf. 10.21 (Rev. CoP14) at the 14th meeting of the Conference of the Parties (The Hague, 2007). The revised Resolution recommended that Parties promote the use of the IATA LAR and IATA Perishable Cargo Regulations (PCR- for the transport of Plants) by Management Authorities, and that these IATA Regulations be used as a reference to indicate suitable conditions for transport by means other than air where appropriate. The Resolution also recommended that the LAR and PCR be incorporated into Parties' domestic legislation or policies.

At the 15th meeting of the Conference of the Parties (Doha, 2010), the Animals Committee was directed to develop a supplement to the IATA LAR for CITES-listed taxa that required non-air transport conditions different from those listed in the IATA LAR. The Conference also agreed to delete the reference to the use of the Guidelines for the transport and preparation for shipment of live wild animals and plants in box 5 of the CITES permit, leaving references only to the use of the IATA LAR and PCR.

The envisaged supplement to the IATA LAR is presented here. It is a two part document. The first part covers "General Conditions" for the transport of live animals. The second part deals with the "Technical Specifications" that deviate from the IATA LAR in respect to the non-air-transport of certain taxa and only apply to the species listed therein.

Like the IATA LAR, non-air transport methods are continually evolving and this supplement may be amended over time as innovations in live wild animal transport are made. CITES will collaborate with the IATA Live Animals and Perishables Board to determine whether and how this supplement may be included in future IATA editions of the LAR and then made available to Parties.

This supplement was developed to indicate where the IATA LAR is not entirely sufficient for the non-air transport for certain CITES-listed species. The deviations provided in the supplement only apply to the non-air transport of the identified taxa. All wildlife, including the identified taxa herein, may be transported by air, road, rail or ship according to the methods listed in the most current edition of the IATA LAR.

2. General Conditions

For the shipment of plants the IATA PCR apply.

IATA LAR are appropriate for the non-air-transport of all species of animals. However, for transports exceeding 48 hours additional provisions may be necessary. Such provisions may include but are not limited to:

- Increase of space available per animal;
- Decrease of density of animals;
- Measures that prevent fecal buildup;
- Additional lighting;
- Behavioural enrichment;
- Temperature and ventilation modifications,

However, for some taxa, deviations from the LAR are equally appropriate and may be the preferred method chosen by the person responsible for the shipment of live animals.

For taxa and deviations refer to the "Technical Specifications".

General conditions for the transport of live animals

The transport of an animal constitutes an unnatural situation for the animal and is most likely to cause it some degree of stress. High levels of stress may increase metabolic rates, hazardous behaviour, chances of injuries and susceptibility to diseases.

For reasons of animal welfare, animal transport should be quick, efficient and strive to avoid as much stress as possible to the animal;

The transport of live animals must be well planned, well prepared and effectively executed!

For long distances, air transport should be the first consideration!

Animals must:

- never be transported in a way likely to cause them unnecessary fear, injury, damage to health or undue suffering;
- be checked for fitness for transport before loading.

An animal that is injured or that has physiological weaknesses or pathological problems should not be considered fit for transport especially if:

- it is unable to move independently without pain;
- it has a severe open wound, or prolapse;
- it is a pregnant female for whom 90 % or more of the expected gestation period has already passed;
- it is a female that has given birth in the previous week;
- it is a new-born mammal in which the navel has not completely healed;
- it is a cervid in velvet;

However, sick and/or injured animals may be transported if:

- the illness or injury is part of a research programme,
- the animals are transported under veterinary supervision for or following veterinary treatment or diagnosis, (i.e the animal is being transported to receive medical treatment for its condition, etc.)

Sedatives should not be used on animals to be transported unless strictly necessary to ensure the welfare of the animals and should only be used under veterinary supervision.

In cases where anaesthesia has been given, the animal must be completely awake, alert and able to balance itself before the transport commences. Detailed information must be clearly noted on the container and accompanying paperwork.

Planning obligations for the transport of live animals

Transporters and organizers of transports have an obligation to plan the transport to ensure that the welfare of the animals is not compromised.

Sound knowledge of the species in transport is of greatest importance. Comprehensive information, when available, about the animal should contain:

- age
- sex
- social structure

- nutrition and feeding requirements
- animal's health and medical history
- environmental requirements including lighting, humidity and temperature
- imprinting
- pedigree
- behaviour profile including individual characteristics and peculiarities.

Weather conditions, status of transport routes, potential causes for delays, border wait times, legal obligations that may include commercial licenses, driver's rest, traffic bans, truck scales, chase vehicles, passport requirements, visas, locations of fuel and repair services, etc. should be investigated and must be taken into account prior to the onset of transport.

National and international laws and regulations as applicable in the countries of origin, transit, and destination must be investigated and complied with. Before preparing a live animal for transport, shippers must always obtain full information well in advance concerning import/export, in-transit permit, veterinary health certificate, veterinary import/export permit, CITES import/export/re-export permit, veterinary examination, pre-arrival declaration, and clearance times, quarantine, ports of entry, border inspection posts and prohibition restrictions, which may include traffic bans, veterinary restrictions as well as restrictions for food and bedding provided for the animal.

Customs and veterinary clearances, as well as other relevant services may not be available on weekends and holidays.

It is the shipper's responsibility to ascertain what national legislation regarding the protection of animals during transport is in force for all countries through which the animals are being transported, and to obtain all necessary documents, permits, certificates and licenses prior to departure.

All necessary advance arrangements in compliance with applicable laws and regulations must be made to minimize the duration of the transport and to meet the animals needs during and after transport. Arrangements must be made for animals to be delivered to the consignee upon arrival at its destination. The shipper is obliged to inform the consignee of the anticipated time of arrival and the receiver should make every effort to be present at the time the animal arrives at its destination.

The shipper is responsible for all necessary marking and labelling regarding the transport and/or containers.

Contingency plans in the event of an emergency are strongly recommended.

Contingency plans should contain information on:

- appropriate measures to be taken if an animal escapes;
- locations and contact details of appropriate repair facilities along the route;
- locations and contact details of appropriate veterinary services along the route;
- locations and contact details of zoos or aquariums along the route;
- emergency telephone codes;
- contact details of appropriate authorities;
- alternative routes;
- locations and contact details of appropriate services along the alternative route;
- any other information that may be appropriate.

Means of transport

The means of transport, containers and their fittings should be designed, constructed, maintained and operated so as to:

- avoid unnecessary fear, injury, damage to health, suffering, cruel treatment, and to ensure the safety of the animal;
- protect animals from inclement weather and adverse changes in climatic conditions;
- provide ambient temperatures appropriate for the transported species at all times during the transport;
- be easily and properly cleaned and disinfected;
- prevent the animal from escaping or falling out and be able to withstand the stresses of movements;
- ensure that air quality and quantity appropriate to the species transported can be maintained;
- animals must not be exposed to exhaust gases;
- present a non-slip flooring surface;

- present a flooring surface that absorbs urines, contains faeces and minimizes the leakage of either outside of the container;
- provide a means of lighting sufficient for inspection and care of the animal during transport.

Special consideration must be given to measures to prevent adverse impacts from climatic changes in the case of transports over long distances or over major differences in elevation.

Partitions and compartments must be strong enough to withstand the weight of the animal.

Access to each individual compartment, without disturbing other animals, should be provided in case an animal is in distress or injured.

Animals should be provided with appropriate bedding or equivalent material which guarantees their comfort appropriate to the species, the number of animals being transported, the transportation time, and the weather. The material should adequately absorb urine and faeces and must not contravene legislation as applicable.

A sufficient supply of bedding material should be carried on the vehicle or should be available en route as required.

The means of transport should be equipped with a roof of light colour that is able to prevent animals from escaping.

Containers must always be kept upright and severe jolts or shaking should be minimized.

Containers must be secured throughout the transport so as to prevent displacement due to the movements and/or vibrations of the conveyance.

Vehicles should be equipped with appropriate-sized fire-extinguishers.

Shippers should crate-train or otherwise acclimate animals to be transported with transport container and vehicle.

Surveillance systems to monitor animals during transport are highly recommended

Marking and Labelling

Vehicles in which animals are transported should be clearly marked indicating the presence of live animals except when the animals are transported in containers that are clearly marked indicating the presence of live animals and with a sign indicating the top of the container.

All markings and labels must be legible, durable and printed or otherwise marked on or affixed to the external surface of the container or vehicle.

Containers carrying animals which can inflict poisonous or venomous bites and stings must be boldly marked "POISONOUS" or "VENOMOUS".

Poisonous or venomous animals should be double-packed to prevent escape. Vehicles or containers carrying animals that can possibly inflict injury must have an additional warning label "This Animal Bites" or "Dangerous Animal".

Persons accompanying transports

Personnel accompanying and handling animals should be appropriately trained and competent for this purpose and should carry out their duties diligently without using methods likely to cause unnecessary fear, injury, damage to health or suffering of the animal(s) or any personnel connected with the transport.

It is strongly recommended that appropriate training and experience with the respective species be a prerequisite for any person accompanying shipments of that animal and any person handling that animal during and after transport.

No person should transport animals or cause animals to be transported in a way likely to cause unnecessary fear, injury, damage to health, suffering or cruel treatment.

An individual deemed competent to accompany a shipment of live animals should possess the following, as appropriate to the species:

- knowledge of transport regulations as applicable;
- knowledge of animal health and welfare regulations, and document requirements applicable to the countries of origin, transit and destination;
- knowledge of the handling and care of animals before, during and after loading/unloading, and transport;
- ability to recognize an animal which is ill or becomes unfit for transport;
- ability to recognize signs of stress and their causes, and how to reduce these;
- ability to handle emergency situations.

All accompanying personnel should possess a valid passport with visas or equivalent identifying documents as required, and means of communication.

Loading and unloading

The loading and unloading facilities should be adequately designed, constructed, maintained, and operated so as to avoid unnecessary fear, injury, damage to health, suffering, cruel treatment, and to ensure the safety of the animals.

Appropriate surfaces and appropriate protections shall be provided so as to prevent animals from escaping.

If ramps are used in the process of loading and unloading they should be installed at a height and angle appropriate for the species, and be so designed as to ensure that the animals can traverse it without risks or difficulties.

All necessary facilities and equipment for crating, hoisting of containers, loading and unloading should be in place and readily available to minimize the time for loading and unloading, to ensure the animal's welfare, and to minimize the risk of unnecessary fear, injury, damage to health, suffering and cruel treatment.

Goods such as feed which are being transported in the same conveyance as animals must be positioned and secured so that they do not interfere with the transport of the animals and cause unnecessary fear, injury, damage to health or suffering to the animals.

Advance arrangements should be made so that all appropriate equipment and personnel are in place at the place of destination at the estimated time of arrival to ensure quick and safe unloading of all animals.

Appropriate lighting should be provided during loading and unloading.

It is essential that specific measures are implemented to safeguard the health and welfare of animals and all personnel during and after loading and unloading.

When containers loaded with animals are stacked on top of each other on the conveyance, the necessary precautions shall be taken:

- to avoid urine and faeces falling on the animals placed underneath;
- to ensure stability of the containers;
- to ensure that ventilation is not impeded.

Animals must be handled and transported separately in the following cases:

- animals of different species;
- animals of significantly different sizes or ages;
- sexually mature males;
- animals with horns
- animals aggressive to each other

This may not apply to animals from proven compatible groups, animals that are acclimated to each other and/or where separation will cause distress, or females accompanied by dependent and/or unweaned young.

All animals should be checked upon their arrival at the place of destination by experienced and trained handlers and/or veterinary personnel.

Animals must be moved with care at all times.

Appropriate provisions should be taken at the destination to allow transported animals to adapt to its new environment.

During transport

Space allowances shall comply with IATA LAR for transports of all modes of transport for up to 48 hours.

For taxa described in the "technical specifications" of this non-air transport supplement, space allowances should comply with the figures laid out therein.

Sufficient ventilation without injurious drafts and adequate protection from the elements must be provided at all times during the transport to ensure that the needs of the animals are fully met. Transporters must take into account the species and number of animals transported, the expected weather conditions during the transport, and the possibility of unexpected stops.

Containers should be stored in a way in which ambient conditions are stable and appropriate, and that does not impede ventilation.

Food and water provided for animals should be appropriate for the species and the individual's size and age. It should be made available, at appropriate intervals, depending on ambient climatic conditions encountered during transport.

Food and water should always be offered in a way that is familiar to the animal and that also minimizes contamination.

The conveyance should carry a sufficient quantity of appropriate food for the animals during the transport. The food must be protected from the weather and from contaminants such as dust, fuel, exhaust gases and animal excrements.

Where specific feeding equipment is used for the feeding of animals, that equipment should be transported in the conveyance.

Where feeding equipment is used, it should be so designed that it is not hazardous to the animals, and if necessary, should be affixed to the container or conveyance to prevent its contents from spillage. When the equipment is not in use, it should be stored away from the animals.

In the case of two or more animals per compartment, the natural behaviour of the animals, particularly social aspects, must be considered, and food and water should be offered in a way as to be accessible to every animal.

An adequate supply of water is essential for most species.

The watering devices should be in good working order and be appropriately designed and positioned for the animal in transport.

Sufficient and appropriate floor area and height should be provided for the animals, appropriate to their species, their size, number of animals transported, and the anticipated duration of the transport.

The transport should be carried out without delay to the destination and the welfare conditions of the animals must be regularly checked and appropriately maintained by competent personnel.

In case of a delay during transport, all necessary actions required to safeguard the welfare of the animals and reduce the risk of unnecessary fear, injury, damage to health and suffering should be taken by the transporter.

Appropriate climate conditions and control must be provided with respect to the particular species and must be maintained throughout the transport-taking into consideration possible heat and wind chill factors, weather conditions, and the possibility of unexpected stops.

Appropriate surveillance systems should monitor the temperatures of the compartments of the transported animals at all times and alert the transporter when the temperature in the compartments where animals are located falls outside of the recommended maximum or minimum ranges..

Animals should be offered a rest period at suitable intervals depending on the species and length of transport, and offered appropriate food and water.

When animals fall ill or are injured during transport, they should receive appropriate veterinary treatment as soon as possible and, if necessary, undergo emergency

euthanasia in a way which does not cause them any unnecessary suffering in compliance with legislation as applicable.

Waste material that contains organic material produced by the animal, animal feed or bedding material, must be handled, collected and disposed of in compliance with applicable legislation/regulation. The legislation/regulation of some countries may prohibit the use of certain organic materials such as hay, straw, and other animal feed. Unloading organic waste may be restricted or prohibited in some countries. Appropriate measures may be taken to store such waste safely and securely for the duration of transit.

3. Technical Specifications

For the shipment of plants the IATA PCR apply.

IATA LAR apply to the non-air-transport of all taxa.

However, the technical specifications contained in this chapter may also be followed, and only apply to the non-air-transport of the taxa listed below.

For purposes of the technical specifications the term "trailer" refers to a vehicle used to transport animals that is pulled by a car, truck, or train.

For purposes of the technical specifications the term "compartment" refers to a separate part, section or chamber within a means of transport.

Invertebrate

No deviations from the LAR

Crustacean

No deviations from the LAR

Fish

Fish species (CR 51, CR 59, CR 60)

Amphibians

No deviations from the LAR

Reptiles

No deviations from the LAR

Birds

Pelican species (CR 21)

Penguin species (CR 22)

Ratite species (CR 24)

Stork and Crane Species (CR 17)

Mammals

Antelope species (CR 73)

Buffalo and Cattle species (CR 73)

Deer species (CR 73)

Elephant species (CR 71)

Flamingo species (CR 17)

Hippopotamus species (CR 74)

Kangaroo species (CR 83)

Pig species (CR 74)

Pinniped species (CR 76)

Rhinoceros species (CR 74)

Sheep species (CR 73)

Small Camelid species (CR 73)

Tapir species (CR 74)

Wild Ass species (CR 73)

Wild Horse species (CR 73)

Fish species CR51/59/60

General Care and Loading

Fish tanks for road transport should be designed so that the lids do not completely seal and can release excess gases without compromising water loss.

Ratite species CR24

General Care and Loading

Ostriches, emus, and rheas may be transported loose in trucks, trailers or rail cars. Non-slip floors need to be provided. Trucks, trailers and rail cars must meet the minimum requirements for container construction regarding strength, stability, safety, and size.

Birds may not be shipped together in groups if they:

- are unfamiliar with each other;
- display aggression in close quarters;
- are of significantly different sizes or ages;
- are sexually mature males;
- are aggressive to each other;
- are a group of more than 15 individuals.

This shall not apply to animals from proven compatible groups, animals that are accustomed to each other, animals where separation will cause distress, or females accompanied by dependent young.

Only one (1) male per container or compartment.

Cassowary

Cassowary may be transported singly in crates but it is preferable to transport sexually mature, adult cassowaries free standing in a trailer compartment.

Sexually mature animals must always be shipped singly.

Dimensions and Stocking density

For total transport times up to 48 hours, follow density specifications described in the Container Requirements for Ratites.

For total transport times over 48 hours the number of rest stops should be increased and additional space offered while not in motion.

For total transport times over 48 hours air transport is preferred.

Floor space requirements for emus apply to rheas and cassowaries equally.

Food and Water Containers

Containers may not be affixed inside trailer or compartment.

Flamingo species CR17

General Care and Loading

Flamingo species may be transported loose in trucks, trailers or rail cars. Flamingos should be transported in clusters or groups rather than in individual compartments as long as they come from an established flock and are familiar with each other. Trucks, trailers and rail cars must meet the minimum requirements for container construction regarding strength, stability, safety, and size.

Floor

Floor covering must be firmly fixed to the floor so birds do not slide or lose footing. Soft damp bedding must be provided to prevent the foot webbing from drying out during transportation; e.g., soaked carpeting or 5 cm (2 in) foam rubber.

Dimensions and Stocking density

For transport times up to 48 hours, allow a minimum of 0.2 m² (2 sq.ft.) per bird for a compatible group of flamingos.

For total transport times over 48 hours the number of rest stops should be increased and additional space offered while not in motion.

For longer transport air transport is preferred.

Food and Water Containers

Containers may not be affixed inside trailer or compartment.

Stork and Crane species CR17

General Care and Loading

Stork and crane species may also be transported loose in trucks, trailers or rail cars. Trucks, trailers and rail cars must meet the minimum requirements for container construction regarding strength, stability, safety, and size.

Birds may not be shipped together in groups if they:

- are unfamiliar with each other;
- display aggression in close quarters;
- are of significantly different sizes or ages;
- are aggressive to each other.

This shall not apply to animals from proven compatible groups, animals that are accustomed to each other, animals where separation will cause distress, or females accompanied by dependent young.

Large and/or aggressive species of storks and cranes should always be transported in single compartments or crates.

Floor

Floor covering must be firmly fixed to the floor so birds do not slide or lose footing.

Dimensions and Stocking density

For transport times up to 48 hours, allow a minimum of 0,2 m² (2 sq.ft.) per bird for a compatible group of storks or cranes.

For total transport times over 48 hours the number of rest stops should be increased and additional space offered while not in motion.

For total transport times over 48 hours air transport is preferred.

Food and Water Containers

Containers may not be affixed inside trailer or compartment.

Penguin species CR22

General Care and Loading

Temperature is a major concern and cool substrates are needed.

Plastic totes allow better temperature control and avoid leakage of any cooling substrates. Plastic totes may be used instead of other types of containers. Plastic totes must be secured at all times during transport.

Penguin species should not be shipped loose in a trailer.

Penguins should be accompanied by a person specialized in the care of penguins.

Penguin species from a warmer climate can be transported as long as they can be sprayed with water and providing transport does not exceed 8 hours.

It is recommended that penguin species from Antarctic or sub-Antarctic climates should be shipped in a climate controlled vehicle.

For long transportations air transport is recommended.

Pelican species CR21

General Care and Loading

Pelican species may be transported loose in trucks, trailers or rail cars. Trucks, trailers and rail cars must meet the minimum requirements for container construction regarding strength, stability, safety, and size.

Birds may not be shipped together in groups if they:

- are unfamiliar with each other;
- display aggression in close quarters;
- are of significantly different sizes or ages;
- are sexually mature males;
- are aggressive to each other.

This shall not apply to animals from proven compatible groups, animals that are accustomed to each other, animals where separation will cause distress, or females accompanied by dependent young.

Animals may be offered tubs of water during transports stops.

Dimensions and Stocking density

For total transport times up to 48 hours, allow a minimum of 0,6 m² (7 sq.ft.) per bird for a compatible group of pelicans.

Dalmatian pelican (*Pelecanus crispus*)

For total transport times up to 48 hours, allow 0,9 m² (10 sq.ft.) per bird for a compatible group of pelicans.

For total transport times over 48 hours the number of rest stops should be increased and additional space offered while not in motion.

For total transport times over 48 hours air transport is preferred.

Big cat species CR72

Big cats may be transported loose in compartments within a truck, trailer or rail car. Compartments must meet the minimum requirements for container construction regarding strength, stability, safety, and size.

Bear species CR72

Bear species may be transported loose in compartments within a truck, trailer or rail car.. Compartments must meet the minimum requirements for container construction regarding strength, stability, safety, and size.

Wild horse and ass species CR73

General Care and Loading

Wild horse and ass species may be transported loose in trucks, trailers or rail cars. Trucks, trailers and rail cars must meet the minimum requirements for container construction regarding strength, stability, safety, and size.

Sexually mature males must be shipped individually and must not be in the same trailer with females.

Females accompanied by unweaned foals may be shipped together if approved by a certified veterinarian.

All other weaned juveniles and mature animals should be transported singly in individual compartments or containers.

Dimensions

For total transport times over 48 hours the number of rest stops should be increased and additional space offered while not in motion. Additional conditions may be required to meet general transport conditions.

Food and Water Containers

Containers may not be affixed inside trailer or compartment.

Feeding of wild horse species should be reduced during the 24 hour period before loading. Wild horse species should not be offered food within three hours before loading.

Antelope species CR73

General Care and Loading

Antelope species may be transported loose in trucks, trailers or rail cars. Trucks, trailers and rail cars must meet the minimum requirements for container construction regarding strength, stability, safety, and size.

Antelope may not be shipped together in groups if they:

- are unfamiliar with each other;
- are different species;
- display aggression in close quarters;
- are significantly different sizes or ages;
- are sexually mature males;
- have horns;
- are aggressive to each other.

This shall not apply to animals from proven compatible groups, animals that are accustomed to each other, animals where separation will cause distress, or females accompanied by dependent young.

Sexually mature males must not be transported in the same trailer with females unless they are in a separate container or a completely segregated compartment.

Antelope species that must be shipped singly include:

- Duiker species;
- Klipspringer
- Reedbuck
- Rhebok
- Sable antelope

It is recommended that all animals be shipped singly in compartments.

Smaller antelope species and antelope species whose normal behaviour includes vertical jumping (e.g. klipspringer) should be transported in containers and not loose in compartments.

Covering the ends of the animal's horns with tubing, elastic material, or other protective devices should be considered.

Dimensions

For total transport times over 48 hours the number of rest stops should be increased and additional space offered while not in motion. Additional conditions may be required to meet general transport conditions.

Food and Water Containers

Containers may not be affixed inside trailer or compartment.

Sheep species CR73

General Care and Loading

Sheep species may be transported loose in trucks, trailers or rail cars. Trucks, trailers and rail cars must meet the minimum requirements for container construction regarding strength, stability, safety, and size.

Sheep may not be shipped together in groups if they:

- are unfamiliar with each other;
- are different species;
- display aggression in close quarters;
- are significantly different sizes or ages;
- are sexually mature males;
- have horns;
- are aggressive to each other.

This shall not apply to animals from proven compatible groups, animals that are accustomed to each other, animals where separation will cause distress, or females accompanied by dependent young.

Sexually mature males must not be in the same trailer with females unless they are in a separate container or a completely segregated compartment.

It is highly recommended that all animals be shipped singly in compartments.

Sheep species whose normal behaviour includes vertical jumping (e.g. bighorn sheep) should be transported in containers and not loose in compartments.

Dimensions

For total transport times over 48 hours the number of rest stops should be increased and additional space offered while not in motion. Additional conditions may be required to meet general transport conditions.

Food and Water Containers

Containers may not be affixed inside trailer or compartment.

Buffalo and Cattle species CR73

General Care and Loading

Buffalo and cattle species may be transported loose in compartments within trucks, trailers or rail cars. Compartments must meet the minimum requirements for container construction regarding strength, stability, safety, and size.

Sexually mature males must be shipped individually and must not be in the same trailer with females.

Females accompanied by unweaned foals may be shipped together if approved by a certified veterinarian.

All other weaned juveniles and mature animals should be transported singly in individual compartments or containers.

Dimensions

For total transport times over 48 hours the number of rest stops should be increased and additional space offered while not motion. Additional conditions may be required to meet general transport conditions.

Food and Water Containers

Containers may not be affixed inside trailer or compartment.

Deer species CR73

General Care and Loading

Deer species may be transported loose in compartments within trucks, trailers or rail cars. Compartments must meet the minimum requirements for container construction regarding strength, stability, safety, and size.

Deer may not be shipped together in groups if they:

- are unfamiliar with each other;
- are different species;
- display aggression in close quarters;
- are significantly different sizes or ages;
- are sexually mature males;
- are bearing hard antlers;
- are aggressive to each other.

This shall not apply to non antler-bearing animals from proven compatible groups, non antler-bearing animals that are accustomed to each other, animals where separation will cause distress, or females accompanied by dependent young.

It is recommended that all animals be shipped singly in compartments.

Deer in hard antlers may be transported without their antlers shed or removed, provided that the animals are individually segregated, and the primary container or compartment has been designed and constructed to prevent the antlers from becoming trapped or injuring the animal itself, other animals nearby, attendants, or cargo handlers. Trailers may be used with extreme care.

It is preferable and highly recommended to ship antler-bearing animals after shedding antlers.

Deer in velvet must not be transported.

Muntjacs

Muntjac species should be shipped according to the LAR.

Dimensions

For total transport times over 48 hours the number of rest stops should be increased and additional space offered while not motion. Additional conditions may be required to meet general transport conditions.

Food and Water Containers

Containers may not be affixed inside trailer or compartment.

Small camelid species CR73

General Care and Loading

Small camelid species may be transported loose in trucks, trailers or rail cars. Trucks, trailers and rail cars must meet the minimum requirements for container construction regarding strength, stability, safety, and size.

Small camelids may not be shipped together in groups if they:

- are unfamiliar with each other;
- are of different species;
- display aggression in close quarters;
- are significantly different sizes or ages;
- are sexually mature males;
- are aggressive to each other.

This shall not apply to animals from proven compatible groups, animals that are accustomed to each other, animals where separation will cause distress, or females accompanied by dependent young.

Sexually mature males must not be transported in the same trailer with females.

Dimensions

For total transport times over 48 hours the number of rest stops should be increased and additional space offered while not motion. Additional conditions may be required to meet general transport conditions.

Food and Water Containers

Containers may not be affixed inside trailer or compartment.

Tapir CR73

General Care and Loading

Tapirs may be transported loose in trucks, trailers or rail cars. Trucks, trailers and rail cars must meet the minimum requirements for container construction regarding strength, stability, safety, and size.

Tapirs may not be shipped together in groups if they:

- are unfamiliar with each other;
- display aggression in close quarters;
- are significantly different sizes or ages;
- are sexually mature males;
- are aggressive to each other.

This shall not apply to animals from proven compatible groups, animals that are accustomed to each other, animals where separation will cause distress, or females accompanied by dependent young.

Dimensions

For total transport times over 48 hours the number of rest stops should be increased and additional space offered while not motion. Additional conditions may be required to meet general transport conditions.

Food and Water Containers

Containers may not be affixed inside trailer or compartment.

Pig species CR74

General Care and Loading

Pigs may be transported singly loose in compartments within trucks, trailers or rail cars. Compartments must meet the minimum requirements for container construction regarding strength, stability, safety, and size.

Dimensions

For total transport times over 48 hours the number of rest stops should be increased and additional space offered while not motion. Additional conditions may be required to meet general transport conditions.

Food and Water Containers

Containers may not be affixed inside trailer or compartment.

Elephant, Rhinoceros & Hippopotamus species CR71

General Care and Loading

Elephants, rhinos and hippos may be transported in trucks, trailers or rail cars. Trucks, trailers and rail cars must meet the minimum requirements for container construction regarding strength, stability, safety, and size.

Hippopotamus

Animals should be sprayed at regular intervals throughout transport, depending on ambient conditions.

Dimensions

For total transport times over 48 hours the number of rest stops should be increased and additional space offered while not in motion. Additional conditions may be required to meet general transport conditions.

Food and Water Containers

Containers should not be affixed inside trailer or compartment.

Pinnipeds CR76

General Care and Loading

Pinnipeds may be transported loose in trucks, trailers or rail cars. Trucks, trailers and rail cars must meet the minimum requirements for container construction regarding strength, stability, safety, and size.

Skin moisture and appropriate body temperature should be maintained by e. g. water sprayers or dripping ice.

Dimensions

For total transport times over 48 hours the number of rest stops should be increased and additional space offered while not in motion. Additional conditions may be required to meet general transport conditions.

Walrus

Walrus must always be shipped in an individual container.

Food and Water Containers

Containers for food and water do not need to be provided.

Kangaroo and wallaby species CR83

General Care and Loading

Kangaroo and wallaby species may be transported in padded compartments within an truck, trailer or rail car. Compartments must meet the minimum requirements for container construction regarding strength, stability, safety, and size.

Kangaroos should be shipped singly.

This shall not apply to animals, where separation will cause distress or females accompanied by in pouch young attached to nipple.

Dimensions

For total transport times over 48 hours the number of rest stops should be increased and additional space offered while not in motion. Additional conditions may be required to meet general transport conditions.

Bedding

To avoid the hazard of necrobacillosis, prickly material such as straw must not be used.

Food and Water Containers

Containers may not be affixed inside trailer or compartment.

Conf. 10.21 (Rev. CoP14)¹⁹

Transport of live specimens

CONSIDERING that the Convention, in Articles III, IV, V and VII, requires Management Authorities to be satisfied, before granting export permits, or re-export or travelling exhibition certificates, that specimens will be so prepared and shipped as to minimize the risk of injury, damage to health or cruel treatment;

FURTHER CONSIDERING that the Convention, in Article VIII, requires Parties to ensure that all living specimens, during any period of transit, holding and shipment, are properly cared for so as to minimize the risk of injury, damage to health or cruel treatment;

~~NOTING that the revised version of the Guidelines for transport and preparation for shipment of live wild animals and plants, adopted by the Conference of the Parties at its second meeting (San José, 1979), has been communicated to all Parties; that air transport is the preferred method for transporting many live animals and plants and that there are special requirements necessitated by air transport;~~

FURTHER NOTING the extent to which, in the case of the transport of live animals, the Live Animals Regulations of the International Air Transport Association (IATA) and, in the case of the transport of live plants IATA's Perishable Cargo Regulations, are to be used for transport of live specimens and that the Live Animals Regulations and the Perishable Cargo Regulations are amended annually and are therefore more quickly responsive to changing needs;

~~MINDFUL of the fact that implementation of these Guidelines depends on action to be taken at the national level, and within international organizations and conferences competent to regulate conditions of carriage;~~

~~CONSIDERING that air transport is the preferred method for transporting many live animals and plants and that there are special requirements necessitated by air transport;~~

~~NOTING the extent to which, in the case of the transport of live animals, the Live Animals Regulations of the International Air Transport Association (IATA) and, in the case of the transport of live plants IATA's Perishable Cargo Regulations, are to be used for transport of live specimens and that the Live Animals Regulations and the Perishable Cargo Regulations are amended annually and are therefore more quickly responsive to changing needs;~~

~~WHEREAS Article XIV, paragraph 1, permits any Party to adopt stricter domestic measures for the regulation of trade in all species, whether or not listed in the Appendices;~~

~~NOTING that, while there have been improvements in the transport of live animals and plants, mortality for certain species has not been reduced significantly, despite continuing efforts by the Parties to improve transport conditions, and that trade-related mortality undermines the concept of sustainable trade;~~

~~MINDFUL that, because of a number of biological and other factors, some species are far more difficult to prepare and ship without risk of injury, damage to health or cruel treatment than others;~~

~~RECOGNIZING the important work of the Working Group on the Transport of Live Animals in advising the Parties and providing technical assistance in conjunction with the Secretariat;~~

RECOGNIZING the need to address the transport of all live specimens;

FURTHER RECOGNIZING that the non-air transport of live specimens of certain animal species listed in the Appendices may require transport conditions additional to or deviating from those found in the IATA LAR and PCR;

AGREEING that the effective implementation of Articles III, IV, V and VII of the Convention necessitates from time to time further specific evaluation of transportation issues, analysis of information and recommendations to the Parties for remedial or corrective action;

¹⁹ Amended at the 14th meeting of the Conference of the Parties.

RECALLING that Article XIV, paragraph 1, permits any Party to adopt stricter domestic measures regarding the conditions for transport of specimens of species listed in the Appendices and to adopt domestic measures restricting or prohibiting transport of species not included in the Appendices;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

DIRECTS the Standing Committee, the Animals and Plants Committees to deal with matters related to the transport of live specimens;

RECOMMENDS that:

- a) suitable measures be taken by the Parties to promote the full and effective use by Management Authorities of the IATA Live Animals Regulations (for animals), ~~and the IATA Perishable Cargo Regulations (for plants)~~ and the CITES Guidelines for the Non-Air Transport of Live Wild Animals and Plants for the preparation and transport of live specimens and that they be brought to the attention of exporters, importers, transport companies, carriers, freight forwarders, inspection authorities and international organizations and conferences competent to regulate conditions of carriage by air, land and sea or inland waterways;
- b) Parties invite the above organizations and institutions to comment on and amplify the Live Animals Regulations (for animals) and the Perishable Cargo Regulations (for plants), so as to promote their effectiveness;
- c) the regular communication of the CITES Secretariat and the Standing Committee with IATA's Live Animals and Perishables Board and with the board of directors of the Animals Transportation Association (AATA) be continued and that a relationship with the International Animal Health Organisation (OIE) and the International Plants Protection Convention (IPPC) be developed;
- d) for as long as the CITES Secretariat and the Standing Committee agree, the Live Animals Regulations (for animals), ~~and the Perishable Cargo Regulations (for plants)~~, and the CITES Guidelines for the Non-Air Transport of Live Wild Animals and Plants in their most recent edition be deemed to meet CITES air transport requirements;
- 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 CITES Guidelines for the Non-Air Transport of Live Wild Animals and Plants;
- e) ~~where appropriate, the Live Animals Regulations (for animals) and the Perishable Cargo Regulations (for plants) be used as a reference to indicate suitable conditions for carriage by means other than air;~~
- f) the IATA Live Animals Regulations, ~~and the sections of the IATA Perishable Cargo Regulations related to the transport of live plant specimens~~ and the CITES Guidelines for the Non-Air Transport of Live Wild Animals and Plants be incorporated into Parties' domestic legislation or policies;
- g) applicants for export permits or re-export or travelling exhibition certificates be notified that, as a condition of issuance, they are required to prepare and ship live specimens in accordance with the IATA Live Animals Regulations, ~~and the IATA Perishable Cargo Regulations~~ and the CITES Guidelines for the Non-Air Transport of Live Wild Animals and Plants;
- h) in compliance with national laws and policies, shipments of live specimens be examined and necessary action taken to ensure the well-being of the specimens by CITES-designated persons or transport company personnel during extended holding periods at transfer points;
- i) in compliance with national laws and policies where Parties to the Convention have designated ports of entry and exit, holding facilities for live animals and plants be provided; and
- j) in compliance with national laws and policies, Parties ensure that animal- and plant-holding facilities are open for inspection of shipments, with the concurrence of the transport company, by CITES-designated enforcement personnel or designated observers; and that any documented information be made available to the appropriate authorities and transport companies;

DIRECTS the Standing Committee, the Animals and Plants Committees, in consultation with the Secretariat:

- a) to participate in meetings of the Live Animals and Perishables Board of IATA in order to amplify or update the Live Animals Regulations and the Perishable Cargo Regulations and the CITES Guidelines for the Non-Air Transport of Live Wild Animals and Plants;
- b) to examine new or additional references for transport of live specimens for incorporation into the present Resolution, if appropriate;
- c) to examine developments related to the transport of live plant specimens for incorporation into the present Resolution, if appropriate; and
- d) to examine when appropriate, any ~~regularly~~ 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;

ENCOURAGES the Secretariat, Parties and relevant organizations to assist in the distribution and increase public awareness of the IATA Live Animals Regulations, ~~and~~ the IATA Perishable Cargo Regulations and the CITES Guidelines for the Non-Air Transport of Live Wild Animals and Plants;

INVITES non-governmental organizations, particularly veterinary, scientific, conservation, welfare and trade organizations with expertise in the shipment, preparation for shipment, transport, care or husbandry of live specimens, to provide the necessary financial, technical and other assistance to those Parties in need of and requesting such assistance to ensure the effective implementation of the provisions of the Convention for the transport and preparation for shipment of live specimens subject to international trade;

NOTES that in order to improve implementation of the IATA Live Animals Regulations and the IATA Perishable Cargo Regulations and the CITES Guidelines for the Non-Air Transport of Live Wild Animals and Plants by the Parties, there is a need for greatly increased awareness of the Regulations through more effective methods of training of personnel of transport companies, exporters and enforcement agencies; and

REPEALS Resolution Conf. 9.23 (Fort Lauderdale, 1994) – Transport of Live Specimens~~;~~

REPEALS the CITES Guidelines for transport and preparation for shipment of live wild animals and plants (1981).

**Results of discussions of the Plants Committee on item 13 on *Global Strategy for Plant Conservation of the Convention on Biological Diversity (Decision 15.19)* –
*Report of the working group, based on document PC20 Doc. 13***

**Final text of a draft resolution on *Cooperation with the Global Strategy for Plant Conservation of the Convention on Biological Diversity*
which the Committee agreed to submit for consideration at CoP16**

DRAFT RESOLUTION CONF. 16.XX

Cooperation with the Global Strategy for Plant Conservation of the Convention on Biological Diversity

RECALLING Resolution Conf. 10.4 (Rev. CoP14) on Cooperation and synergy with the Convention of Biological Diversity, and the *Memorandum of Cooperation between the Secretariat of CITES and the Secretariat of the Convention on Biological Diversity*, signed on March 1996, as well as its amendment, signed in 2000 and 2001;

RECALLING that in 2002, the Conference of the Parties to the Convention on Biological Diversity (CBD) adopted, through decision VI/9, the Global Strategy for Plant Conservation, including outcome-oriented global Targets for 2010.

NOTING that since its 13th meeting (Geneva, 2003), the Plants Committee has recognized that CITES contributes to many of the Targets of the GSPC;

NOTING further that the Secretariat of the CBD recognizes in the 2009 Plant Conservation Report that Target 11 of the GSPC (No species of wild flora endangered by international trade) forms the core business of CITES activities related to flora;

RECALLING Decision 15.19 adopted by the Conference of the Parties at its 15th meeting (Doha, 2010), which directs the Plants Committee and the Secretariat to collaborate with processes established to develop the GSPC beyond 2010, as it relates to CITES activities;

WELCOMING decision X/17 of the 10th Meeting of Conference of the Parties to the CBD (Japan, 2010), which adopted the Consolidated *updated Global Strategy for Plant Conservation 2011-2020* (GSPC); and

RECOGNIZING the significant role that CITES can play in the achievement of the objectives and targets of the GSPC and the effect upon CITES if the GSPC is successfully implemented.

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

INVITES Parties to:

- a) take note of the potential contribution of CITES to the objectives and targets of the *Updated Global Strategy for Plant Conservation 2011-2020* through the activities and products listed in the Annex to the present Resolution.
- b) promote and enhance collaboration between their GSPC focal point and their CITES Authorities, through:
 - i) the involvement of CITES authorities in the development and implementation of the GSPC national strategies, particularly activities related to CITES-listed species; and
 - ii) the inclusion of CITES-GSPC-related activities in CBD National Reports.

DIRECTS the Secretariat to:

- c) encourage the exchange of information related to the GSPC and other plant conservation and sustainable use initiatives, by:
 - i) promoting awareness of ongoing CITES activities that contribute to the achievement of GSPC Targets, by communicating information among CITES bodies and Parties on the operations and outcomes of CITES processes, such as the Review of Significant Trade, Periodic Review of the Appendices, proposals to amend the CITES Appendices, and formulation of Non-detriment Findings (NDFs), among others; and
 - ii) collaborating with CBD Secretariat to streamline reporting on relevant CITES activities related to the GSPC Targets.
 - iii) including the GSPC in any work plans developed under the Memorandum of Cooperation with the Secretariat of CBD; and
 - iv) inviting a CBD representative to participate as an observer at Plants Committee meetings that address GSPC.

DIRECTS the Plants Committee and the Secretariat to:

- d) promote CITES collaboration with CBD on the implementation of the GSPC by:
 - i) representing CITES at meetings of CBD's Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA) and other GSPC meetings (subject to the availability of external funding); and
 - ii) providing contributions for CBD documents regarding the implementation of the GSPC.

**Results of discussions of the Plants Committee on item 14.2 on
Review of Significant Trade in specimens of Appendix-II species: Species selected
following CoP15, based on document PC20 WG2 Doc. 1**

Report of the working group adopted by the Committee

Membership

- Chair: PC nomenclature specialist (Mr McGough);
- Members: Representatives of Africa (Mr Hafashimana) and Central and South America and the Caribbean (Ms Mites);
- Parties: Belgium, Madagascar, Namibia, South Africa, United Republic of Tanzania, Thailand, the Netherlands, United States of America; AND
- IGOs and NGOs: UNEP-WCMC, TRAFFIC and WWF.

Mandate

1. In accordance with paragraph f) of Resolution Conf. 12.8 (Rev. CoP13), review the available information to determine whether it is satisfied that Article IV, paragraphs 2 (a) and 3, are being implemented; and
2. Propose which species should be eliminated from the review with respect to the range State concerned, and which should be kept in the review.

Recommendations

SPECIES	RANGE STATE	RECOMMENDATION	NOTES
<i>Pachypodium namaquanum</i>	Namibia	Exclude	No reported wild trade
<i>Pachypodium namaquanum</i>	South Africa	Exclude	No reported wild trade
<i>Dendrobium eriiflorum</i>	Bhutan	Exclude	No reported wild trade
<i>Dendrobium eriiflorum</i>	India	Include	No response, possible wild trade
<i>Dendrobium eriiflorum</i>	Malaysia	Exclude	No reported wild trade
<i>Dendrobium eriiflorum</i>	Myanmar	Exclude	No reported wild trade
<i>Dendrobium eriiflorum</i>	Nepal	Include	Wild trade, no written response
<i>Dendrobium eriiflorum</i>	Thailand	Exclude	No reported wild trade
<i>Euphorbia itremensis</i>	Madagascar	Include	Reported wild trade, no data on NDF
<i>Alluadiopsis fiherenesis</i>	Madagascar	Include	Reported wild trade, no data on NDF
<i>Alluadia ascendens</i>	Madagascar	Include	Reported wild trade, no data on NDF

Issues not directly relating to implementation of Article IV, paragraph 2 (a) and 3

The working Group expressed concern that some specimens of *Pachypodium namaquanum* in trade may be misdeclared as of artificially propagated origin. Parties are encouraged to check consignments of such material to confirm that specimens declared as artificially propagated are not in fact wild collected. The Secretariat is requested to highlight this issue when carrying out capacity building or enforcement initiatives in the region or in importing countries.

Section 1

Results of discussions of the Plants Committee on items 15.1 on *Timber species, medicinal plants and agarwood-producing species (Decisions 15.26 and 15.27) – Report of the working group and 17.2.1 on Agarwood-producing taxa (Decision 15.94), based on document PC20 WG6 Doc. 1*

Recommendations adopted by the Committee

In relation to the recommendations outlined in paragraph 6 of document PC20 Doc. 15.1:

1. Due to differences in management and lifeforms, the WG decided that it would not be appropriate to standardize NDF guidance across timber species, *Prunus africana*, medicinal plants and Agarwood-producing species. Separate guidance should be developed for each of these groups.
2. While the WG noted the comments on structuring a handbook for making non-detriment findings for the above species, due to the amount of ongoing work of the Parties, the WG agreed that it was premature to produce such a handbook.

In relation to paragraph 8 of document PC20 Doc. 15.1:

3. That the following draft decisions be submitted to CoP16 (this also addressed the recommendation 2 on page 13):

Decision 16.XX

Directed to Parties and the Secretariat:

That the Agarwood NDF guidance, as amended by the WG (PC20 WG6), be used by the Parties and the Secretariat in capacity building workshops and training materials relating to Agarwood-producing species.

Decision 16.XX

Directed to Agarwood species range states.

That range states are encouraged to make use of the Agarwood NDF guidance as amended by the WG (PC20 WG6).

In relation to the Decisions referenced in document PC20 Doc. 15.1:

4. In relation to Decision 15.26, the WG agreed that due to ongoing work of the Parties this Decision should be extended to CoP17.
5. In relation to Decision 15.27, the WG agreed to extend all three parts of the decision to CoP17, noting that it would be premature to translate the guidance material produced to date as it will be refined in the future.

In relation to Table 2A appearing in Annex 3a of document PC20 Inf. 7:

6. The WG recommends including an introductory statement to the table, stating that all criteria in the table would apply to wild sourced Agarwood, while some of the criteria would apply to plantation-sourced Agarwood as indicated in the last column.
7. The WG recommends that under the heading “National conservation status”, following the words “Conservation status of the species in the country determined through consultation of:” substitute “species risks list” in dot point one with “Threatened species lists”.

In relation to the recommendations arising from the Kuwait workshops:

8. The WG considered that recommendation 1, pg 13 of document PC20 Doc. 15.1 was fulfilled.
9. The WG considered that recommendation 2, pg 13 of document PC20 Doc. 15.1 has been covered by the draft Decision which is included in paragraph 3 of the present document.
10. The WG did not reach consensus with regard to recommendation 3, pg 13 of document PC20 Doc. 15.1 and paragraph 1 in Annex 1 of document PC20 Doc. 17.2.1, regarding the proposed amended definition of 'under controlled conditions'. The WG noted that further work is required to clarify the meaning of this term, especially with regard to defining the "non natural environment".
11. In relation to recommendation 4, pg 13 of document PC20 Doc. 15.1, the WG did not agree to include 'inducement' in the list of controlled condition examples in Resolution Conf. 11.11 (Rev. CoP15). This recommendation was rejected on the basis that this is a process or an activity that is also applied to wild material and there was also concern about the lack of clarity of the term.
12. The WG agreed with recommendation 5, pg 13 of document PC20 Doc. 15.1 that the title of Resolution Conf. 10.13 (Rev. CoP15) should be amended to read 'Tree Species' instead of 'Timber species'.

In relation to document PC20 Doc. 17.2.1 Annex 1:

13. The WG recommends the development of a new Resolution relating solely to Agarwood to be submitted to CoP16.
14. The WG discussed the issue of mixed versus monospecific plantations. The WG noted that the issue of mixed plantations will be dealt with in the new Agarwood Resolution. The WG recommended that a new decision is required to direct the PC to do further work on this issue but recommended that the words "or mixed" be added after the word "monospecific" in paragraph g) of Resolution Conf. 10.13 (Rev. CoP15).

Decision 16.XX

Directed to the Plants Committee

To consider the current production systems of tree species including mixed and monospecific plantations and assess the applicability of the current definitions of artificial propagation in Resolution Conf. 10.13 and Resolution Conf. 11.11 respectively, and report back to CoP17.

In relation to making NDFs at the generic level, the WG noted the difficulty in identifying species at the time of export, but also noted the need to manage the harvest of Agarwood producing species in the wild at the species level. The WG did not reach consensus on this issue.

In relation to Decision 15.95, the WG recommended that it be revised as follows:

Directed to the Secretariat

15.95 (Rev. CoP16)

Subject to external funding, the Secretariat shall, in cooperation with the Agarwood range States and the Plants Committee, organize a workshop to share experiences and discuss management of wild and plantation-sourced Agarwood. Identify and agree on strategies that balance the conservation and use of the wild populations, while relieving the pressure on these by using the planted material.

Section 2

Results of discussions of the Plants Committee on items 15.1 on *Timber species, medicinal plants and agarwood-producing species (Decisions 15.26 and 15.27) – Report of the working group and 17.2.1 on Agarwood-producing taxa (Decision 15.94), based on documents PC20 WG6 Doc. 1 and PC20 Com. °1*

Recommendations which the Committee noted that Parties would consider submitting at CoP16

In relation to document PC20 Doc. 17.2.1 Annex 2:

15. In relation to the annotations, the following draft Agarwood annotation was considered by the working group:

All parts and derivatives, except:

- a) seeds and pollen;
- b) seedling or tissue cultures obtained in vitro, in solid or liquid media, transported in sterile containers;
- c) fruits;
- d) leaves;
- e) mixed oil containing less than 15% of agarwood oil;
- f) exhausted powder;
- g) exhausted powder compressed into various shapes;
- h) finished products packaged and ready for retail trade. This exemption does not apply to patent medicines.

The WG provided a number of comments for the proponent to consider in drafting an annotation. For example, difficulty of Customs officials to identify products identified in e), f) and g), and the requirement of a definition of patent medicines. A number of Parties offered to continue to participate in discussions to develop this annotation.

16. In relation to personal and household effects, the following amendment was proposed to Resolution Conf. 13.7 (Rev CoP14), 1 kg woodchips, 60 ml oil and 2 pieces beads, prayer beads, necklaces, bracelets etc. per person. The WG provided a number of comments for the proponent to consider in drafting this amendment.
17. In relation to the glossary, the WG recommended that it be attached as an annex to the new Agarwood Resolution. The WG noted the changes made by the Annotations WG (PC20 WG5) and will take these changes into account in its revised draft.
18. The WG noted that Decision 14.137 addresses identification materials and recommended that it be retained.

Agarwood Working Group

- 16.xx a) The Agarwood Working Group shall be created.
- b) The Secretariat shall reconvene the Working Group, subject to the availability of external funding.
- c) The Working Group shall discuss the capacities needed for the implementation of the Appendix-II listing of *Aquilaria* spp. and *Gyrinops* spp., related to sustainable harvest and scientifically based non-detriment findings and shall review the recommendations contained in Annex x to these Decisions.
- d) This Working Group shall report to the Conference of the Parties at its 17th meeting.

Agarwood-producing taxa

- 16.xx The Conference of the Parties adopted the Action Plan attached as Annex x to these Decisions, to complete knowledge on the status of conservation of, trade in and sustainable use of *Aquilaria* and *Gyrinops* spp.

Annex x

Action plan for Aquilaria and Gyrinops spp.

1. The range States of ~~Cedrela odorata, Dalbergia retusa, Dalbergia granadillo and Dalbergia stevensonii~~ Aquilaria and Gyrinops spp. shall:
 - a) complete and update the available information on the species mentioned in this Decision;
 - b) assess the populations of the species mentioned in this Decision, taking into account *inter alia* the distribution, cover, density, size structure, regeneration dynamics and changes in land use in keeping with available budgets in the range States;
 - c) report the existence, extent and type of forest plantations of the species mentioned in this Decision;
 - d) compile the information related to export of the species mentioned in this Decision, including volumes and products, indicating the percentage from plantations;
 - e) report to the Secretariat progress in the compilation of the information outlined in paragraphs a), b), c) and d) above, 60 days before the ~~19th and 20th~~ 21st and 22nd meetings of the Plants Committee (PC~~1921~~ and PC~~2022~~), so that the Secretariat may present a report to the Committee and the Committee may adopt the necessary measures;
 - f) consider the inclusion of ~~their populations of Cedrela odorata, Dalbergia retusa, Dalbergia granadillo and Dalbergia stevensonii~~ in Appendix III, with the adequate annotation, and ensure the implementation and enforcement of CITES with regard to those species in that Appendix; other agarwood producing taxain Appendix II at CoP17;
 - g) consider the production of identification material for those species and similar species, collaborating with relevant expert organizations; and
 - h) consider providing technical and financial support to the Secretariats of CITES and the International Tropical Timber Organization (ITTO), in the framework of Resolution Conf. 14.4 on *Cooperation between CITES and ITTO regarding trade in tropical timber.*
2. Parties, with regard to ~~Cedrela odorata, Dalbergia retusa, Dalbergia granadillo and Dalbergia stevensonii~~, Aquilaria and Gyrinops spp. shall:
 - a) compile the information on the import and re-export of the species mentioned in this Decision, including origin (wild or cultivated), volumes and products, indicating the country of origin and final destination;
 - b) report the existence, extent and type of forest plantations of the species mentioned in this Decision, including exported volumes and products;
 - c) report to the Secretariat on the compilation of the information outlined in paragraphs a) and b) above, 60 days before the ~~19th and 20th~~ 21st and 22nd, so that the Secretariat may present a report to the Committee and the Committee may adopt the necessary measures; and
 - d) continue, support and strengthen the cooperation between CITES and ITTO in the framework of Resolution Conf. 14.4.
3. The Plants Committee shall:
 - a) establish the relevant methodology and necessary formats for the presentation of the information requested for the implementation of this Decision;
 - b) request the Working Group on ~~the Aquilaria and Gyrinops spp the Bigleaf Mahogany and Other Neotropical Timber Species~~ to incorporate, as a part of its activities and in the context of the present Decision, an analysis of information received on the species concerned, and to facilitate communication and the exchange of information between range States, including knowledge and experience gained as a result of the Appendix-III listing of Aquilaria and Gyrinops spp. Cedrela odorata;

- c) receive, analyse and follow up the Action Plan at its ~~19th and 20th~~ 21st and 22nd meetings; and
- d) propose the relevant recommendations, such as an Appendix-II listing, for ~~*Cedrela odorata*, *Dalbergia rotusa*, *Dalbergia granadillo* and *Dalbergia stevensonii*~~ *Aquilaria* and *Gyrinops* spp. prior to the ~~16~~17th meeting of the Conference of the Parties.

4. The Secretariat shall:

- a) seek external funding from interested parties, intergovernmental and non-governmental organizations, exporters, importers and other entities directly interested in supporting this Decision;
- b) inform Parties of the management of funds that have been raised, of technical assistance and of how they may accede to these resources;
- c) request technical and financial support from ITTO in the framework of Resolution Conf. 14.4 on *Cooperation between CITES and ITTO regarding trade in tropical timber*; and
- d) promote and assist capacity building in the range States through workshops, trainings and other activities considered relevant in the period between the ~~15th and 16th~~ 16th and 17th meetings of the Conference of the Parties.

**Results of discussions of the Plants Committee on item 16 on *Periodic Review*
of plant species included in the *CITES Appendices*, based on documents PC20 WG3 Doc. 1**

Document adopted by the Committee

Membership

Chair:	Representative of North America (Mr Benítez);
Members:	Representatives of Africa (Ms Beatrice Khayota) and Central and South America and the Caribbean (Ms Dora Ingrid Rivera);
Parties:	Belgium, Canada, Chile, Czech Republic, Madagascar, Mexico, Namibia, the Netherlands, South Africa and the United States of America; and
IGOs and NGOs:	UNEP-WCMC, IUCN, European Union and Species Survival Network.

Mandate

1. Consider and draft recommendations on the basis of the reports submitted by Brazil and Namibia in document PC20 Doc. 16.1.1, Annexes 1 and 2;
2. Consider and draft recommendations on the basis of the report submitted by the Netherlands in document PC20 Doc. 16.2, Annex 1; and
3. On the basis of document PC20 Doc. 16.3, Annex 2, consider the relevance of drafting a proposal to delete from Appendix II the following seven genera of epiphytic cacti: *Disocactus*, *Epiphyllum*, *Hattoria*, *Lepismium*, *Pseudorhipsalis*, *Rhipsalis* and *Schlumbergera*), for consideration at the 16th meeting of the Conference of the Parties. If such a proposal is drafted, include therein identification material to distinguish these genera from other non-epiphytic cacti.
4. Identify proponents for any proposals to amend the Appendices to be made at CoP16.
5. Contribute to the work on the revision of Resolution 14.8 on Periodic Review of the Appendices (item 10) commenced during the joint session of AC26 and PC20.
6. Consider additional information supplied in relation to the reviews of *Balmea stormiae*, *Platymiscium pleiostachyum*, *Peristeria elata* and *Sclerocactus* spp.

Recommendations

1. Regarding PC20 Doc. 16.1.1:
 - a) *Tillandsia kautskyi*, *Tillandsia sucrei*, *Tillandsia sprengeliana* [Appendix II]: On the basis of available information, recognizing that no international trade data for wild specimens is reported for these species since 1990, the Plants Committee recommends that these species be delisted and concludes that the Review is complete. Brazil is requested to take into account, that there appears to be trade in artificially propagated specimens and that specimens are held by private collectors outside of Brazil. The Plants Committee also recommends that Brazil provide information on look-alike issues in their proposal particularly for those four species that remain in the Appendices.
 - b) *Welwitschia mirabilis* [Appendix II]: The Plants Committee noted that Namibia reports that there is limited information on the population status and trends of the species. Therefore, despite little to no trade in this species, based on the best available information, the Plants Committee supports Namibia's recommendation to maintain this species in Appendix II. The Plants Committee concludes that review of this species is complete.
 - c) *Balmea stormiae* [Appendix I]: The Plants Committee notes that review of this species is still in progress and that this information should be corrected in the table in PC20 Doc. 16.1.2. The Plants

Committee recommends that the Nomenclature Specialist address the taxonomic status (*Balmea stormae*?) and distribution of this species. The Plants Committee also recommends that information be requested from the range States (Mexico, Guatemala, El Salvador, Honduras?) and that information on trade be requested from UNEP-WCMC. The Representative of Central and South America and the Caribbean (Ms Rivera) will oversee this review.

- d) *Platymiscium pleiostachyum* [Appendix II]: The Plants Committee notes that review of this species is still in progress. The Plants Committee notes that the IUCN classification of this species as Endangered was done in 1998 and needs updating. The Committee recommends that the Nomenclature Specialist address the taxonomic status and distribution of the species that information be requested from the range States and, that information on trade be requested from UNEP-WCMC. The Representative of Central and South America and the Caribbean (Ms Rivera) will oversee this review.
- e) *Peristeria elata* [Appendix I]: The Plants Committee notes that review of this species is still in progress. A report from Panama was provided, stating that: the species is the national flower; that the species is subject to intense trade and collection which is diminishing local populations; and that, Panama recommends that the species be maintained in Appendix I. The Plants Committee recommends that information be requested from the other range States in order to assess whether the species continues to meet the criteria for listing in Appendix I and, that information on trade be requested from UNEP-WCMC. The Representative of Central and South America and the Caribbean (Ms Rivera) will oversee this review.
- f) Regarding *Balmea stormiae*, *Platymiscium pleiostachyum*, and *Peristeria elata*, the Plants Committee recommends that the Secretariat issue a Notification requesting the range States of these species to provide relevant information to the representative of North America (Mr Benitez).

2. Regarding PC20 Doc. 16.1.2:

- a) The Plants Committee recommends that the Secretariat include in the table of species reviewed, the name of the Party or representative undertaking the review, the range countries, the current Appendix listing of the species, and the IUCN status, if applicable. The Plants Committee notes that this is consistent with the work of the Animals Committee on the review.
- b) The Plants Committee notes that the United States of America reports that their review of fifteen species of *Sclerocactus* is in progress.
- c) *Tillandsia kammii* (Appendix II): The Plant Committee notes that the Plants Committee Representative of Central and South America and the Caribbean (Ms Rivera) is undertaking the review which is in progress. A report from Honduras was provided that states that there is no trade in the species but there is a look-alike problem with other species and that Honduras recommends that the species be maintained in Appendix II.
- d) *Hedychium philippinense*: The Plants Committee requests that the Plants Committee Representatives of Asia request the Philippines to consider undertaking the review.
- e) Updates (Annex 1) were made tables in Annexes 1 and 2 of PC20 Doc. 16, regarding the species discussed in the working group. The Plants Committee recommends that the Secretariat update the tables accordingly.

3. Regarding PC20 Doc. 16.2:

Cycas beddomei Appendix I]: The Plants Committee supports the Netherland's recommendation to maintain this species in Appendix I, noting that the IUCN specialist that reviewed classification of this species considers that the species continues to meet the biological criteria for listing in Appendix I. The Plants Committee noted the offer of India to supply additional information later. The Plants Committee concludes that review of this species is complete.

4. Regarding PC20 Doc. 16.3:

- a) Regarding seven genera of epiphytic cacti (*Disocactus*, *Epiphyllum*, *Hattiora*, *Lepismium*, *Pseudorhipsalis*, *Rhipsalis* and *Schlumbergera*), the Plants Committee recognizes that criteria 2(a) is

not fulfilled but criteria 2(b) is met and, that range States' views support the current listing. A communication was received from the representative of Central and South America and the Caribbean (Ms Rivera) that the Amazon Cooperation Treaty Organization supported maintaining these species in Appendix II. Therefore, the Plants Committee concludes that these species should be retained in Appendix II and that the mandate of Decision 15.89 has been completed.

5. Regarding the revision of Resolution Conf. 14.8 on *Periodic Review of the Appendices*:
 - a) The Plants Committee agrees to the amendments to Resolution Conf. 14.8 contained in Annex 2. These revisions build upon the recommendations made at the 26th meeting of the CITES Animals Committee, the joint session of AC26/PC20, and the 20th meeting of the CITES Plants Committee.
 - b) The Plants Committee agrees that the Chair, in consultation with the Chair of the Animals Committee, inform the 62nd meeting of the Standing Committee of these proposed amendments which respond to the concerns of the Standing Committee to improve the efficiency of the process.

General

6. In order to improve the efficiency of reviews, the Plants Committee and the Animals Committee, if they agree, requests the Standing Committee to recommend allocation of funds for the periodic review in the budget and requests the Secretariat to seek external funding to support the periodic review process.

Section 1

Proposed changes to document PC20 Doc. 16.1.2, Annex 1

REVIEW PERIOD BETWEEN COP13 (2007) AND COP15 (2010)*

Taxon	Meeting when the species were selected [paragraph b)]	Date the Parties were informed [paragraph e)]	Date the Standing Committee was informed [paragraph f)]	Document containing the review report [paragraph i)]	Recommendation [paragraph j)]	Range States requested to submit proposal [paragraph k)]	Notes
Timber species							
<i>Balmea stormiae</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	Review completed In progress (Representative of Central and South America and the Caribbean - Dora Ingrid Rivera)
<i>Platymiscium pleiostachyum</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	Review completed In progress Representative of Central and South America and the Caribbean - Dora Ingrid Rivera)
<i>Tillandsia kautskyi</i>	PC15 (May 2005)	19 July 2005	2 June 2007	--- PC20 Doc. 16.1.1, Annex 1	--- Deletion	--- Brazil	Review completed (Brazil)
<i>Tillandsia sprengeliana</i>	PC15 (May 2005)	19 July 2005	2 June 2007	--- PC20 Doc. 16.1.1, Annex 1	--- Deletion	--- Brazil	Review completed (Brazil)
<i>Tillandsia suerei</i>	PC15 (May 2005)	19 July 2005	2 June 2007	--- PC20 Doc. 16.1.1, Annex 1	--- Deletion	--- Brazil	Review completed (Brazil)

* In Resolution Conf. 14.8, the Conference of the Parties agreed that the Committee should 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 CoP (i.e. CoP14-CoP16). The Plants Committee, however, made the current selection of species for review under the guidelines for conducting the periodic review adopted by the Standing Committee at its 51st meeting (Bangkok, October 2004).

Taxon	Meeting when the species were selected [paragraph b)]	Date the Parties were informed [paragraph e)]	Date the Standing Committee was informed [paragraph f)]	Document containing the review report [paragraph i)]	Recommendation [paragraph j)]	Range States requested to submit proposal [paragraph k)]	Notes
<i>Welwitschia mirabilis</i>	PC15 (May 2005)	19 July 2005	2 June 2007	The review report is referred to in document PC18 WG12 Doc. 1, but no copy has been submitted to the Plants Committee PC20 Doc. 16.1.1, Annex 2	The Plants Committee should prepare a corresponding proposal for consideration at CoP15, to be submitted by the Depository Government Retain species in Appendix II	---	Review completed (Namibia)
<i>Sclerocactus</i> spp. (15 species)							
<i>Sclerocactus brevihamatus</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	Review completed In progress (USA)
<i>Sclerocactus erectocentrus</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	Review completed In progress (USA)
<i>Sclerocactus glaucus</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	Review completed In progress (USA)
<i>Sclerocactus intertextus</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	Review completed In progress (USA)
<i>Sclerocactus johnsonii</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	Review completed In progress (USA)
<i>Sclerocactus mariposensis</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	Review completed In progress (USA)
<i>Sclerocactus mesae-verdae</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	Review completed In progress (USA)
<i>Sclerocactus nyensis</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	Review completed In progress (USA)
<i>Sclerocactus papyracanthus</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	Review completed In progress (USA)
<i>Sclerocactus parviflorus</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	Review completed In progress (USA)
<i>Sclerocactus polyancistrus</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	Review completed In progress (USA)
<i>Sclerocactus pubispinus</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	Review completed In progress (USA)
<i>Sclerocactus scheeri</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	Review completed In progress (USA)

Taxon	Meeting when the species were selected [paragraph b)]	Date the Parties were informed [paragraph e)]	Date the Standing Committee was informed [paragraph f)]	Document containing the review report [paragraph i)]	Recommendation [paragraph j)]	Range States requested to submit proposal [paragraph k)]	Notes
<i>Sclerocactus sileri</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	Review completed In progress (USA)
<i>Sclerocactus spinosior</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	Review completed In progress (USA)
<i>Cycas beddomei</i>	PC15 (May 2005)	19 July 2005	2 June 2007	--- PC20 Doc. 16.2, Annex 1	--- Retain the species in Appendix I	---	To be reconsidered during CoP15-CoP17 Complete (the Netherlands)
<i>Peristeria elata</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	Review completed In progress Representative of Central and South America and the Caribbean - Dora Ingrid Rivera)
96 species selected for review	96	96	96	51	13	0	<ul style="list-style-type: none"> • 14 species reviews completed. • 21 species deleted or transferred from Appendix I to II by the CoP before the Periodic Review was completed. • 56 species reviews terminated before completion. • 5 species to be reconsidered at CoP15-CoP17. Request the Secretariat to update these figures.

Proposed changes to document PC20 Doc. 16.1.2, Annex 2

REVIEW PERIOD BETWEEN COP15 (2010) AND COP17 (2015)

Taxon	Meeting when the species were selected [paragraph b)]	Date the Parties were informed [paragraph e)]	Date the Standing Committee was informed [paragraph f)]	Document containing the review report [paragraph i)]	Recommendation [paragraph j)]	Range States requested to submit proposal [paragraph k)]	Notes
Apocynaceae							
<i>Pachypodium brevicaule</i>	PC19 (April 2011)	21 September 2011					Madagascar
Crassulaceae							
<i>Dudleya stolonifera</i>	PC19 (April 2011)	21 September 2011					USA
Portulacaceae							
<i>Lewisia serrata</i>	PC19 (April 2011)	21 September 2011					USA

Bromeliaceae							
<i>Tillandsia kammii</i>	PC19 (April 2011)	21 September 2011					Representative of Central and South America and the Caribbean - Dora Ingrid)
<i>Tillandsia mauryana</i>	PC19 (April 2011)	21 September 2011					Mexico in progress
Cycadaceae							
<i>Cycas beddomei</i>	PC19 (April 2011)	21 September 2011					Complete (the Netherlands)
Dioscoreaceae							
<i>Dioscorea deltoidea</i>	PC19 (April 2011)	21 September 2011					The Netherlands
Zingiberaceae							
<i>Hedychium philippinense</i>	PC19 (April 2011)	21 September 2011					No reviewer

<i>Sclerocactus brevihamatus</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	In progress (USA)
<i>Sclerocactus erectocentrus</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	In progress (USA)
<i>Sclerocactus glaucus</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	In progress (USA)
<i>Sclerocactus intertextus</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	In progress (USA)
<i>Sclerocactus johnsonii</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	In progress (USA)
<i>Sclerocactus mariposensis</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	In progress (USA)
<i>Sclerocactus mesae-verdae</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	In progress (USA)
<i>Sclerocactus nyensis</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	In progress (USA)
<i>Sclerocactus papyracanthus</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	In progress (USA)
<i>Sclerocactus parviflorus</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	In progress (USA)
<i>Sclerocactus polyancistrus</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	In progress (USA)
<i>Sclerocactus pubispinus</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	In progress (USA)
<i>Sclerocactus scheeri</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	In progress (USA)
<i>Sclerocactus sileri</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	In progress (USA)
<i>Sclerocactus spinosior</i>	PC15 (May 2005)	19 July 2005	2 June 2007	---	---	---	In progress (USA)

Section 2

Resolution Conf. 14.8 (Rev. CoP16)

Periodic Review of species included in the Appendices I and II

RECOGNIZING the fundamental principles of Article II of the Convention and that there is a need to conduct periodic reviews of species listed in Appendices I and II to ensure that species are appropriately listed, based on current biological and trade information;

REAFFIRMING that Resolution Conf. 11.1 (Rev. CoP15) on *Establishment of the Committees*, in Annex 2, h), directs the Animals and Plants Committees to undertake a periodic review of animal or plant species included in the CITES Appendices;

ACKNOWLEDGING that Resolution Conf. 9.24 (Rev. CoP15) on *Criteria for amendment of Appendices I and II*, established criteria to ensure that decisions to amend the Convention's Appendices are founded on sound and relevant scientific information; and

ACKNOWLEDGING that a completed periodic review of a species may result in a recommendation to amend Appendices I or II, or result in a recommendation that the species be retained as listed.

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

AGREES to the following:

- a) The Animals and Plants Committees should share their experience, especially during ~~joined~~ joint meetings, regarding the undertaking of periodic reviews of taxa included in the Appendices (including financing of reviews, processes, format and outputs).
- 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 their ~~first~~ first meetings of the Committees after the meeting of the Conference of the Parties that initiates the review period.
- c) The Animals and Plants Committees are strongly encouraged to follow the following guidelines:
 - i) the Animals and Plants Committees, in consultation with the UNEP World Conservation Monitoring Centre, shall select a practical taxonomic entity or entities ~~and specimens traded~~ for analysis;
 - ii) the following taxa should not be considered for review:
 - A. species that were the subject of listing proposals at the previous ~~two~~ three meetings of the Conference of the Parties (whether or not the proposals were adopted);
 - ~~B. species listed under the new criteria [Resolution Conf. 9.24 (Rev. CoP15)] in the last 10 years;~~
 - ~~C. species subject to ongoing reviews, such as the Review of Significant Trade [Resolution Conf. 12.8 (Rev. CoP13)], or periodic reviews conducted within the last 10 years; or~~
 - ~~D. species subject to other reviews targeted by valid Decisions and Resolutions of the Conference of the Parties;~~
 - iii) the selected taxonomic entity or entities shall be assessed using the process outlined in the Annex to the present Resolution; and
 - iv) outputs 2, 3 and 4 resulting from the assessment conducted in accordance with the Annex shall contain the following information in a summary tables that includes:
 - A. a summary of trade data since the initial inclusion of that taxon in the Appendices;
 - B. current conservation status, including the IUCN category of the species, if assessed; ~~and~~

C. current listing in the CITES Appendices, date of first listing, number of trade records, commercial trade, and remarks; and

D. the distribution of the species (range States).

- d) ~~From the resulting summary tables, and list generated in Output 2 from the assessment,~~ the Animals and Plants Committees will identify the list of taxa to be reviewed.
- 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 ~~90~~ 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, that taxa shall be deleted from the list of species to be reviewed.
- ~~f) Taking these comments into account, the Animals and Plants Committees will inform the Standing Committee about the finalized selection of taxa to be reviewed.~~
- f) The Animals and Plants Committees and Parties are encouraged to undertake the following in order to facilitate periodic reviews:
- i) collaborate with university graduate students, including the CITES Masters Programme;
 - ii) collaborate with other non-Party reviewers including species experts such as IUCN-SSC Specialist Groups;
 - iii) utilize readily available information on species' conservation status from organizations (e.g., IUCN, BirdLife, etc.) and Parties;
 - iv) seek financial support for reviews, including from importing countries, as appropriate; and
 - v) increase communication between the Chairs of the Animals and Plants Committees and suggest coordination with Parties when animal and plant species' ranges overlap;
- g) ~~The Chairmen 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 of taxa included in the Appendices. A list of species previously reviewed, including dates of the review and links to the appropriate documents, shall be maintained by the Secretariat.~~
- h) The Animals and Plants Committees shall conduct or organize the reviews, seeking information, participation and support from the range States. The regional representatives of the Animals and, Plants and Standing Committees shall seek assistance from range States within their region to support the taxon reviews.
- 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. CoP15). The Secretariat shall notify the relevant range States of these working documents in advance of the meeting of the Committee.
- j) In cases where a review indicates, and the Animals or Plants Committee ~~technical committee concerned~~ agrees, that it would be appropriate to transfer a taxon from one Appendix to another, or to delete a taxon from the Appendices,:
- 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.
 - ii) ~~k)~~ The Secretariat, on behalf of the Standing Committee and 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 Conference of the Parties.
 - iii) ~~l)~~ 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. CoP15)] and to include the comments of the range States in the supporting statement.

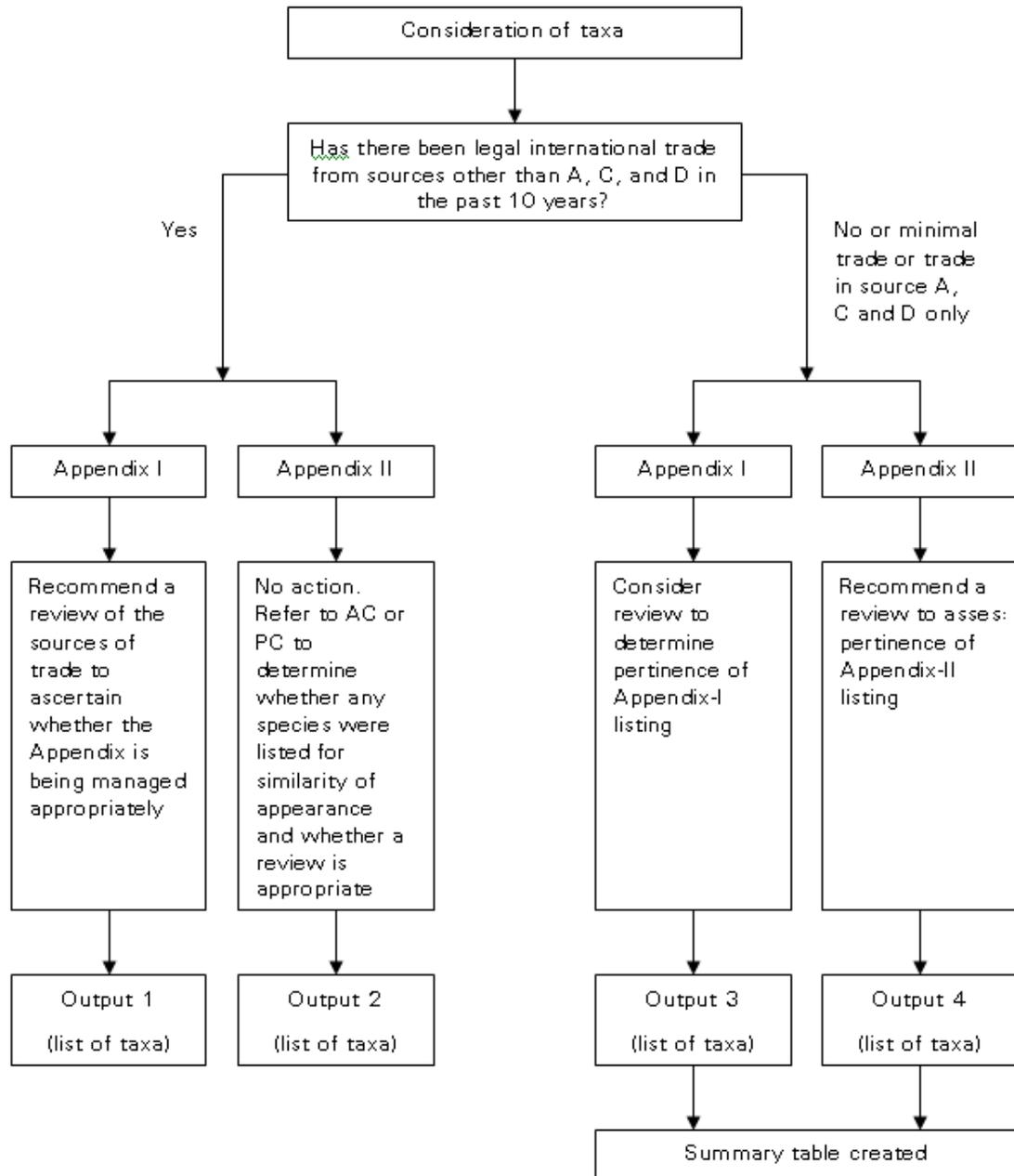
iv) ~~m~~) Proposals resulting from the periodic review of the Appendices must be submitted for decision to the Conference of the Parties.

~~k) In cases where the Committee does not proceed with an amendment proposal, the Committee clearly specify its decision with reference to the criteria in Resolution Conf. 9.24 (Rev. CoP15). 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. CoP15).~~

DIRECTS the Secretariat to maintain a record of the species selected for periodic review, including species previously and currently reviewed; dates of relevant Committee documents; recommendations from the reviews; and any reports and associated documents.

INVITES Parties, intergovernmental organizations, non-governmental organizations, and other interested entities to support the work of the Animals and Plants Committees in the undertaking of the periodic review of the Appendices.

Protocol for the assessment of taxa for consideration in the Periodic Review of the Appendices



PROPOSED CHANGES: Replace the entire contents of the box prior to Output 2 with the following text: “filter to identify species classified by IUCN as Endangered, Critically Endangered, and Least Concern”; and, include the results of Output 2 in the summary tables to be transmitted to the Committees.

**Results of discussions of the Plants Committee on item 17.1.1 on *Madagascar (Decision 15.97)*,
based on documents PC20 WG4 Doc. 1**

Document adopted by the Committee

Membership

- Co-Chairs: PC nomenclature specialist (Mr McGough) and the observer for Madagascar;
- Members: Representative of Africa (Ms Khayota);
- Parties: Canada, France, Germany, Ireland, the Netherlands and the United States of America; and
- IGOs and NGOs: INDENA, ITTO, IUCN, WWF.

Mandate

1. Prepare a work plan to facilitate the submission of amendment proposals at the 16th meeting of the Conference of the Parties;
2. Identify issues related to the identification of species that will need to be addressed to ensure that any potential listings can be adequately implemented and enforced;
3. Identify mechanisms to support the preparation of such amendment proposals; and
4. Consider any other items that if finds apposite.

Recommendations

With respect to listing of tree species on the Appendices

1. That the Plants Committee commend Madagascar on its significant progress on the implementation of Decision 15.97.
2. That Madagascar should continue to work with the Plants Committee on the completion of comprehensive listing proposals for *Dalbergia* spp. and *Diospyros* spp. and these proposals should be annotated to apply only to "populations of Madagascar".
3. As the exports from Madagascar are confined to material such as logs and sawn wood, annotation #5 (logs, sawn wood and veneer sheets) would seem the most appropriate.
4. In parallel with the completion of listing proposals a document should be prepared for CoP16 which outlines a work programme (or implementation plan) for the ongoing preparation of identification tests, guides, training courses and a user-friendly manual for enforcement officers in Madagascar and in importing countries. Interested Parties and Observers should assist and support Madagascar in the preparation of this document.
5. That, although no formal consultation is required Madagascar should take advantage of relevant meetings (e.g. Standing Committee 62, planned meetings on precious wood trade and identification and tracking techniques) to inform and seek the views of interested Parties and other stakeholders, in particular major importer countries, on their proposals and plans for effective implementation.
6. That Madagascar should facilitate access to vouchered wood samples to support development of identification techniques, tests and guides.
7. Commend ITTO on their support of Madagascar to date and recommend that this continue and Parties facilitate this work by targeting funding of relevant projects to support actions 4-6 above.

8. As available, Parties should provide Madagascar with information on projects or programmes that have demonstrated successful community—based sustainable management.

With respect to listing of succulent species on the Appendices

1. That the Plants Committee commend Madagascar on the elaboration of the proposals included in documents PC20 Inf. 4 - 6.
2. That Madagascar should further elaborate, review and refine these proposals, in close co-operation with the Plants Committee, interested Parties, organisations and experts.
3. That the final proposals should take due account of identification issues, problems associated with lookalike taxa and preparation of identification materials.
4. Parties and interested observers facilitate this work by targeting funding of relevant projects to support these actions.
5. That the Secretariat continues to work with Madagascar to assist and build capacity for NDF-making and facilitates training of in-country Customs officials.

Work plan key milestones - tree species

Action	Key event	Milestone	Implemented by-
Liaison with key stakeholders	Chatham House, Precious Woods meeting, 23-24 April 2012, London	Madagascar representatives attend and consult	Madagascar, meeting organisers
Review current initiatives on Wood	Kuala Lumpur workshop, 15-17 May 2012	Review current methods of wood ID and tracking to assess "best fit " with Madagascar's needs	Madagascar and other partners such as ITTO
Document for SC62 outlining Madagascar's plans	Document prepared and submitted to SC62 deadlines (May 24 for Agenda documents)	Document discussed at SC62 in July 2012	Madagascar and partners such as WWF
Review comments received at Standing Committee	Based on lessons learnt prepare briefing document for circulation to importing countries and other interested Parties and observers	Document circulated and comments received and reviewed by end August 2012	Madagascar and other partners such as ITTO
Revision of <i>Dalbergia</i> and <i>Diosypros</i> proposal to generic listing restricted to populations of Madagascar with annotation #5 & draft implementation plan	Revised draft proposals (in the 3 working languages) for circulation to the Chair Plants Committee (PC) & interested Parties and Observers	End August 2012	Madagascar with assistance of PC & interested Parties and Observers
Revise proposal and submit with implementation plan document	Proposal submitted to deadline by government of Madagascar	Submitted by 4 October	Madagascar
Briefing other Parties	Provision of briefings and briefing documents to other Parties	Key Parties informed prior to pre CoP regional meetings to March 2013	Madagascar with assistance of interested Parties and Observers

**Results of discussions of the Plants Committee on item 17.1.2.3 on *Cactaceae and Orchidaceae*:
review of annotations (Decision 15.34), based on documents PC20 Com. 2**

Draft decision which the Committee agreed to propose for adoption at CoP16

Review of annotations for Orchidaceae: evaluation of trade in finished products

Directed to the Plants Committee

16.XX The Plants Committee shall:

- a) conclude its review of the trade in Appendix-II Orchidaceae spp. to determine whether additional finished products should be exempted by amending the annotation for this taxon (Annotation #4). Recommendations on whether to exempt additional finished products from CITES controls should be based on whether finished products are exported from the range States and are a significant portion of the trade; and
- b) as appropriate, prepare a proposal to amend the annotation for the listing of Orchidaceae spp. in Appendix II based on the outcome of this review, and provide it to the Depositary Government for submission to the 17th meeting of the Conference of the Parties.

Results of discussions of the Plants Committee on item 17.1.2.2 on *Preparation of clarification of and guidance on the meaning of "packaged and ready for retail trade" and other terms used in the Annotations – Report of the working group* and 17.1.2.4 on *Tree species: annotations for species included in Appendices II and III [Decisions 14.149, 15.35 and 14.148 (Rev. CoP15)] – Report of the working group, based on documents PC20 WG5 Doc. 1*

Recommendations adopted by the Committee

1. With respect to mandate item 1a) having considered the definitions in paragraph 11 document PC20 Doc. 17.1.2.2, the Working Group developed and proposes the Plants Committee endorse the following definitions and consider including the definitions in an appropriate Resolution, such as Resolution Conf. 11.11 (Rev. CoP15) *Regulation of trade in Plants*:

Powder

A dry, solid substance in the form of fine or coarse particles

Wood chip

Wood that has been reduced to small pieces

2. The working group recommends deletion of the definition 'essential oil' contained in paragraph 11 document PC20 Doc. 17.1.2.2, as the expanded definition of 'extract' includes essential oil. The working group notes it did not reach consensus regarding the exclusion of 'complex mixtures' along with 'finished products' in the definition of 'Extract'.
3. With respect to mandate item 1b) the Working Group proposes the following broadly applicable definition of 'finished products':

Finished product packaged and ready for retail trade

Products, shipped singly or in bulk, requiring no further processing, packaged, labelled for final use or the retail trade in a state fit for being sold to or used by the general public.

4. With respect to mandate item 2 a), the working group considered the conclusions of the intersessional working group and agreed that the annotations for tree species are difficult to interpret. The working group recommends that the annotations for tree species be amended if necessary, following review of the trade study referred to in an updated version of Decision 14.148 (Rev. CoP15) if adopted at CoP17.
5. With respect to mandate item 2 b), after considering annotations #2, #7, #11 and #12, the working group concluded that the definitions it developed to replace those in paragraph 11 document PC20 Doc. 17.1.2.2 serve to clarify interpretation of the annotations. The working group noted particularly that the definition of 'extract' as defined in recommendation 2 (above) could facilitate efforts to combine and reduce the number of annotations for tree species²⁰.
6. With respect to the portion directed to the Plants Committee of Decision 14.148 *Tree species: annotations for species included in Appendices II and III*, understanding that new annotations for tree species cannot be developed in advance of the trade study referenced in Decision 15.35, to be commissioned by the Secretariat, the Plants Committee may wish to consider revising the decision as follows:

²⁰ Note from the Secretariat: the Plants Committee retained this sentence, whilst not accepting the definition of 'extract' which was originally contained in recommendation 2.

Directed to the Plants Committee

14.148 (Rev. CoP15)

- a) *Based on the results of the trade study, the Plants Committee shall review the annotations for tree species listed in Appendices II and III and, if appropriate, draft amendments to the annotations and prepare clear definitions for the terms used in those annotations in order to facilitate their use and understanding by CITES authorities, enforcement officers, exporters and importers.*
- b) *The amended annotations shall focus on articles that initially appear in international trade as exports from range States and those which dominate the trade in and demand for the wild resource.*
- c) *The Plants Committee shall draft, if necessary, proposals to amend Resolution Conf. 10.13 (Rev. CoP15) and/or to amend the Appendices accordingly so that the Depositary Government may submit them on its behalf for consideration at the 17th meeting of the Conference of the Parties.*

7. With respect to mandate item 2 c), the working group identified the conclusions of the PC19 intersessional working group and those of previous timber annotation working groups as potentially useful guidance for amending tree species annotations, and recommends the information be considered if current annotations for tree species are amended.
8. With respect to mandate item 2 d), the working group recommends that Parties:
 - i) Identify within their regulatory agencies those enforcement officers and regulatory experts having particular expertise in CITES processes; and
 - ii) Seek to include enforcement officers and regulatory experts in the review of Plants Committee documents and as regular members of CITES Plants Committee delegations.
9. With respect to mandate item 2 e), having considered and discussed the terms in the glossary of agarwood products in Annex 3 of document PC20 Doc. 17.2.1 Annex 3, the working group recommends that:
 - i) Definitions within the glossary that correspond to those in paragraph 11 of document PC20 Doc. 17.1.2.2 be revised to reflect the new definitions developed by the working group;
 - ii) The finished glossary be incorporated on the CITES website in addition to publication of printed copies; and
 - iii) The glossary of agarwood products be considered a useful model for development of a general glossary and illustrated brochure that would provide guidance on the meaning of “packaged and ready for retail trade” and other terms used in CITES Annotations.

Results of discussions of the Plants Committee on item 19.1 on *Progress report of the Working Group on the Bigleaf Mahogany and Other Neotropical Timber Species [Decisions 15.91, 15.92 and 14.146 (Rev. CoP15)]*, based on documents PC20 WG7 Doc. 1

Document noted by the Committee

Membership

Co-Chair: The representative of Oceania (Mr Leach) and the observer from Guatemala in his role as Chair of the Working Group on the Bigleaf Mahogany and Other Neotropical Timber Species; and

Members: Members of the Committee only.

Mandate

Taking account of all available information, the working group shall test the criteria for inclusion of species in Appendix II for *Cedrela odorata*, *Dalbergia retusa*, *Dalbergia granadillo* and *Dalbergia stevensonii* and evaluate whether the genera meet the criteria or not.

Recommendations

1. *Cedrela odorata*

WG7 concluded that the species fulfils the trade criterion. Data required to fully assess this criterion are still lacking. In particular some of the major exporting countries do not provide data on the conservation status of their populations. In light of this, and under the precautionary principle, Criterion B of Annex 2a might apply. It is noted that only five of the Range States have included the species in Appendix III (Brazil, Bolivia, Colombia, Guatemala, Peru).

2. *Dalbergia retusa*

- a) WG7 concluded that the species fulfils the trade criterion;
- b) The main trade is not reflected in the trade data because most trade is in finished products that are not covered by the Appendix III annotations. There is also evidence of illegal trade;
- c) Data required to assess Annex 2a, Criterion B is still lacking. In particular some of the major exporting countries do not provide data on the conservation status of their populations;
- d) In Costa Rica, populations are well protected in designated protected areas but there is fragmentation of non-protected populations. In Guatemala the population occurs throughout 10-20% of the country and is listed as a threatened species;
- e) Whilst there has been progress in the implementation of the Action Plan, some information is still lacking. In particular: information on Forest Inventories of natural populations, harvest zoning, size, coverage and density of population, vertical and horizontal structure occupied by the species and the percentage of volume exported which originates in plantations;
- f) In light of this, and under the precautionary principle, Criterion B of Annex 2a might apply. Only two of the Range States (Guatemala, Panama) have included the species in Appendix III.

3. *Dalbergia granadillo*

This species was included in the action plan owing to its similarity to *Dalbergia retusa*. WG7 concluded that any decision relating to this species is determined by the decision made for *D. retusa*.

4. *Dalbergia stevensonii*

- a) WG7 concluded that the species fulfils the trade criterion;
- b) Data required to fully assess this criterion is still lacking. In particular some of the major exporting countries do not provide data on the conservation status of their populations. There is also concern over the extent of possible illegal trade reported by some Range States;
- c) Whilst there has been progress in the implementation of the Action Plan, information is still lacking: this species has the least amount of information available compared to the others;
- d) In light of this, and under the precautionary principle, Criterion B of Annex 2a might apply. Only one of the Range States (Guatemala) has included the species in Appendix III.

5. General recommendations

- a) As it does not seem that a proposal from Parties to include these species in Appendix II is going to be presented, the work of the Plants Committee in relation to Decision 14.146 (Rev. CoP15) is considered to be completed”;
- b) WG7 encourages ITTO to provide assistance to major exporting Range States to compile national inventories to enable precise objective assessments of whether Criterion B of Annex 2a applies;
- c) WG7 noted that listing on Appendix II or Appendix III could be used as vehicle to support the acquisition of the necessary biological information and also improve the veracity of trade data. WG7 also noted the difficulty of implementation and enforcement;
- d) WG7 noted that although the species were primarily assessed against criterion Annex 2a, Criterion B, there might be a case to apply criterion Annex 2b, Criterion B (“There are compelling reasons other than those given in criterion A above to ensure that effective control of trade in currently listed species is achieved.”);
- e) WG7 also encourages Parties listing these species in Appendix III to facilitate and contribute on permit confirmation requests from importing Parties.

Results of discussions of the Plants Committee on item 19.1 on *Progress report of the Working Group on the Bigleaf Mahogany and Other Neotropical Timber Species [Decisions 15.91, 15.92 and 14.146 (Rev. CoP15)]*, based on documents PC20 DG1 Doc. 1

Section 1

Recommendations adopted by the Committee

10. The Working Group requested that the Chair of the Plants Committee report to the 62nd meeting of the Standing Committee on concern regarding the high volume of *Swietenia macrophylla* imports from Fiji reported by the Dominican Republic. It further requests that she ask the Standing Committee to prepare a draft Decision for consideration at the 16th meeting of the Conference of the Parties as follows:

Directed to the Secretariat

11. The Secretariat shall undertake a mission to the Dominican Republic to meet with CITES and Customs authorities in order to verify the volumes of *Swietenia macrophylla* imported from Fiji, from range States of the species. During such mission, the Secretariat shall also verify production facilities in the country in order to assess the capacity of the Dominican Republic to process timber into finished products.

Section 2

Other parts of document PC20 DG1 Doc. 1 that the Plants committee agreed would be incorporated into the report for CoP16 required under paragraph 1 e) of Annex 3 to the CoP15 Decisions

Population assessment [Decision 14.146 (Rev. CoP15) Annex 4 1.b]

1. After analysing the projects undertaken by Colombia, Costa Rica and Guatemala to fulfil the commitments derived from Decision 14.146 (Rev. CoP15) Annex 4 1.b, which recommends assessing the populations of the species mentioned in this Decision (*Cedrela odorata*, *Dalbergia retusa*, *Dalbergia stevensonii* and *Dalbergia granadillo*), the Working Group recommends considering the following general aspects, among others:

Taxonomic validation: Use herbarium records and other available resources to have taxonomic certainty of the species dealt with and consult the nomenclature specialist of the Plants Committee.

Potential distribution: Use all the information available, including herbarium records, databases, Geographic Information Systems (GIS), climate probability models and statistical tools assessing probability of occurrence of species.

Cover: Use plant (forest) cover maps or other available materials containing data on the location of natural populations, plantations and agroforestry systems that include the species concerned.

Stand density: Try to ensure that sampling error does not exceed 30 % in Basal Area for individuals over 10 cm DBH (Diameter at Breast Height = 1.3 m above the ground from the base of the tree).

Structure (vertical and horizontal): Assess the various stages of development in the sampling units.

Changes in land use: Assess changes in forest cover for the species concerned using forest cover maps from earlier periods, if such information is available.

Species ecology: Include an analysis of the ecological importance of the species.

Regeneration dynamics: Assess the species current regeneration status based on their ecology and reproductive biology, determining the number of individuals of the species concerned and their recruitment rate, considering the availability of earlier studies.

Tariff codes

2. The Plants Committee should request the Standing Committee to prepare a draft decision requesting the CITES Secretariat to continue liaising with the World Customs Organization (WCO) with a view to undertaking a joint review of the harmonized system tariff codes for specimens of CITES-listed species, with a special focus on tree species.

Chain of custody and timber traceability systems

3. Exporting and importing countries should establish systems to ensure the legality of specimens of the species concerned that are in trade by using chain of custody and traceability systems and identify possible sources of funding to strengthen such mechanisms. Parties are urged to share their experiences in implementing chain of custody and traceability systems for timber.

Use of scientific names in the timber trade

4. Parties should establish the appropriate contacts with their Customs authorities to ensure the mandatory use of scientific names, alongside common and trade names, in Customs documents.

Authenticated reference timber samples

5. The Working Group made the following recommendations regarding authenticated reference timber samples:
 - Parties should increase their cooperation to build a collection of authenticated reference timber samples and make it accessible to officials in charge of identifying the tree species concerned.
 - The Plants Committee should define what constitutes an authenticated reference timber sample and which standards apply to such samples, and set guidelines and operating procedures for the sample collection.
 - The Secretariat should help identify funding to develop capacity-building programmes for Customs officials on timber identification of the species concerned.
 - All Parties are encouraged to share available material through the online CITES Identification Manual.

Identification issues

6. Parties should promote the preparation and use of user-friendly identification guides for Customs authorities, and training of Customs officials in exporting and importing countries.
7. Parties are encouraged to post on the website information on CITES identification material.

Annotations and definitions

8. The Plants Committee, in cooperation with the Parties, should continue the review of the annotations of CITES-listed Neotropical trees and finalize it as soon as possible, providing a definition of the terms used.

Semi-finished products

9. The Plants Committee should prepare definitions of semi-finished products and finished products for submission at CoP16. The Working Group suggests considering the experience of the Government of Brazil in this regard.

Other specific recommendations and observations

12. Range States should develop a registration system for plantations and agroforestry systems containing bigleaf mahogany (*Swietenia macrophylla*), West Indian cedar (*Cedrela odorata*), *Dalbergia stevensonii*, *Dalbergia retusa* and *Dalbergia granadillo*, and support the creation of seed banks in order to promote forest plantations of the species considered by the Working Group on the Bigleaf Mahogany and Other Neotropical Timber Species.

13. The Working Group on the Bigleaf Mahogany and Other Neotropical Timber Species expresses its concern about the lack of participation of some of its members in the activities arising from the terms of reference adopted at CoP15 and therefore encourages them to fully participate in all these activities
14. To contribute to the continuity and success of the Working Group on the Bigleaf Mahogany and Other Neotropical Timber Species, Parties should ensure that the group is composed of the same individuals during the period between CoP16 and CoP17.
15. Range States of the species concerned with harvest bans in place should assess the effectiveness of such measures and promote the necessary studies to determine the conservation status of the species and the making of non-detriment findings (NDFs) to ensure their sustainable use in the future.
16. Parties interested in exporting timber from fallen trees of the species concerned after the occurrence of natural disasters should prepare an inventory of stocks available for export (exportable volumes) and share this information with the Secretariat

Progress in the terms of reference and membership of the working group

17. At the request of the Chair of the Plants Committee, and on the basis of Decision 15.91 and Annex 3, which define the terms of reference and membership of the Group, the CITES Secretariat issued Notification to the Parties No. 2010/031 of 28 October 2010, requesting candidatures to complete the membership of the Group. Several candidatures were received and, in consultation with the Plants Committee, the Group has appointed two scientific experts, two experts from non-governmental organizations with experience in the forest management of these species in the region and three representatives from organizations of exporters from the three main exporting countries (Annex 1).

Progress in the implementation of the Action Plan for *Cedrela odorata*, *Dalbergia retusa*, *Dalbergia granadillo* and *Dalbergia stevensonii*, contained in Annex 4 of Decision 14.146 (Rev. CoP15)

18. Through the Chair of the Working Group on the Bigleaf Mahogany and Other Neotropical Timber Species, reports were received from Mexico, Guatemala, Honduras, Nicaragua, Costa Rica, Colombia, Venezuela, Cuba, Peru, Ecuador, Bolivia, Brazil, the Dominican Republic, Spain, France, Germany and the United Kingdom of Great Britain and Northern Ireland.
19. The information received was organized and analysed, and the findings for each species and indicator are presented in the matrix of results of the "Action plan for *Cedrela odorata*, *Dalbergia retusa*, *Dalbergia granadillo* and *Dalbergia stevensonii*". Information on progress with the action plan for *Swietenia macrophylla* is also included (see Annex 3).

Information received on *Cedrela odorata*

20. Of the 19 range States of *Cedrela odorata*, 11 completed and updated the information requested on the species, namely Mexico, Guatemala, Nicaragua and Costa Rica in Central America; Colombia, Bolivia, Venezuela, Ecuador, Brazil and Peru in South America; and Cuba in the Caribbean. The data obtained were arranged in a matrix contained in Annex 3.
21. Of the countries that submitted information on imports, only Mexico updated its import data (17,237.65 m³, originating from Peru, Bolivia and Guatemala), while Costa Rica and Cuba submitted the same information as the previous year. The Dominican Republic reported the import of 4,964.06 m³ of timber products between 2007 and 2011; 46 % of the sawn wood imported originated from Africa [Côte d'Ivoire (Abidjan) and Ghana], 30 % originated from Nicaragua and the remaining 24 % originated from Peru, Bolivia, Brazil, Honduras and Guatemala; the United Kingdom, Spain, Germany and France submitted information for the first time. The remaining countries that submitted information did not include import data. It is key for Parties to consider the *Guidelines for the preparation and submission of CITES annual reports* in order to avoid inconsistencies in the terminology used.
22. Regarding re-exports, Mexico reported re-exporting 315.12 m³ of sawn wood and 94 pieces of sawn wood to the United States; the United Kingdom, Spain and Germany also reported re-exports of West Indian cedar. After analysing the information received, it was concluded that data should be submitted in a standardized format for an accurate analysis of trade to be possible.

Information received on *Dalbergia retusa*

23. Of the eight range States of the species, which occurs from Mexico to Panama, four countries (Mexico, Guatemala, Nicaragua and Costa Rica) responded to the survey.
24. Of the countries that responded to the survey, Nicaragua, Guatemala, Mexico, the United Kingdom, the Dominican Republic and France did not include any data on imports of *Dalbergia retusa*. The only countries that provided import data were Spain (14.28 m³ of timber, part of which originated from Guatemala and part of which was of unspecified origin) and Germany (1862.11 kg of sawn wood originating from Mexico). No country provided data on re-exports of this species.

Information received on *Dalbergia granadillo*

25. Mexico and Guatemala reported on *Dalbergia granadillo*, although Guatemala stated that the presence of the species in the country will be confirmed once the population assessment of timber species of the genus *Dalbergia* is concluded. No data were provided on imports or re-exports of the species.

Information received on *Dalbergia stevensonii*

26. Of the range States of *D. stevensonii*, only Mexico and Guatemala submitted information on the species, although they did not report any progress compared to the report submitted at PC19. Only Spain and Germany reported imports of the species. Spain reported the import of 8.01 m³ originating from Guatemala and Germany reported the import of 147.1 m³ of sawn wood originating from Belize and Guatemala. Only Germany provided data on re-exports.

Information received on *Swietenia macrophylla*

27. The range States of bigleaf mahogany that responded to the survey were Mexico, Guatemala, Honduras, Nicaragua, Costa Rica, Venezuela, Colombia, Ecuador, Bolivia, Peru and Brazil. The information provided indicates that all these countries have national legislation in place to regulate the harvesting and management of the species and guidelines for the development of management plans included in their regulations. In these countries, harvest cycles for bigleaf mahogany range from 30 to 40 years and minimum cutting diameters (MCD) range from 30 to 75 cm.
28. All the countries provided some information about the natural distribution of the species. In some countries, such as Nicaragua, Costa Rica, Venezuela, Ecuador and Colombia, a national or regional harvest ban is in place for the species.
29. The following countries reported the existence of bigleaf mahogany plantations: Mexico, Guatemala, Bolivia and Venezuela, in small plots under 5 hectares, the Dominican Republic, which reported about 1,000 hectares (875 registered), and Peru in Ucayali (3,748.92 ha), Loreto (25.78 ha), Madre de Dios (242.98 ha) and San Martín (47.3 ha). The type of plantations reported were pure and mixed plantations, mostly in agroforestry systems.
30. As regards imports, Mexico imported 1,327 m³ from Bolivia, Peru and Guatemala. From 2006 to 2011, the Dominican Republic imported 84,324.95 m³; about 90 % of the bigleaf mahogany sawn wood it imported originated from Fiji, followed by Central and South American countries, mainly Guatemala. From 2006 to 2010, Spain reported the import of 394.36 m³ of timber from Bolivia, Peru, Nicaragua and Brazil. Germany reported the import between 2006 and 2011 of bigleaf mahogany from Mexico, Guatemala and Bolivia. Mexico, the United Kingdom, Spain, Germany and France reported re-exports of bigleaf mahogany.

Proposed changes to the current Decisions

31. The Working Group recommends that the Plants Committee consider the following proposed changes to the current Decisions:

Working Group on Neotropical Tree Species

Directed to the Plants Committee

- 16.XX The name of the Working Group on the Bigleaf Mahogany and Other Neotropical Timber Species shall be changed to "Working Group on Neotropical Tree Species". Its terms of reference and membership are included in Annex XX to these Decisions.
- 16.XX The Plants Committee shall explore mechanisms to support the implementation of Decision 14.146 (Rev. CoP16) and the related Annex, within the framework of cooperation between CITES and the International Tropical Timber Organization, and shall report on progress at the 17th meeting of the Conference of the Parties.

Directed to the Secretariat

- 16.XX a) The CITES Secretariat, within the framework of its cooperation with the International Tropical Timber Organization and other entities, shall seek funding from interested Parties, intergovernmental organizations, exporters, importers and other interested donors to support the implementation of Decision 14.146 (Rev. CoP16) and, if necessary, to ensure that the Working Group on Neotropical Tree Species may work effectively; and
- b) The Secretariat shall continue its joint work with the ITTO Secretariat and shall report on progress at the 17th meeting of the Conference of the Parties.

Annex XX

Working Group on Neotropical Tree Species

1. Terms of reference of the Working Group on Neotropical Tree Species:

- a) The group shall work under the auspices of the Plants Committee;
- b) The group shall act as a hub to circulate and exchange experiences on the sustainable use and management of these species;
- c) The group shall contribute to the strengthening of capacities in range States;
- d) If necessary, the group shall facilitate a complete and effective implementation of the Review of Significant Trade in the bigleaf mahogany in the range States concerned by this process;
- e) The group shall draft up reports on progress made in the management and conservation of and trade in the species dealt with by this group, as well as on lessons learnt, for submission at the 21st and 22nd meetings of the Plants Committee, which shall agree on how to submit them at the 17th meeting of the Conference of the Parties (CoP17);
- f) The group shall include, as one of its activities, an analysis of the information received from range States and from Parties on species included in Decision 14.146 (Rev. CoP16) and the present Annex;
- g) The group shall facilitate and promote the exchange of knowledge and experiences gained as a result of the inclusion of *Cedrela odorata*, *Dalbergia retusa*, *Dalbergia granadillo*, *Dalbergia stevensonii*, *Aniba rosaeodora*, *Bulnesia sarmientoi* and other new species in CITES; and
- h) The Chair of the working group shall produce written reports for the Plants Committee on the tasks specified in the paragraphs above for consideration at its 21st and 22nd meetings, and shall submit them to the Secretariat 60 days before those meetings are held.

2. Membership:

- a) All range States;
- b) The main importers of mahogany: the Dominican Republic, the United States of America and the European Union (Germany, Spain and the United Kingdom of Great Britain and Northern Ireland).

- c) The two regional representatives of Central and South America and the Caribbean on the Plants Committee;
- d) Intergovernmental organizations: the European Union, the International Union for Conservation of Nature (IUCN), the International Tropical Timber Organization (ITTO), the Amazon Cooperation Treaty Organization (ACTO) and the *Comisión Centroamericana de Ambiente and Desarrollo* (CCAD, Central American Commission on the Environment and Development);
- e) The CITES Secretariat (the Scientific Officer for Flora)
- f) Additionally, the Plants Committee shall select:
 - i) Two scientific experts with relevant experience in Neotropical tree species;
 - ii) Two experts from non-governmental organizations with experience in the activities mentioned in this Decision; and
 - iii) Three representatives from organizations of exporters from the main exporting Parties of the relevant products of these species that are regulated by CITES; and
- g) The Chairmanship and vice-Chairmanship of the working group shall be undertaken by people from the range States who will be selected by the Plants Committee on the basis of their *curricula vitae* within a period of one month after the entry into force of the Decision. Should there be no candidate or should they resign from their functions during the intersessional period between CoP16 and CoP17, the regional representatives of Central and South America and the Caribbean shall act as interim Chair or vice-Chair of the group, as relevant.

Cedrela odorata, Dalbergia retusa, Dalbergia granadillo, Dalbergia stevensonii, Aniba rosaeodora and Bulnesia sarmientoi

14.146 The Conference of the Parties adopted the Action Plan attached as Annex 4 to these Decisions, to complete knowledge on the status of conservation of, trade in and sustainable use of *Cedrela odorata, Dalbergia retusa, Dalbergia granadillo, Dalbergia stevensonii, Aniba rosaeodora* and *Bulnesia sarmientoi*.

Annex XX

Action plan for *Cedrela odorata, Dalbergia retusa, Dalbergia granadillo, Dalbergia stevensonii, Aniba rosaeodora* and *Bulnesia sarmientoi*

1. The range States of *Cedrela odorata, Dalbergia retusa, Dalbergia granadillo, Dalbergia stevensonii, Aniba rosaeodora* and *Bulnesia sarmientoi*, shall:
 - a) complete and update the available information on the species mentioned in this Decision;
 - b) assess the populations of the species mentioned in this Decision, taking into account *inter alia* the distribution, cover, density, size structure, regeneration dynamics and changes in land use in keeping with available budgets in the range States;
 - c) report the existence, extent and type of forest plantations of the species mentioned in this Decision;
 - d) compile the information related to export of the species mentioned in this Decision, including volumes and products, indicating the percentage from plantations;
 - e) report to the Chair of the Working Group on Neotropical Tree Species progress in the compilation of the information outlined in paragraphs a), b), c) and d) above, 90 days before the 21st and 22nd meetings of the Plants Committee (PC21 and PC22), so that the Chair may present a report to the Committee and the Committee may adopt the necessary measures;
 - f) if necessary, consider the inclusion of their populations of *Cedrela odorata, Dalbergia retusa, Dalbergia granadillo* and *Dalbergia stevensonii* in Appendix III, with the adequate annotation, and ensure the implementation and enforcement of CITES with regard to those species in that Appendix;

- g) consider the production of identification material for those species and similar species, collaborating with relevant expert organizations; and
 - h) consider providing technical and financial support to the Secretariats of CITES and the International Tropical Timber Organization (ITTO), in the framework of Resolution Conf. 14.4 on *Cooperation between CITES and ITTO regarding trade in tropical timber*.
2. Parties, with regard to *Cedrela odorata*, *Dalbergia retusa*, *Dalbergia granadillo*, *Dalbergia stevensonii*, *Aniba rosaeodora* and *Bulnesia sarmientoi*, shall:
- a) compile the information on the import and re-export of the species mentioned in this Decision, including origin (wild or cultivated), volumes and products, indicating the country of origin and final destination;
 - b) report the existence, extent and type of forest plantations of the species mentioned in this Decision, including exported volumes and products;
 - c) report to the Chair of the Working Group on the compilation of the information outlined in paragraphs a) and b) above, 90 days before PC21 and PC22, so that the Chair may present a report to the Committee and the Committee may adopt the necessary measures; and
 - d) continue, support and strengthen the cooperation between CITES and ITTO in the framework of Resolution Conf. 14.4.
3. The Plants Committee shall:
- a) establish the relevant methodology and necessary formats for the presentation of the information requested for the implementation of this Decision;
 - b) request the Working Group on Neotropical Tree Species incorporate, as a part of its activities and in the context of the present Decision, an analysis of information received on the species concerned, and to facilitate communication and the exchange of information among range States, including knowledge and experience gained as a result of the inclusion of these species in the Convention;
 - c) receive, analyse and follow up the Action Plan at its 21st and 22nd meetings; and
 - d) [if appropriate, propose the relevant recommendations, such as an Appendix-II listing, for *Cedrela odorata*, *Dalbergia retusa*, *Dalbergia granadillo* and *Dalbergia stevensonii* before the 17th meeting of the Conference of the Parties.] **no consensus was reached.**
4. The Secretariat shall:
- a) seek external funding from interested Parties, intergovernmental and non-governmental organizations, exporters, importers and other entities directly interested in supporting this Decision;
 - b) inform Parties of the management of funds that have been raised, of technical assistance and of how they may accede to these resources;
 - c) request technical and financial support from ITTO in the framework of Resolution Conf. 14.4 on *Cooperation between CITES and ITTO regarding trade in tropical timber*; and
 - d) promote and assist capacity building in the range States through workshops, trainings and other activities considered relevant in the period between the 16th and 17th meetings of the Conference of the Parties.

Results of discussions of the Plants Committee on item 19.1 on *Progress report of the Working Group on the Bigleaf Mahogany and Other Neotropical Timber Species [Decisions 15.91, 15.92 and 14.146 (Rev. CoP15)]*, based on documents PC20 Com. 3

Document adopted by the Committee

Draft decisions of the Conference of the Parties

Directed to the Plants and Animals Committees and the Secretariat

- 16.XX The Plants and Animals Committees shall form an intersessional working group, comprised of at least one representative from each Region of both Committees to, taking into consideration existing CITES identification and guidance material as well as other material produced by Parties, non-governmental organizations and inter-governmental organizations to assist in identifying CITES-listed taxa:
- a) determine, in collaboration with Parties, the current availability of identification and guidance material (print and electronic) to increase accessibility to Parties;
 - b) consult with Parties to assess the need for additional identification material, including material under production by Parties and directed by Decisions;
 - c) 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
 - d) review and recommend amendments to Resolution Conf. 11.19 *Identification Manual*, taking into account new web-based technologies, to promote accuracy and availability of identification and guidance material; and
 - e) report progress at the 17th meeting of the Conference of the Parties.

Directed to the Parties

- 16.XX The Parties are encouraged to:
- a) provide information on available identification and guidance material that is used by Parties, and particularly enforcement and inspections officers, to facilitate implementation of the Convention;
 - b) evaluate the status of pending identification material and identify difficulties associated with the completion of this material; and
 - c) consult with enforcement and inspection officials to assess current identification and guidance needs and possible improvements thereof.

**Results of discussions of the Plants Committee on item 20 on *Nomenclatural matters*,
based on documents PC20 WG8 Doc. 1**

Document adopted by the Committee

Membership

Chair:	The PC nomenclature specialist (Mr McGough);
Members:	Representatives from Africa (Mr Hafashimana) and Asia (Mr Partomihardjo);
Parties:	India, the Netherlands, South Africa and the United States of America; and
NGO:	Greenwood International.

Mandate

1. Identify mechanisms that may be available to support the completion of outstanding revisions of key plant checklists;
2. Consider whether it is useful to bring together all available information on the taxonomy and nomenclature of *Dalbergia* spp. and *Diospyros* spp.;
3. Express a view on the status and use of the name "*Aloe capensis*"; and
4. Consider other nomenclature matters referred to the Committee by Parties and the Secretariat.

Recommendations

1. That Parties encourage their scientific institutions and taxonomic experts to work with the Plants Committee to complete outstanding revisions of key plant checklists and where possible provide funding to facilitate this process;
2. That the Plants Committee, in co-operation with relevant national and international experts and institutions, compile a working list of names of species of Malagasy *Dalbergia* spp. and *Diospyros* spp. that might form the basis for a future checklist;
3. That "*Aloe capensis*" is a vernacular name applied to the dried leaf exudates of *Aloe ferox* that sometimes may be applied to other aloe species. It is not a valid taxonomic name;
4. That the wording "and its updates accepted by the Plants Committee" in Resolution Conf. 12.11 (Rev. CoP15) is redundant and should be deleted;
5. That, in relation to Decision 15.63, the Plants Committee is not aware of any cases where additional higher order listings could be recommended for flora that would not alter the scope of the current species' listings, no action is required, and that task is therefore concluded;
6. Appendix III currently includes the listing *Diospyros crassiflorides* (*Diospyros crassiflora*) this is incorrect, the name should be referenced as *Diospyros macphersonii* G. E. Schatz & Lowry (*Diospyros crassiflora* H. Perrier), Madagascar will inform the Secretariat in writing of this change;
7. That in the revision of the CITES Cactus Checklist range States should review their flora references in light of The New Cactus Lexicon so that due consideration can be taken of the views of experts from the relevant range States;
8. That the Plants Committee update the CITES Checklist which outlines the succulent species of *Euphorbia* regulated by the Convention.