

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

Eleventh meeting of the Conference of the Parties
Gigiri (Kenya), 10-20 April 2000

Interpretation and implementation of the Convention

PROCEDURE FOR THE REVIEW OF CRITERIA FOR AMENDMENT OF APPENDICES I AND II

1. This document was prepared and is submitted by the Chairmen of the Animals and Plants Committees.

Background

2. In Resolution Conf. 9.24, the Conference of the Parties recommends that:

the text and the Annexes of this Resolution be fully reviewed before the 12th meeting of the Conference of the Parties with regard to the scientific validity of the criteria, definitions, notes and guidelines and their applicability to different groups of organisms.
3. At its 41st meeting the Standing Committee charged the Chairmen of the Animals and Plants Committees with responsibility for drafting the terms of reference for this review and submitting them to the 11th meeting of the Conference of the Parties.
4. This matter was discussed by the Chairmen of the Animals and Plants Committees during the ninth meeting of the Plants Committee (Darwin, Australia, June 1999). Their discussions resulted in proposed draft terms of reference for the review of the criteria, which are included in the Annex to this document. These are based on the document proposed by the Secretariat for consideration by the Standing Committee at its 41st meeting.
5. The draft terms of reference were considered at the above-mentioned meeting of the Plants Committee and the 15th meeting of the Animals Committee (Antananarivo, Madagascar, July 1999). Relevant comments from these meetings have been taken into account in revising the proposal.
6. The Chairmen of the Animals and Plants Committees would like to inform the Conference of the Parties, through this document, of the progress made and propose that the attached terms of reference be decided by the Conference of the Parties.

TERMS OF REFERENCE FOR THE REVIEW OF THE CRITERIA FOR AMENDMENT
OF APPENDICES I AND II

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Prepared by the Chairmen of the Animals and Plants Committees

Selection of taxa

1. The Chairmen of the Animals and Plants Committees, in collaboration with the Secretariat, should prepare separate lists of species for review.
2. The taxa should be selected on the basis of the results of the Animals and Plants Committees' work on the regular review of the appendices, but may include, where appropriate, taxa that have not been subject to that review.
3. In order to evaluate the applicability of the criteria to all organisms, using all appropriate sources, the Animals and Plants Committees should identify a variety of other taxa, or groups of taxa, not currently included in the appendices to the Convention, as additional candidates for review.
4. The lists should be circulated to the members of the Animals and Plants Committee for their consideration and comments.
5. The species assessments resulting from the review of the appendices should follow the format detailed in Annex 1 A and B.

The review process

6. A Criteria Working Group, comprising 12 individuals, should be established by the Conference of the Parties at its 11th meeting.
7. Representation on the Working Group should be on the basis of expertise across all major taxonomic groups drawn from a representative or alternate representative of the Animals Committee (appointed by its Chairman) and a representative or alternate representative of the Plants Committee (appointed by its Chairman) from each of the six CITES regions. The Criteria Working Group should be serviced by the Secretariat.
8. At its first meeting, convened by the Secretariat, the Criteria Working Group should elect a Chairman and Vice-chairman from among the members of the Group.
9. The Criteria Working Group should have the authority, in consultation with the Secretariat, to co-opt, as and when necessary, up to four external experts to assist it in conducting the review, including representatives from organizations such as FAO and ITTO.
10. The Criteria Working Group should address *inter alia* the following questions:
 - a) Are the present criteria in Resolution Conf. 9.24, Annexes 1 and 2, and definitions and notes in Annex 5 scientifically valid and applicable to and sufficient for all taxonomic groups of plants and animals?
 - b) Are the present guidelines in Annex 5 useful in assisting Parties to apply Resolution Conf. 9.24 when making proposals to amend the appendices to the Convention?
 - c) Does the format in Annex 6 address the biological information requirements and focus the proponent on the information required to assess a proposal against the criteria?

11. The species assessments, provided by the Animals and Plants Committees, will assist the Working Group to identify any deficiencies in Resolution Conf. 9.24. If deficiencies are identified, the Working Group should develop proposals for consideration at the 12th meeting of the Conference of the Parties.
12. The results of the review should be fully documented and a preliminary report will be submitted to the Secretariat for circulation to the Parties, to interested intergovernmental organizations, and to non-governmental organizations, seeking their comments. Respondents will have 60 days in which to provide written comments to the Secretariat.
13. The analyses and any conclusions reached by the Criteria Working Group should be reviewed at a joint meeting of the Animals and Plants Committees taking into account the comments received.
14. A final report, amended as appropriate, should be prepared by the Chairmen of the Animals and Plants Committees for submission to the Conference of the Parties at its 12th meeting, including if necessary any proposed amendments to Resolution Conf. 9.24.
15. N.B. Some text included in Resolutions adopted at the tenth meeting of the Conference of the Parties and in draft resolutions for the 11th meeting might more properly be included in Resolution Conf. 9.24. If the Criteria Working Group is proposing amendments to Resolution Conf. 9.24, it should take these into account.

Funding

16. At its 11th meeting, the Conference of the Parties should allocate sufficient funds in the Budget of the Secretariat for the period 2000-2002 to finance the activities of the Criteria Working Group and the associated joint meeting of Animals and Plants Committees. The amount of the budget required will be indicated by the Secretariat.

Timetable

17. The following timetable is suggested on the assumption that the 12th meeting of the Conference of the Parties will be held in the second half of the year 2002.

1999

SC 41: Requests the Chairmen of the Animals and Plants Committees to prepare terms of reference for the review process.

Chairmen: The Chairmen of the Animals and Plants Committees will prepare a draft proposal for the Terms of Reference for review of the criteria, for presentation to the 42nd meeting of the Standing Committee.

2000

April: 11th meeting of the Conference of the Parties to agree on a review process.

June-July: The Secretariat to convene a meeting of the Criteria Working Group.

August: The Criteria Working Group to submit a report to the Secretariat for circulation to and consultation with the Parties and relevant international organizations.

November: Joint meeting of the Animals and Plants Committees (including the co-opted experts from the Criteria Working Group); preparation of draft report.

2001

April-May: Consultation with the Parties.

November: The Chairmen of the Animals and Plants Committees prepare the final report for submission to the Standing Committee before the end of the year.

2002

February-March: The Standing Committee considers the adoption of the report and its presentation to CoP12.

Annex 1A

Appendix I criteria

Criteria→	A					B				C		D	Trade Criteria				Appendix I (Y/N)	Application problems
	The wild population is small, and is characterized by at least one of the following (i-v):					The wild population has a restricted area of distribution and is characterized by at least one of the following (i-iv):				A decline in the number of individuals in the wild, which has been either (i-ii):		If not included in AI, species would satisfy A,B or C within 5 yrs	At least one of the following (i-iv):					
Taxon ↓	i	ii	iii	iv	v	i	ii	iii	iv	i	ii		i	ii	iii	iv		

- Key:
- Y taxon satisfies the criteria
 - N1 taxon does not meet the criteria: sufficient information
 - N2 taxon does not meet the criteria: insufficient information
 - N3 taxon does not meet the criteria: no information

Appendix-I biological criteria

- A. The wild population is small, and is characterized by **at least one** of the following:
- i) an observed, inferred or projected decline in the number of individuals or the area and quality of habitat; or
 - ii) each sub-population being very small; or
 - iii) a majority of individuals, during one or more life-history phases, being concentrated in one sub-population; or
 - iv) large short-term fluctuations in the number of individuals; or
 - v) a high vulnerability due to the species' biology or behaviour (including migration).
- B. The wild population has a restricted area of distribution and is characterized by **at least one** of the following:
- i) fragmentation or occurrence at very few locations; or
 - ii) large fluctuations in the area of distribution or the number of sub-populations; or
 - iii) a high vulnerability due to the species' biology or behaviour (including migration); or
 - iv) an observed, inferred or projected decrease in any one of the following:
 - the area of distribution; or
 - the number of sub-populations; or
 - the number of individuals; or
 - the area or quality of habitat; or
 - reproductive potential.
- C. A decline in the number of individuals in the wild, which has been **either**:
- i) observed as ongoing or as having occurred in the past (but with a potential to resume); or
 - ii) inferred or projected on the basis of any one of the following:
 - a decrease in area or quality of habitat; or
 - levels or patterns of exploitation; or
 - threats from extrinsic factors such as the effects of pathogens, competitors, parasites, predators, hybridization, introduced species and the effects of toxins and pollutants; or
 - decreasing reproductive potential.
- D. The status of the species is such that if the species is not included in Appendix I, it is likely to satisfy one or more of the above criteria within a period of five years.

Annex 1B

Appendix II criteria

A species should be included in Appendix II when <i>either</i> A or B and at least <i>one</i> of the trade criteria is met:									
Criteria⇒	A It is known, inferred or projected that unless trade in a species is subject to strict regulation, it will meet at least one of Appendix I criteria in the near future	B It is known, inferred or projected that the harvesting of specimens from the wild for international trade has, or may have, a detrimental impact on the species by either :		Trade Criteria A species must meet at least one of the following (i-iv):				Appendix II (Y/N)	Application problems
Taxon ↓		i) exceeding, over an extended period, the level that can be continued in perpetuity	ii) reducing it to a population level at which its survival would be threatened by other influences	i	ii	iii	iv		

- Key:
- Y taxon satisfies the criteria
 - N1 taxon does not meet the criteria: sufficient information
 - N2 taxon does not meet the criteria: insufficient information
 - N3 taxon does not meet the criteria: no information