

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

Significant trade in Appendix-II species

IMPLEMENTATION OF RESOLUTION CONF. 8.9

1. This document has been prepared by the Secretariat and is submitted for information.

Background

2. Since species should normally be included in Appendix II before they are included in Appendix I, the successful implementation of the provisions relating to Appendix II should be considered as critical to the success of the Convention. It is these provisions, in particular Article IV, paragraphs 2 (a) and 3, that embody the principle of sustainability. Trade in Appendix-II species must be limited to ensure that the survival of the species is not detrimentally affected and that the population is maintained at a level consistent with the role of the species in its ecosystem.
3. It was in recognition of the problems in implementing these provisions that the Conference of the Parties established a procedure for identifying species in Appendix II that might be subject to significant levels of trade and for formulating and implementing appropriate remedial measures. The procedure was initiated with the adoption of Resolution Conf. 4.8 at the fourth meeting of the Conference of the Parties (Gaborone, 1983). When the Animals Committee was established [in Resolution Conf. 6.1, adopted at the sixth meeting of the Conference of the Parties (Ottawa, 1987)], it was given responsibility for the procedure.
4. The procedure was revised at the eighth meeting of the Conference of the Parties (Kyoto, 1992), with the adoption of Resolution Conf. 8.9, on trade in wild-caught animal specimens, which now provides the basis for the continuing review of significant trade in Appendix-II species of animals. It requires the Secretariat to monitor the implementation of the Resolution and to report to each meeting of the Conference of the Parties. The present document is submitted in fulfilment of this requirement.

The procedure

5. In the course of its continuing work, the Animals Committee identifies Appendix-II species that might be subject to significant levels of trade. Information about these is compiled and the range States are consulted. If the Animals Committee is concerned that the provisions of Article IV are not being implemented, in accordance with Resolution Conf. 8.9 it may formulate recommendations of two types to the States concerned: primary recommendations, which should be implemented within 90 days of receipt; and secondary recommendations, which should be implemented within 12 months of receipt.
6. The Secretariat conveys the recommendations to the States concerned and is responsible for deciding whether the recommendations have been implemented. A great deal of correspondence is sometimes required to ensure that what is required is clear and to advise the State concerned about the appropriate action.
7. If a recommendation of the Animals Committee has not been implemented when the deadline has passed, the Secretariat should make a recommendation to the Standing Committee about strict

measures to be taken by all Parties. The Secretariat has proposed measures to the Committee only in cases where it considers this appropriate after discussions with the States concerned.

8. The Secretariat's proposals have resulted in recommendations being made by the Standing Committee to a number of States to establish cautious export quotas and, where this was not done, the Standing Committee has recommended to the Parties to suspend trade in specimens of the species of concern from the relevant State, pending the taking of appropriate measures. The cases where the recommendations of the Standing Committee remain in effect at the time of writing (November 1999) are indicated in Annex 2.
9. The Secretariat has reported regularly to the Standing Committee and to the Animals Committee on the implementation of Resolution Conf. 8.9. Whenever the Standing Committee has made recommendations in this context, or these have been withdrawn, the Parties have been informed. (See Notifications to the Parties Nos. 737, 761, 775, 800, 818, 833, 873, 887 898, 1998/25, 1999/06 and 1999/20.) As the Parties have been kept informed in this way, the present report merely summarizes the action taken and the present situation.

Implementation of Resolution Conf. 8.9

10. There have been four phases in the implementation of Resolution Conf. 8.9, each beginning with the selection of a number of species by the Animals Committee and with desk studies of these being carried out by the World Conservation Monitoring Centre (WCMC), IUCN and TRAFFIC. Drafts of the reports on each species were sent to the range States for comment. The final reports of the first three phases were sent to all Parties for information (with Notifications to the Parties Nos. 702, 785 and 917).
11. In the first phase, the recommendations of the Animals Committee were sent to the States concerned in June 1992. The recommendations made in the second phase were sent in January 1994. Those made in the third phase were sent to the Parties concerned in March 1996.
12. The table in Annex 2 lists the species and genera with respect to which primary and secondary recommendations have been made, indicating the phase in which the recommendations were made, the States concerned and the present stage of implementation. Because the information in Annex 2 is presented in tabular form, it is necessarily abbreviated. However, the Secretariat can provide any additional information that is required by any Party.
13. A number of recommendations arising from the review of significant trade have been made by the Animals Committee that could not strictly be considered as recommendations made in accordance with Resolution Conf. 8.9. These were conveyed by the Secretariat to the States concerned but have not been included in the table.
14. In the third phase, in accordance with Decision of the Conference of the Parties No. 1 directed to the Animals Committee (now Decision 10.79), the Committee took an approach different from that taken previously, by undertaking additional consultations with the range States of a number of species to enable a better determination of whether it was appropriate to make recommendations. The consultations were in most cases carried out by the members of the Animals Committee. In a number of cases, no response or no satisfactory response was received. In these cases, in accordance with the agreed procedure, the Committee is to formulate recommendations to the States concerned.
15. It should be noted that, in 1996, the IUCN Species Survival Commission, in collaboration with TRAFFIC, produced a report, at the request of the Animals Committee, to indicate which species should be considered for detailed review in the context of Resolution Conf. 8.9. This involved examination of a large volume of trade data and review by experts on a number of species. The Secretariat is very grateful to IUCN and TRAFFIC for this work. The report was used in 1997 for the selection of species for the fourth phase of the review.
16. The list of species selected for this fourth phase is included in Annex 1 to this document.

17. This approach as outlined in paragraph 14 above has also been followed for the fourth phase. The consultations with range States were under way at the time of writing of this report.

Implementation problems

18. In its report to the 10th meeting of the Conference of the Parties (document Doc. 10.55), the Secretariat drew attention to three concerns that have arisen during the implementation of Resolution Conf. 8.9.

19. Firstly, it was evident that the procedure for the review of significant trade in Appendix-II species of animals (i.e. for implementation of Resolution Conf. 8.9) was not well understood. The Animals Committee agreed that there was a need for a document containing a simple explanation and requested the Secretariat to produce this. This document was prepared for consideration at the 15th meeting of the Animals Committee and is distributed to this meeting of the Conference of the Parties as a separate information document (Inf. 11.2).

20. Secondly, it was extremely important that the Animals Committee, when formulating its recommendations, takes care to specify its intentions precisely and not leave the country concerned and the Secretariat to try to interpret what the Committee wanted. It is clear that there have sometimes been differing expectations of the action to be taken. Decision 10.80 was adopted as a result.

21. Thirdly, experience had shown that the Animals Committee needed to deal with a particular kind of case that has arisen. This was where the Animals Committee had made a recommendation that was not implemented, the Secretariat had referred it to the Standing Committee and, after some discussion, the State concerned had agreed to set an export quota considered as cautious by the Secretariat. The Secretariat considered that these cases needed to be reviewed again by the Animals Committee in due course. In this context, it should be noted that the Conference had already agreed that species that have been subject to primary recommendations will normally be subject to further review after two consecutive periods between meetings of the Conference of the Parties. Several taxa from the first two phases of the review have now been incorporated in phase 4, as indicated in Annex 2. In addition, the draft resolution to amend the current Resolution Conf. 8.9 (see document Doc. 11.41.2) contains other mechanisms to ensure that species can be put back into the review process.

Species included in Phase 4 of the review of significant trade

Mammals

Galagoides demidoff
Hippopotamus amphibius
Manis crassicaudata
Manis gigantea
Manis javanica
Manis pentadactyla
Manis temminckii
Manis tetradactyla
Manis tricuspis
Moschus spp.
Pecari tajacu
Saiga tatarica
Tayassu pecari
Vicuna vicuna

Birds

Agapornis canus
Cacatua ducorpsii
Poicephalus robustus
Poicephalus rueppellii
Tauraco hartlaubi
Tauraco persa

Reptiles

Bradypodion fischeri
Calabria reinhardtii
Chamaeleo jacksonii
Chamaeleo quadricornis
Cordylus tropidosternum
Corucia zebrata
Geochelone pardalis
Naja spp.
Uromastyx aegyptia

Amphibians

Dendrobates auratus
Dendrobates histrionicus
Dendrobates pumilio
Dendrobates tinctorius
Epipedobates tricolor
Hoplobatrachus tigerinus
Mantella aurantiaca

Invertebrates

Ornithoptera chimaera
Ornithoptera goliath
Ornithoptera rothschildi
Pandinus imperator

Implementation of recommendations of the Animals Committee
made in accordance with Resolution Conf. 8.9

Species	Phase	Range States subject to recommendations of the Animals Committee	Status of implementation of recommendations (and relevant remarks)
MAMMALIA			
<i>Tarsius syrichta</i>	(1)	Philippines	Implemented.
<i>Cercopithecus petaurista</i>	(3)	Ghana	Implemented.
<i>Chlorocebus aethiops</i>	(3)	Ethiopia	Implemented, but in 1999 Ethiopia intended to reopen trade.
<i>Macaca nemestrina</i>	(2)	Indonesia	Export of wild-caught specimens prohibited.
<i>Macaca fascicularis</i>	(2)	Indonesia, Philippines	Export of wild-caught specimens prohibited.
<i>Trachypithecus francoisi</i>	(2)	China	Implemented.
<i>Manis pentadactyla</i>	(1) (4)	China, Malaysia, Singapore, Republic of Korea.	Implemented.
<i>Manis crassicaudata</i>	(1)	Ibidem	Ibidem.
<i>Manis javanica</i>	(1) (4)	Ibidem	Ibidem.
<i>Monodon monoceros</i>	(3)	Canada, Denmark (Greenland)	Primary recommendations implemented. Information on implementation of secondary recommendations under review at time of writing.
<i>Dusicyon spp.</i>	(2)	Argentina	Implemented.
<i>Ailurus fulgens</i>	(2)	China	Species transferred to Appendix I.
<i>Lynx lynx</i>	(1)	Armenia, Azerbaijan, Belarus, China, Estonia, Georgia, Kazakstan, Kyrgyzstan, Latvia, Lithuania, Republic of Moldova, Russian Federation, Tajikistan, Turkmenistan, Ukraine, Uzbekistan	Implemented except in Azerbaijan, Lithuania, Republic of Moldova, Ukraine; Standing Committee recommends that imports from these States be suspended.
<i>Prionailurus bengalensis</i>	(1)	China	Implemented.
<i>Tayassu tajacu</i>	(2)	Bolivia, Peru	Bolivia: a field survey is planned and funds are sought. Peru: a field survey is completed.
<i>Tayassu pecari</i>	(2)	Ibidem	Ibidem.

Species	Phase	Range States subject to recommendations of the Animals Committee	Status of implementation of recommendations (and relevant remarks)
<i>Lama guanicoe</i>	(1)	Argentina, Chile	Standing Committee recommends suspension of imports from Argentina (except of specimens from registered stock; marked and registered products obtained from shearing under management programme; non-commercial export of wool for testing, max. 500 kg annually).
<i>Moschus</i> spp.	(2) (4)	China, Russian Federation	Implemented.
AVES			
<i>Phoenicopterus chilensis</i>	(2)	Argentina	Exports suspended.
<i>Agapornis canus</i>	(1)	Madagascar	Action taken to implement recommendation. Annual quota of 3,500 since 1994.
<i>Agapornis fischeri</i>	(1)	United Republic of Tanzania	Standing Committee recommends suspension of imports from United Republic of Tanzania.
<i>Agapornis lilianae</i>	(2)	Mozambique, Zambia	Mozambique: export of ranched specimens only allowed; Annual quota of 100 since 1997. Zambia: implemented.
<i>Alisterus amboinensis</i>	(2)	Indonesia	Action taken to implement recommendation. Annual quota of 250 since 1998, reduced to 190 in 1998.
<i>Amazona aestiva</i>	(1)	Argentina	Implemented.
<i>Amazona auropalliata</i>	(2)	Nicaragua	Field survey completed. Quota of 800 ranched specimens for 1998 and 1999.
<i>Amazona oratrix</i>	(1)	(all Parties)	Parties were informed.
<i>Amazona viridigenalis</i>	(1)	(all Parties)	Parties were informed.
<i>Aprosmictus erythropterus</i>	(2)	Indonesia	Export suspended.
<i>Aprosmictus jonquillaceus</i>	(2)	Indonesia	Export suspended.
<i>Ara ararauna</i>	(2)	Suriname	Action taken to implement recommendation. Since 1995 annual quota of 650.
<i>Ara chloropterus</i>	(2)	Suriname	Action taken to implement recommendation. Since 1995 annual quota of 250.
<i>Aratinga acuticaudata</i>	(2)	Argentina	Implemented.
<i>Aratinga erythrogenys</i>	(1)	Peru	Standing Committee recommends suspension of imports from Peru. Survey concluded; recommendation not to export.
<i>Brotogeris pyrrhopterus</i>	(1)	Peru	Implemented.

Species	Phase	Range States subject to recommendations of the Animals Committee	Status of implementation of recommendations (and relevant remarks)
<i>Brotogeris versicolurus</i>	(2)	Peru	Export suspended.
<i>Cacatua alba</i>	(1)	Indonesia	Implemented. Survey completed in 1992. Annual quota 1997 (720), 1998 (760), 1999 (not provided).
<i>Cacatua galerita</i>	(2)	Indonesia	Export suspended.
<i>Cacatua goffini</i>	(1)	Indonesia	Species transferred to Appendix I.
<i>Cacatua haematuropygia</i>	(1)	Philippines	Species transferred to Appendix I.
<i>Cacatua sanguinea</i>	(2)	Indonesia	Export suspended.
<i>Cacatua sulphurea</i>	(1)	Indonesia	Standing Committee recommends suspension of imports from Indonesia.
<i>Chalcopsitta atra</i>	(2)	Indonesia	Export suspended.
<i>Charmosyna josefinae</i>	(2)	Indonesia	Export suspended.
<i>Coracopsis vasa</i>	(2)	Madagascar	Standing Committee recommends suspension of imports from Madagascar.
<i>Cyanoliseus patagonus</i>	(2)	Argentina	Implemented.
<i>Eos bornea</i>	(2)	Indonesia	Action taken to implement recommendation. Quota 1997 2,250; reduced to 250 in 1999 (E.b. rothschildii only).
<i>Eos cyanogenia</i>	(2)	Indonesia	Export suspended.
<i>Eos reticulata</i>	(1)	Indonesia	Implemented.
<i>Eos squamata</i>	(2)	Indonesia	Implemented.
<i>Loriculus flosculus</i>	(2)	Indonesia	Export suspended.
<i>Loriculus galgulus</i>	(2)	Malaysia	Export quota set following a recommendation of the Standing Committee. Reduced from 4,300 in 1995 to 2,000 in 1998 and 1999.
<i>Loriculus philippensis</i>	(2)	Philippines	Export of wild-caught birds prohibited.
<i>Lorius garrulus</i>	(2)	Indonesia	Export suspended.
<i>Nandayus nenday</i>	(2)	Argentina	Implemented.
<i>Pionus maximiliani</i>	(2)	Argentina	Implemented.
<i>Pionus senilis</i>	(2)	Nicaragua	Action taken to implement recommendation. Annual quota since 1995: 500 ranched specimens
<i>Poicephalus cryptoxanthus</i>	(2)	Mozambique, United Republic of Tanzania	Mozambique: export of ranched specimens only allowed; Annual quota of 200 ranched specimens since 1997. United Republic of Tanzania: suspension of imports recommended by Standing Committee.

Species	Phase	Range States subject to recommendations of the Animals Committee	Status of implementation of recommendations (and relevant remarks)
<i>Poicephalus gulielmi</i>	(3)	Côte d'Ivoire	Information on scientific basis for exports not yet received.
<i>Poicephalus meyeri</i>	(2)	Mozambique, United Republic of Tanzania	Mozambique: export of ranched specimens only allowed; further information sought. Annual quota of 100 ranched specimens since 1997. United Republic of Tanzania: suspension of imports recommended by Standing Committee, but export of 250 captive stock permitted in 1998.
<i>Poicephalus rufiventris</i>	(2)	United Republic of Tanzania	Standing Committee recommends suspension of imports from United Republic of Tanzania, but export of 40 captive stock permitted in 1998.
<i>Poicephalus senegalus</i>	(2)	Senegal	Export quota set following recommendation of Standing Committee.
<i>Psittacula alexandri</i>	(3)	Myanmar, Vietnam	Secretariat waiting for response.
<i>Psittacula finschii</i>	(3)	Myanmar	Secretariat waiting for response.
<i>Psittacula longicauda</i>	(2)	Malaysia	Export quota set following recommendation of Standing Committee.
<i>Psittacula roseata</i>	(2)	Viet Nam	Export quota set following a recommendation of the Standing Committee.
<i>Psittaculirostris desmarestii</i>	(2)	Indonesia	Export suspended.
<i>Psittaculirostris salvadorii</i>	(2)	Indonesia	Export suspended.
<i>Psittacus erithacus</i>	(1)	Cameroon, Ghana, Guinea, Liberia, Togo	Implemented or action taken to implement recommendation. Cameroon largely exceeded the export quota for 1996, Standing Committee recommended suspension of imports in 1997, revoked in 1998, but no exports permitted from Liberia until 1998, annual quota for 1999: 1,000.
<i>Psitteuteles iris</i>	(2)	Indonesia	Export suspended.
<i>Psittinus cyanurus</i>	(2)	Malaysia	Export quota set following recommendation of Standing Committee. Quota 1995: 2,300, reduced to 1,000 in 1999.
<i>Tanygnathus heterurus</i> (= <i>T. sumatranus</i>)	(2)	Indonesia	No export permitted.
<i>Tanygnathus megalorynchos</i>	(2)	Indonesia	Export suspended.

Species	Phase	Range States subject to recommendations of the Animals Committee	Status of implementation of recommendations (and relevant remarks)
<i>Tauraco fischeri</i>	(2)	United Republic of Tanzania	Standing Committee recommends suspension of imports from United Republic of Tanzania.
REPTILIA			
<i>Geochelone pardalis</i>	(2) (4)	United Republic of Tanzania	Standing Committee recommends suspension of imports from United Republic of Tanzania. Since March 1999 not applicable to ranched/captive bred specimens; 1999 quota: 1,707.
<i>Geochelone sulcata</i>	(3)	Mali	No response received.
<i>Indotestudo elongata</i>	(2)	Malaysia	Export quota set following recommendation of Standing Committee.
<i>Kinixys belliana</i>	(2)	Ghana, Togo	Implemented.
<i>Kinixys erosa</i>	(2)	Ghana, Togo	Implemented.
<i>Kinixys homeana</i>	(2)	Ghana, Togo	Implemented.
<i>Malacochersus tornieri</i>	(1)	United Republic of Tanzania	Standing Committee recommends suspension of imports from United Republic of Tanzania. Since March 1999 not applicable to ranched/captive bred specimens; 1999 quota: 1,190.
<i>Manouria emys</i>	(2)	Malaysia	Export quota set following recommendation of Standing Committee. Quota reduced from 300 in 1995 to 50 in 1999.
<i>Testudo graeca</i>	(2)	Turkey	No export authorized.
<i>Testudo horsfieldii</i>	(1)	Kazakhstan, Russian Federation, Turkmenistan, Uzbekistan	Implemented.
<i>Testudo kleinmanni</i>	(2)	Egypt	Species transferred to Appendix I.
<i>Crocodylus niloticus</i>	(2)	Madagascar	Implemented.
<i>Crocodylus novaeguineae</i>	(2)	Indonesia	Implemented.
<i>Crocodylus porosus</i>	(2)	Indonesia	Implemented.
<i>Phelsuma</i> spp.	(2)	Madagascar	Standing Committee recommends suspension of imports from Madagascar (except <i>P. laticauda</i> , <i>P. lineata</i> , <i>P. madagascariensis</i> , <i>P. quadriocellata</i>), Project approved and funds sought. Madagascar has established an export quota of 2,000 in 1999, as part of an experimental management programme.

Species	Phase	Range States subject to recommendations of the Animals Committee	Status of implementation of recommendations (and relevant remarks)
<i>Chamaeleo</i> spp.	(2)	Madagascar	Standing Committee recommends suspension of imports from Madagascar (except <i>C. lateralis</i> , <i>C. oustaleti</i> , <i>C. pardalis</i> , <i>C. verrucosus</i>); field project carried out in 1999, final report not available at time of writing. For the four species mentioned above, Madagascar has established an export quota of 2,000 in 1999, as part of an experimental management programme.
<i>Chamaeleo gracilis</i>	(3)	Benin	Most specimens exported from Benin are ranched or produced in captivity; the Secretariat has not proposed action by the Standing Committee.
<i>Chamaeleo senegalensis</i>	(2)	Togo	Action taken to implement recommendations. Annual quota of 5,000 (wild specimens) since 1997.
<i>Iguana iguana</i>	(2)	Colombia, El Salvador, Honduras	Colombia: implemented. El Salvador: implemented.
<i>Tupinambis</i> spp.	(2)	Colombia	Implemented.
<i>Varanus niloticus</i>	(2)	Benin, Cameroon, Chad, Mali, Sudan	Benin: implemented. Cameroon: implemented. Chad: primary recommendation implemented; implementation of secondary recommendation would require taking of stricter domestic measures so Secretariat has not proposed action by Standing Committee. Mali: implemented. Sudan: implemented.
<i>Varanus salvator</i>	(2)	Indonesia	Action taken to implement recommendation.
<i>Boa constrictor</i>	(2)	Colombia, El Salvador, Guatemala	Colombia: implemented. El Salvador and Guatemala: low level of exports.
<i>Eryx colubrinus</i>	(2)	United Republic of Tanzania	Standing Committee recommends suspension of imports from United Republic of Tanzania. Since March 1999 not applicable to ranched/captive bred specimens; 1999 quota: 50.
<i>Eunectes notaeus</i>	(1)	Argentina	Implemented.
<i>Python curtus</i>	(2)	Indonesia	Action taken to implement recommendations.
<i>Python molurus bivittatus</i>	(2)	Malaysia, Thailand	Implemented.
<i>Python regius</i>	(1)	Ghana, Togo	Implemented: most trade is in ranched specimens.
<i>Python reticulatus</i>	(2)	Indonesia	Action taken to implement recommendations.

Species	Phase	Range States subject to recommendations of the Animals Committee	Status of implementation of recommendations (and relevant remarks)
<i>Python sebae</i>	(2)	Ghana, Guinea, Mali, Togo	In Ghana: partially implemented; most trade is in ranched specimens; export quota set. In Guinea: export quota set following recommendation of Standing Committee. In Mali: export quota set following recommendation of Standing Committee. In Togo: most trade in ranched specimens; export quota set.
<i>Ptyas mucosus</i>	(1)	Bangladesh, China, Indonesia, Thailand	Bangladesh does not permit trade. Implemented by Thailand. Standing Committee recommends suspension of imports from China and Indonesia. Export of 102,285 marked and registered skins, acquired before the suspension, was permitted in 1999 from Indonesia.
AMPHIBIA			
<i>Rana (Euphlyctis) hexadactyla</i>	(1)	Bangladesh, India	Bangladesh and India prohibit the export.
<i>Rana (Hoplobatrachus) tigerina</i>	(1)	Ibidem	Ibidem.
INSECTA			
<i>Trogonoptera brookiana</i>	(2)	Malaysia	Implemented.
<i>Ornithoptera urvillianus</i>	(2)	Papua New Guinea, Solomon Islands	Papua New Guinea: implemented. Solomon Islands: Standing Committee recommends suspension of imports from Solomon Islands.
<i>Ornithoptera victoriae</i>	(2)	Ibidem	Ibidem.
MOLLUSCA			
Tridacnidae spp.	(3)	Philippines, Solomon Islands	Philippines: export prohibited. Solomon Islands: export of cultured clams only allowed.
<i>Strombus gigas</i>	(3)	All range States	Standing Committee recommends suspension of imports from Antigua and Barbuda, Barbados, Dominica, Trinidad and Tobago.