

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



Sixty-sixth meeting of the Standing Committee
Geneva (Switzerland), 11-15 January 2016

Interpretation and implementation of the Convention

Amendment of the Appendices

PERIODIC REVIEW OF THE APPENDICES

1. This document has been submitted by the Chairs of the Animals and Plants Committees.*
2. In Resolution Conf. 14.8 (Rev. CoP16) on *Periodic review of species included in Appendices I and II*, the Conference of the Parties agrees on a process and guidelines for the Animals and Plants Committees to undertake a periodic review of animal or plant species included in the CITES Appendices, and directs the Chairs of the Animals and Plants Committees to keep the Standing Committee informed about the conduct of periodic reviews.

Activities of the Animals Committee on fauna species selected for review

3. The Animals Committee, during their 28th meeting (AC28, Tel Aviv, August 2015) took note of document AC28 Doc.20.1 (Rev. 1), which included the record and status of animals species selected for review between the 13th and 15th meetings of the Conference of the Parties (CoP13, Bangkok, 2004 and CoP15, Doha, 2010), the animal species to be reviewed between the 15th and 17th meetings of the Conference of the Parties (Johannesburg, 2016) and the species that were selected at the 27th meeting of the Animals Committee (AC27, Veracruz, May 2014) for review in line with Decision 16.124 and 16.125.
4. During AC27, the Committee reviewed the status of species selected for review following CoP15 and, for 11 species where the review was ongoing but a volunteer had not yet been identified, agreed to seek reviewers. The record of animal species to be reviewed can be found in Annex 2 of document AC28 Doc. 20.1. During AC28, the Animals Committee agreed to remove from the Periodic Review those species where no range States had volunteered to undertake the review.
5. At AC27, the Animals Committee considered the periodic review of five species. Of these, the Animals Committee noted the work done to date concerning *Panthera leo*. The Animals Committee agreed in principle to retain *Pteropus tokudae* in Appendix II, but agreed to defer a final decision for the periodic review of this species in view of the ongoing discussions regarding the treatment of extinct or possibly extinct species. The Animals Committee agreed with the recommendations of the periodic review for the remaining three species considered at AC27 (*Monachus tropicalis*, *Grus canadensis pulla* and *Epicrates inornatus*). The record of these decisions can be found in document AC27 ExSum. Cons.
6. The Animals Committee considered 10 periodic reviews of species at AC28. The Committee noted the work undertaken by Kenya and Namibia regarding the periodic review of *Panthera leo*, as well as their intent to submit a final Periodic Review of this species to the Animals Committee for decision by postal

* The geographical designations employed in this document do not imply the expression of any opinion whatsoever on the part of the CITES Secretariat (or the United Nations Environment Programme) concerning the legal status of any country, territory, or area, or concerning the delimitation of its frontiers or boundaries. The responsibility for the contents of the document rests exclusively with its author.

procedure. At the time of submission of this report, the Animals Committee had not yet received the final Review. The Animals Committee additionally agreed to defer a decision regarding the review of *Epioblasma sampsonii* until its 29th meeting, in view of the discussions regarding extinct or possibly extinct species in the context of the implementation of Decision 16.164. The Animals Committee agreed with the recommendations of the periodic review for the remaining species considered at AC28. i.e. concerning *Puma concolor coryi* and *Puma concolor cougar*, *Lichenostomus melanops cassifix*, *Cyclopsitta diopthalma coxeni*, *Psephotus dissimilis*, *Ninox novaeseelandiae undulata*, *Sphenodon* spp., *Cuora galbinifrons* and *Mauremys annamensis*. With the completion of the latter two periodic reviews, the Animals Committee has completed the requirements under Decision 16.124. The record of these decisions can be found in document AC28 Sum. 2 (Rev. 1).

Activities of the Plants Committee on flora species selected for review

7. During its 21st meeting (PC21, Veracruz, May 2014), the Plants Committee noted the following documents: Overview of species under review (PC21 Doc. 19.1); Selection of species for the Periodic Review (PC21 Doc. 19.2); Periodic review of *Pachypodium brevicaule* – Report of Madagascar (PC21 Doc. 19.3.1); Periodic review of *Tillandsia mauryana* – Report of Mexico (PC21 Doc. 19.3.2); and Progress report on the periodic review of the genus *Sclerocactus* and *Lewisia serrata* – Report of the United States of America (PC21 Doc. 19.3.3).
8. At PC21, the Plants Committee accepted the offer of the Animals Committee to participate in a joint intersessional working group to consider the periodic review process and possible revisions to Resolution Conf. 14.8 (Rev. CoP16), and agreed that the representative of North America (Mr Benítez) would be a Co-Chair of the working group.
9. Regarding the species under revision, the Plants Committee agreed the following at PC21:
 - a) There was insufficient information to determine if the 17 species of *Aloe* spp. in Appendix I, 17 species of *Didiereaceae* spp. in Appendix II, and 10 species of *Euphorbia* spp. in Appendix I that were selected for the review period CoP13-CoP15 are appropriately listed in the Appendices. Madagascar should be requested to submit a revised and updated version of Annex 5 of document PC18 Doc. 16.1.1 to PC22, which should contain recommendations for the appropriate listing of the species and which should be translated.
 - b) To delete *Peristeria elata* and *Platymiscium pleiostachyum* in accordance to subparagraph e) of Resolution Conf. 14.8 (Rev. CoP16), and request the Nomenclature Specialist to revise the taxonomic status of *Platymiscium pleiostachyum*.
 - c) Regarding *Balmea stormiae*, Mexico will consult Guatemala for the possibility to conduct the periodic review.
 - d) UNEP-WCMC should be requested, subject to funding, to prepare outputs 1 to 4 in the Annex to Resolution Conf. 14.8 (Rev. CoP16), based on the guidelines provided within the Resolution, for all plant species. The summaries of trade since the initial inclusion of each species in the Appendices should be presented separately for each year in a similar format than the one used for the Significant Trade Analysis. The outputs should be assessed at PC22 in the light of the findings of the AC/PC inter-sessional working group, with a view to selecting species for periodic review at PC23.
 - e) Regarding *Pachypodium brevicaule*, there was insufficient information to determine if *Pachypodium brevicaule* is appropriately listed in the Appendices. Madagascar should be requested to submit a revised and updated version of document PC21 Doc. 19.3.1 to PC22, which should contain a recommendation for the appropriate listing of the species and explain how the IUCN Red List criteria have been applied locally to it.
 - f) *Tillandsia mauryana* did not meet the criteria for inclusion in Appendix II of Resolution Conf. 9.24 (Rev. CoP16). There was no international trade in specimens of wild source and the species is found mostly in a protected area, where it is subject to specific conservation measures. The main threat to the species is from habitat loss. The range State (Mexico) should present a proposal to delete the species from the Appendices at CoP17, specifying that the proposal is made in the context of the periodic review and that it has the support of the Plants Committee.

10. During the 22th meeting of the Plants Committee (PC22, Tbilisi, October 2015) agreed the following concerning document PC22 Doc. 20.1 (Rev. 1) "Overview of species under review" for species to be reconsidered between CoP15 and CoP17:
- a) Request that the Secretariat send a letter to the range States of *Dioscorea deltoidea* and *Hedychium philippinense*, asking whether there is a volunteer willing to undertake the periodic review of each species.
 - b) Regarding *Tillandsia kammii*: Annex 2 of document PC22 Doc. 20.1 (Rev.1) notes that the review is ongoing with assistance from the Representative of Central and South America and the Caribbean (Ms. Rivera). However, due to lack of volunteers to undertake the review, and in consultation with Ms. Rivera, and considering that the species has been under the periodic review process for more than two intersessional periods between CoPs (since 2005), and in compliance with para. e) of Resolution Conf. 14.8 (Rev. CoP16), the species is agreed to be eliminated from the periodic review.
11. Regarding species to be reviewed between period CoP13 and CoP15:
- a) *Aloe* spp. (17 species): These taxa still meet the criteria to be listed under Appendix I, and should be retained in that Appendix.
 - b) *Balmea stormiae*: In compliance with what was agreed at PC21, Mexico consulted Guatemala on 28 July 2015 on their availability to undertake the review of the species. Considering that there was no response from Guatemala, and that the species has been under the periodic review process for more than two intersessional periods between CoPs (since 2005), and in compliance with par. e) of Res. Conf. 14.8 (Rev. CoP16), the species is proposed to be deleted from the list of species to be reviewed.
 - c) *Dideraceae* spp. (11 species): The international trade is a pressure on wild populations. Legal trade is reported, and illegal trade is known to exist. The current listing under Appendix II requires reporting of all international trade in wild-collected specimens. The 11 species of *Dideraceae* spp. meet the criteria for retention in Appendix II.
 - d) *Euphorbia* spp. (10 species): All taxa still meet the criteria to be listed under Appendix I, and should be retained in that Appendix.
 - e) *Lewisia serrata*: the US is currently undertaking the review;
 - f) *Pachypodium brevicaulis*: in recent years, there has been a resurgence in the wild-collection of plants, particularly small plants, which are sought-after by traveling tourists. There has also been an increase in the trade of seeds, which are not regulated under the Appendix-II listing (Annotation #4) for the species. The species is appropriately listed in Appendix II, and should be retained in that Appendix.
 - g) *Sclerocactus* spp.: Regarding document PC22 Doc. 20.3.3 (Rev. 1) "Periodic review of *Sclerocactus* spp.", and in accordance with the criteria in Resolution Conf. 9.24 (Rev. CoP16), the Committee agreed:
 - to take note of the findings regarding the 7 taxa of *Sclerocactus* endemic to the USA, as specified in Table 1 of document PC22 Doc. 20.3.3 (Rev. 1);
 - to endorse the recommendation to maintain all taxa listed in Table 3 of document PC22 Doc. 20.3.3 (Rev. 1) as currently listed in the Appendices, with the exception of *S. blaneii*, *S. cloverae* and *S. sileri* which should be transferred from Appendix II to Appendix I, as described in document PC22 Doc. 22.5; and
 - regarding taxonomy issues and the updating of the *CITES Cactaceae Checklist*, convey to the Nomenclature Specialist to address, with the assistance of specialists appointed by Mexico and the USA, the taxonomic issues identified in the document, namely: evidence supporting the inclusion of *S. erectocentrus* within *S. johnsonii* [as specified in paragraph 20 of document PC22 Doc. 20.3.3 (Rev. 1)]; and review the taxonomy of the species listed in rows 31 to 34 of Table 3 of document PC22 Doc. 20.3.3 (Rev. 1).

- h) *Tillandsia mauryana*: Mexico undertook the review of the species, and presented the findings of the revision at PC21 (Veracruz, 2014) in document PC21 Doc. 19.3.2, with a recommendation to delete the species from Appendix II. The recommendation was endorsed by the Plants Committee, and the amendment proposal will be presented by Mexico at CoP17. This should be reflected in the summary table.
12. Additionally, regarding the newly discovered species *Pachypodium enigmaticum* (Pavelka, Prokes, V.Vlk, Lavranos), the Plants Committee, in collaboration with the Secretariat,:
- a) asks the Nomenclature Specialist to review the taxon and include it in the standard reference as appropriate;
 - b) on the basis of the findings of the Nomenclature Specialist, requests the Secretariat to update the *CITES Checklist of Species* and the Species+ database in order to include this new species; and
 - c) suggests Madagascar to assess whether the species meets the criteria for inclusion in Appendix I.
13. Regarding Madagascar's implementation of CITES listings for plant species, the inclusion in the report of the Chair of the Plants Committee to CoP17 of the following was agreed: "The Plants Committee requests that the Secretariat seeks clarification from Madagascar concerning a policy which apparently allows tourists to export (up to) 5 specimens of CITES-listed plants without CITES permits or certificates."

Review of Resolution Conf. 14.8 (Rev. CoP16)

14. During the joint sessions of AC27 and PC21 (Veracruz, May 2014), the Committees shared their experiences and frustrations with the process for conducting the periodic review of species, as outlined in Resolution Conf. 14.8 (Rev. CoP16). The Committees agreed to form an inter-sessional working group with the mandate to *consider the periodic review process and possible revisions to Resolution Conf. 14.8 (Rev. CoP16)*.
15. The inter-sessional working group was first asked to consider, in light of recent and past discussions on the periodic review process, whether modifications of Resolution Conf. 14.8 (Rev. CoP16) on *Periodic Review of species included in Appendices I and II* were needed and, if so, what sort of modifications would be proposed. Additionally, the working group was asked to consider the purpose and desired outcomes of the periodic review process and whether a process for prioritising species for the process should be considered. Finally, the working group was asked to propose modifications to Resolution Conf. 14.8 based on the discussion. The working group presented the results of their deliberations for discussion at AC28 and PC22.
16. The Animals and Plants Committee, at AC28 and PC22 respectively, agreed to a series of revisions to Resolution Conf. 14.8 (Rev. CoP16) on *Periodic review of species included in Appendices I and II*. The revisions include reorganization of many of the existing clauses, new preambular text to clarify the purpose and intent of the review, clarification of timelines and actions for the periodic review process, and changing from an obligation to an option for the Scientific Committees to submit any resulting proposals for consideration by the Conference of the Parties.
17. The proposed revisions to Resolution Conf. 14.8 (Rev. CoP16) on *Periodic review of species included in Appendices I and II* agreed by the Animals and Plants Committee are found in the Annex to this document. Additional language is shown in underline and deletions are shown in ~~strikeout~~ font. Language that was simply reorganized is shown in double underline font. The Animals and Plants Committee will be submitting the revised Resolution for consideration by the 17th meeting of the Conference of the Parties (September 2016).

Recommendation

18. The Standing Committee is invited to note the progress of the Scientific Committees regarding the periodic review of species and to note the outcomes of the Scientific Committee's review of Resolution Conf. 14.8 (Rev. CoP16) on *Periodic review of species included in Appendices I and II*, which will be submitted to the 17th Meeting of the Conference of the Parties.

Proposed revisions to Resolution Conf. 14.8 (Rev. Cop16)

Proposed new language is in underline font, moved language is in double underline font, and deleted language is in ~~strikeout~~ font.

Conf. 14.8 Periodic Review of Species included in Appendices I and II
(Rev. ~~CoP16~~ CoP17)

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. CoP16) on *Establishment of Committees*, in Annex 2, paragraph h) under 'RESOLVES', directs the Animals and Plants Committees to undertake a periodic review of animal or plant species included in the CITES Appendices;

ACKNOWLEDGING that, in undertaking a periodic review, the Scientific Committees are mandated to provide advice and recommendations to the Conference of the Parties and it is the responsibility of the Conference of the Parties to take decisions as they deem appropriate.

ACKNOWLEDGING that Resolution Conf. 9.24 (Rev. CoP16) on *Criteria for amendment of Appendices I and II*, establishes criteria to ensure that decisions to amend the Convention's Appendices are founded on sound and relevant scientific information and that, to monitor the effectiveness of protection offered by the Convention, the status of species included in Appendices I and II should be regularly reviewed;

ACKNOWLEDGING that a ~~successful completed~~ periodic review of a species consists of an objective evaluation by the Animals and Plants Committees of a species listed on Appendix I or II and may result in a recommendation to amend Appendix I or II, or equally may result in ~~advice a recommendation~~ that the Appendix under which the species is currently listed properly reflects its conservation needs and the species should be retained as listed;

RECOGNIZING that the periodic review process provides advice to Parties on the scientific basis underlying the Convention, can guide Parties in the implementation of the Convention and can provide valuable information to support range States' conservation and management actions for the species evaluated.

FURTHER recognizing that the periodic review process also facilitates open and constructive dialogue amongst range States and importing countries, and at meetings of the Animals and Plants Committees.

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

AGREES that the Animals and Plants Committees shall conduct a periodic review of species listed in Appendix I and II, seeking information, participation and support from the range States. The regional representatives of the Animals and Plants Committees shall seek assistance from range States within their region to support the taxon reviews;

FURTHER AGREES to the following: that the review will be conducted in accordance to the following process:

~~a) The Animals and Plants Committees should share their experience, especially during joint meetings, regarding the undertaking of periodic reviews of taxa included in the Appendices (including financing of reviews, processes, format and outputs);~~

a) Normally, after every second meeting of the Conference of the Parties, the Animals and Plants Committees shall establish a schedule for the Periodic Review of the Appendices and identify a list of taxa they propose to review during the next two intersessional periods ~~between meetings of the Conference of the Parties (CoP).~~

The list should be established at the first meetings of the Committees after the meeting of the CoP that initiates the review period;

~~e) The Animals and Plants Committees are strongly encouraged to follow the following guidelines:~~

~~i) It is strongly encouraged that the Animals and Plants Committees, in consultation with the UNEP World Conservation Monitoring Centre, shall select a practical subset of CITES flora or fauna taxonomic entity or entities for analysis using the process outlined in the Annex to the present Resolution;~~

~~i) the Secretariat shall, subject to availability of funding, undertake or appoint consultants to undertake the assessment outlined in the Annex and prepare the resulting outputs for consideration by the Scientific Committees at their first meeting after the meeting of the Conference of the Parties that initiates the review period (Note: if no funding is available, the Secretariat shall inform the Parties and the Scientific Committee Chairs);~~

ii) the following taxa should not be considered for review;

A. species that were the subject of listing proposals at the previous three meetings of the CoP (whether or not the proposals were adopted);

B. species subject to ongoing reviews, under the Review of Significant Trade [Resolution Conf. 12.8 (Rev. CoP13)], or periodic reviews conducted within the last 10 years; or

C. species subject to other reviews targeted by valid Decisions and Resolutions of the CoP; and

D. species for which it is clear that there has been no change in the status, range or trade and for which there is no possibility to need to amend the Appendices;

~~iii) the selected taxonomic entity or entities shall be assessed using the process outlined in the Annex to the present Resolution; and~~

~~iv) iii) outputs resulting from the assessment conducted in accordance with the Annex shall contain the following information in summary tables that include:~~

~~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;~~

~~C. current listing in the CITES Appendices, criteria under which it was listed (if known), date of first listing; and~~

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

~~e) c) From the resulting summary tables, At the first meetings of the Committees after the meeting of the CoP that initiates the review period and based on the outputs prepared in paragraph b) above, the Animals and Plants Committees will identify the list of taxa to be reviewed considered for periodic review;~~

~~e) d) The Secretariat shall send a copy of the proposed list of taxa to be reviewed to all Parties, and request Range States of the taxa to comment within 60 days on whether they support a the need to review the taxa and express their interest in undertaking the reviews. The responses shall be relayed by the Secretariat to the Animals or Plants Committee. If no volunteer offers to undertake a review within two intersessional periods between CoPs, those taxa shall be deleted from the list of species to be reviewed;~~

~~f) The Animals and Plants Committees shall conduct or organize the reviews responsibly, seeking information, participation and support from the range States. The regional representatives of the Animals and Plants Committees shall seek assistance from range States within their region to support the taxon reviews;~~

~~g) 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 those from the CITES Master's Programme at the International University of Andalusia;~~

~~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;~~

~~h) The Chair of the Animals and Plants Committees shall keep the Standing Committee informed about the conduct of periodic reviews, noting that Standing Committee approval is not required to initiate the process;~~

~~ie) Each review (ideally in the format of a proposal used to amend the Appendices) is to be submitted as a working document to the Animals or Plants Committee for review, clearly specifying the recommendation with reference to the criteria in Resolution Conf. 9.24 (Rev. CoP16). The Secretariat shall notify the relevant range States of these working documents in advance of the meeting of the Committee;~~

~~f) The Animals or Plants Committees may also evaluate reviews undertaken independently by Parties and submitted for their consideration;~~

~~g) Based on the information as per e) above, the Animals or Plants Committee is to make a recommendation on whether it would be appropriate to retain a taxon in the Appendix in which it is currently listed, transfer a taxon from one Appendix to another, or to delete a taxon from the Appendices; and~~

~~h) The Animals or Plants Committee shall draft its recommendation with reference to the criteria in Resolution Conf. 9.24 (Rev. CoP16). The Committee shall report its conclusions to the Conference of the Parties and to the Secretariat for provision to the range State(s) for the species reviewed.~~

~~i) In the event that the Committee recommends a change in the CITES listing status for the species reviewed:~~

~~i) the Secretariat shall invite the range State(s) of the species reviewed to submit a proposal to the next Conference of the Parties;~~

~~ii) if no range State expresses a willingness to submit the proposal, the Secretariat may request the Depository Government to submit it as specified in Resolution Conf. 11.1 (Rev. CoP16) and to include the comments of the range States in the supporting statement, if so requested by the Animals or Plants Committee;~~

~~j) In cases where a review indicates, and the Animals or Plants Committee 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) the Secretariat, on behalf of the Animals or Plants Committee, shall provide copies of the proposal to the range States and request that one or more should submit the proposal for consideration at the following meeting of the CoP;~~

~~iii) if no range State is willing to submit the proposal, the Secretariat shall request the Depository Government to submit it as specified in Resolution Conf. 11.1 (Rev. CoP16) and to include the comments of the range States in the supporting statement; and~~

~~iv) proposals resulting from the periodic review of the Appendices must be submitted for decision to the CoP; and~~

~~k) In cases where the Animals or Plants Committee decides that it would not be appropriate to transfer a taxon from one Appendix to another, or to delete a taxon from the Appendices, it shall draft its decision with reference to the criteria in Resolution Conf. 9.24 (Rev. CoP16);~~

RECOMMENDS the Animals and Plants Committees should share their experience, especially during joint meetings, regarding the undertaking of periodic reviews of taxa included in the Appendices (including financing of reviews, processes, format and outputs);

ENCOURAGES the Animals and Plants Committees and Parties to facilitate periodic reviews by:

a) collaborating with university graduate students, including those from the CITES Master's Programme at the International University of Andalusia;

b) collaborating with other non-Party reviewers including species experts such as IUCN-SSC Specialist Groups;

c) using readily available information on species' conservation status from organizations (e.g. IUCN, BirdLife, etc.) and Parties;

d) seeking financial support for reviews, including from importing countries, as appropriate; and

e) increasing communication between the Chairs of the Animals and Plants Committees and suggest coordination with Parties when animal and plant species' ranges overlap;

DIRECTS the Chair of the Animals and Plants Committees to keep the Standing Committee informed about the conduct of periodic reviews, noting that Standing Committee approval is not required to initiate the process;

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; and

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.

Annex

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

Remains as found in Resolution Conf. 14.8 (Rev. CoP 16)