

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

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Fifty-first meeting of the Standing Committee  
Bangkok (Thailand), 1 October 2004

Interpretation and implementation of the Convention

PERIODIC REVIEW OF THE APPENDICES

1. This document has been submitted by the Animals and Plants Committees.
2. The periodic review of the Appendices is designed to review species already listed in order to determine whether the listings continue to be appropriate, based on current biological and trade information and following the provisions of Resolution Conf. 9.24 (Rev. CoP12) on Criteria for amendment of Appendices I and II. This review is part of the terms of reference of the Animals and Plants Committees, according to which they should establish a schedule for conducting the reviews, identify problems, consult Parties on the need to review specific species and seek their assistance, and prepare and submit amendment proposals resulting from the reviews, through the Depositary Government, for consideration at meetings of the Conference of the Parties [see paragraph h) under the first RESOLVES in Annex 2 of Resolution Conf. 11.1 (Rev. CoP12) on Establishment of Committees].
3. At the 12th meeting of the Conference of the Parties (Santiago, 2002), Parties adopted Decision 12.96 instructing the Standing Committee to "develop mechanisms to obtain greater involvement of the range States in the periodic review of the Appendices and provide guidance to reach a clear recommendation after the completion of the review".
4. At its 49th meeting (Geneva, April 2003), the Standing Committee agreed to the following recommendations for the implementation of Decision 12.96.
  - a) *The Animals and Plants Committees should share their experience regarding the undertaking of periodic reviews of species included in the Appendices (including the financing of reviews, the process, the format and output) and establish a schedule for the periodic review of the Appendices, listing the species they propose to review during the next two intersessional periods between meetings of the Conference of the Parties.*
  - b) *The Secretariat should send a copy of this list to all Parties requesting that range States of the species send their comments on the need to review these species to the Secretariat, to relay to the members of the Animals or Plants Committee and of the Standing Committee.*
  - c) *Taking these comments into account, the Animals and Plants Committees should in consultation with the Standing Committee finalize the selection of the species to be reviewed.*
  - d) *The Animals and Plants Committees should conduct or organize the reviews, seeking information from the range States. A draft of each review (in an agreed format) should be provided by the Secretariat to the range States for comment*

*within an agreed timeframe, and these comments should be taken into consideration before the review is considered final.*

- e) Inter-governmental bodies having a function in relation to the management or conservation of, or trade in species selected for review should be provided with the relevant draft reviews for comment within an agreed timeframe, and these comments should be taken into consideration when finalizing the review.*
- f) The regional representatives of the Animals, Plants and Standing Committees should seek assistance from range States within their region to support the species reviews conducted by the Animals and Plants Committees.*
- g) In cases where a review indicates, and the technical Committee concerned agrees, that it would be appropriate to transfer a species from one Appendix to another, or to delete a species from Appendix II, the Animals or Plants Committee should, in consultation with the range States, prepare (or arrange the preparation of) a proposal to amend the Appendices and keep the Standing Committee informed.*
- h) The Secretariat on behalf of the Standing Committee should 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.*
- i) If no range State is willing to submit the proposal, the Secretariat should request the Depository Government to submit it [as specified in Resolution Conf. 11.1 (Rev. CoP12)] and to include the comments of the range States in the supporting statement.*
- j) Proposals resulting from the periodic review of the Appendices must be submitted for decision by the Conference of the Parties.*

5. The recommendations of the Standing Committee were discussed at the 13th meeting of the Plants Committee (Geneva, August 2003; see document PC13 Doc. 13.3) and the 19th meeting of the Animals Committee (Geneva, August 2003; see documents AC19 Doc. 10 and AC19 Doc. 10.1). The Committees established a joint working group on the review of the Appendices to work intersessionally, and they agreed to examine its outputs at subsequent meetings of the Committees. Furthermore, the Plants and Animals Committees agreed that no new periodic review should be initiated until standard guidelines were agreed on, and a revised draft version of Resolution Conf. 9.24 (Rev. CoP12) had been submitted for consideration at the 13th meeting the Conference of the Parties (CoP13; Bangkok, October 2004). The joint working group was composed of the Chairmen of the Animals and Plants Committees, the representatives of Africa and Oceania to the Plants Committee (John Donaldson, Quentin Luke and Greg Leach), and representatives from the United States of America (Javier Alvarez, Chairman of the contact group), Spain (Carlos Ibero) and UNEP-WCMC (Gerardo Fragoso).

6. At the 50th meeting of the Standing Committee (Geneva, March 2004), the Secretariat reported the progress made by the Animals and Plants Committee on this matter in document SC50 Doc. 31. The Committee endorsed the course of action proposed by the Animals and Plants Committees as laid out in paragraphs 20 to 25 of the Annex to the document. It also agreed that the potential lack of a final agreement on a revision of Resolution Conf. 9.24 (Rev. CoP12) at CoP13 should not preclude further review of the species included in the Appendices. The Committee requested the Animals and Plants Committees to produce a final report on the development of standardized guidelines and

procedures for conducting a periodic review at SC51. It agreed to use this report in finalizing the mechanisms and guidance required under Decision 12.96.

7. The Plants Committee at its 14th meeting (PC14; Windhoek, February 2004) recommended that the working group incorporate the recommendations made by the meeting participants and submit the amended document to the Animals Committee at its 20th meeting (AC20; Johannesburg, March-April 2004) for further consideration.
8. The Animals Committee discussed the outcome of PC14 [see document AC20 Doc. 10 (Rev. 1)] at AC20 and congratulated the intersessional working group on the work done. The Chairman of the working group indicated the comments he had received, providing explanations where needed. Further comments were made regarding a flow chart for a rapid assessment that could serve as a basis to group and select species quickly, and a revised document was produced. The Animals Committee finally adopted the recommendations of the joint working group. The Chairman of the Plants Committee congratulated the joint working group, emphasizing that the guidelines were badly needed and could always be refined if found wanting.
9. In response to the request of the Standing Committee, the Animals and Plants Committees decided to submit the practical guidelines for the periodic review of plant and animal taxa in the CITES Appendices and the outline for a rapid assessment technique for the periodic review of the Appendices to which they had both agreed (see Annexes 1 and 2 to the present document).
10. The Animals and Plants Committees have through the development of the guidelines and rapid assessment technique, started to implement several of the Standing Committee's recommendations referred to in paragraph 4 above, and particularly those in paragraphs a) and c). The remaining recommendations of the Standing Committee will be fully taken into consideration by the Animals and Plants Committees when conducting reviews.
11. The Committees have not yet initiated the actual process of conducting and organizing new reviews (nor the selection of candidate species for review). As explained in paragraphs 5 and 6 above, such reviews should begin after CoP13 and after some prerequisites are fulfilled.

#### COMMENTS FROM THE SECRETARIAT

- A. The Secretariat recommends that the Standing Committee take note of the report of the Animals and Plants Committee, and agree to insert into its recommendations formulated at its 49th meeting a new paragraph g) as follows:
  - g) The Animals and Plants Committees are encouraged to follow the guidelines and rapid assessment technique in Annexes 1 and 2 of document SC51 Doc. 16 and their updates when selecting species and conducting the periodic review.
- B. With this amendment, the Standing Committee will have completed the development of mechanisms and provided the guidance required in Decision 12.96.

## Guidelines for the periodic review of plant and animal taxa in the CITES Appendices

This document was prepared by the intersessional contact group of the Animals and Plants Committees on the review of the Appendices.

### Background

Annex 2, paragraph h) of Resolution Conf. 11.1 (Rev. CoP12) on the Establishment of Committees directs the Animals and Plants Committees (AC and PC, respectively) to “undertake a periodic review of animal or plant species included in the CITES Appendices...”

The purpose of these guidelines is to assist in the selection of species for review, and to outline the process for conducting those reviews.

### Objective of the periodic review

The objective of the periodic review is to determine whether species are properly listed in Appendices I or II, and whether a proposal to transfer a species within the Appendices or to delete it therefrom should be recommended to the Conference of the Parties, based on the relevant Resolution on Criteria for amendment of Appendices I and II.

### Selection of species for review

1. The following taxa should be considered for review:
  - a) taxa listed prior to the adoption of Resolution Conf. 9.24 on Criteria for amendment of Appendices I and II;
  - b) higher taxon listings (i.e. genus, family, etc.).
2. Species subject to other reviews, such as those that are currently subject to the Review of Significant Trade pursuant to Resolution Conf. 12.8, or that have already been evaluated for listing in the CITES Appendices as proposals submitted for consideration at the last two meetings of the Conference of the Parties, should not be included in the periodic review.

### Process for future reviews

1. Future reviews should be carried out as a four-tiered process as follows:
  - a) Production of trade data outputs (organized by family and genus) to identify potential species for review as per 'Selection of species for review' above and the rapid assessment technique presented in Annex 2.
  - b) Completion of an 'abridged species review' containing the following information:
    - i) rationale for initial inclusion in the Appendices (whenever available);
    - ii) summary of trade data since the initial inclusion in the Appendices;
    - iii) current conservation status (including IUCN categorization of the species, if available); and

- iv) population trends.
  - c) Selection of taxa for 'in-depth species review' based on the rapid assessment technique (Annex 2). In general, based on the above status and trade information, the 'rapid assessment technique' assigns species under review to one of five categories. For Appendix-I taxa, the review may result in (1) retention of the species in Appendix I or (2) transfer of the species to Appendix II. In the case of Appendix-II taxa, the review may result in (3) retention of the species in Appendix II, (4) transfer of the species to Appendix I or (5) deletion of the species from the Appendices. Each technical committee may wish to rank these five categories according to its priorities and budget.
  - d) In cases when the 'abridged species review' is not sufficient for the AC or PC to determine whether the current CITES listing is warranted, an 'in-depth species review' should be conducted, which should be based on the information requirements for the submission of a proposal to amend the Appendices as outlined in the relevant Resolution on the Criteria for amendment of Appendices I and II.
2. If the reviewing Party or regional representative obtains information identifying previously unknown or new threats to a species (for instance on illegal trade, sharp population declines, etc.) that goes beyond the issue of whether or not the species is listed in the correct Appendix, it is recommended that such information be submitted to the AC or PC for their consideration. If appropriate, the AC or PC may refer the issue to the CITES Secretariat or the Standing Committee.
  3. Reviewers must solicit input from the CITES Scientific and Management Authorities of range States, conduct a literature review, and seek information from relevant experts, scientists and conservation organizations. To assist in the gathering of information from range States and relevant experts, it is highly advisable to use questionnaires.
  4. To achieve greater involvement by range States in the reviews, the following is recommended:
    - a) Range States should be provided with a summary and full report of the species review for comment;
    - b) Contact should be made with the relevant Management Authority and Scientific Authority of the range State, both for seeking assistance with reviews and for reacting to results from a review;
    - c) In addition to being involved in seeking assistance with reviews from countries within their regions, the regional representatives on the Animals, Plants, and Standing Committees should follow up with countries affected by a review to encourage their response;
  5. While in all cases a Party or regional representative of the AC or PC should be responsible for submission of a species review, a Party may request that a non-governmental organization or individual scientist conduct the review. Reviews must be submitted back to the AC or PC for further processing in accordance with the recommendations of the Standing Committee, and cannot be withdrawn.

Rapid assessment technique for the periodic review of the Appendices

