

# Resolutions of the Conference of the Parties

## NOTE FROM THE SECRETARIAT

The Resolutions of the 11th meeting of the Conference of the Parties were prepared after the meeting on the basis of the following documents:

Resolutions	Sources
Conf. 11.1	Com. 11.1 Annex 1
Conf. 11.2	Com. 11.21
Conf. 11.3	Doc. 11.17 Annex 2B
Conf. 11.4	Doc. 11.17 Annex 1B
Conf. 11.5	Conf. 9.13 (Rev.) as amended by Com. 11.32, decision on p. 2
Conf. 11.6	Conf. 8.11 (Rev.) with amendments from Doc. 11.33 Annex 2
Conf. 11.7	Com. 11.13
Conf. 11.8	Com. 11.5 (Rev.)
Conf. 11.9	Com. 11.7 with amendments (see Com.I 1.14, item 35)
Conf. 11.10	Com. 11.9 with amendments (see Com.I 11.14, item 37)
Conf. 11.11	Conf. 9.18 (Rev.) as amended by Com. 11.15, second option
Conf. 11.12	Doc. 11.51 Annex with amendments (see Com.II 11.10, item 51)
Conf. 11.13	Com. 11.29 with amendments indicated in Com.II 11.12, item 53
Conf. 11.14	Com. 11.27 with amendments recorded in Com.II 11.12, item 48
Conf. 11.15	Doc. 11.17 Annex 3B without amendments
Conf. 11.16	Doc. 11.47 (Rev. 1) Annex 2 as amended (see Com.II 11.7, item 47)
Conf. 11.17	Conf. 9.4 (Rev.) as amended by Com. 11.9, para c) under RESOLVES
Conf. 11.18	Conf. 2.16 (Rev.) [paragraph b) repealed by Conf. 11.3]
Conf. 11.19	Com. 11.1 Annex 3
Conf. 11.20	Com. 11.35
Conf. 11.21	Doc. 11.24 Annex with amendments (see Com.II 11.4, item 24)
Conf. 11.22	Doc. 11.39 Annex as amended by Com. 11.30 paragraph 2 (NB Inf. 11.6 and Inf. 11.9)

RECALLING Resolution Conf. 9.1 (Rev.), adopted by the Conference of the Parties at its ninth meeting (Fort Lauderdale, 1994) and amended at its 10th meeting (Harare, 1997), relating to the establishment of committees;

RECOGNIZING that Rules of Procedure common to all committees are an essential requirement for formal meetings;

## THE CONFERENCE OF THE PARTIES TO THE CONVENTION

AGREES to formalize a system for the appointment of committees of the Conference of the Parties and to establish procedures to be followed when committees are created;

RESOLVES that:

- a) there shall be a permanent Standing Committee of the Conference of the Parties, which shall be the senior Committee, and shall report to the Conference of the Parties;
- b) there shall be an Animals Committee, a Plants Committee and a Nomenclature Committee, which shall report to the Conference of the Parties at its meetings and, if so requested, to the Standing Committee between meetings of the Conference of the Parties;
- c) the Conference of the Parties may appoint additional committees as the need arises;
- d) the Conference of the Parties or the Standing Committee may appoint working groups with specific terms of reference as required to address specific problems. These working groups shall have a defined life span which shall not exceed the period until the next meeting of the Conference of the Parties, at which time it may be renewed if necessary. They shall report to the Conference of the Parties and, if so requested, to the Standing Committee;
- e) the Rules of Procedure to be adopted by the Standing Committee shall apply to other Committees as far as is practicable;
- f) regional representatives shall be elected by the Conference of the Parties as members of the Standing Committee;
- g) to the extent possible, the Secretariat shall make provision for the payment, if requested, of reasonable and justifiable travel expenses of members of the Standing Committee, the Animals Committee and the Plants Committee;
- h) all committees established by the Conference of the Parties shall be listed in annexes to this Resolution; and
- i) the Secretariat shall, upon request by a committee chairman, provide secretarial services when such services can be met within the approved budget of the Secretariat; and

REPEALS Resolution Conf. 9.1. (Rev.) (Fort Lauderdale, 1994, as amended at Harare, 1997) – Establishment of Committees.

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## Annex 1

## Establishment of the Standing Committee of the Conference of the Parties

CONSIDERING the important role that the Standing Committee plays in steering the work and performance of the Convention in the periods between the meetings of the Conference of the Parties;

CONSIDERING the number of wildlife trade problems that occur between the South and the North, and the significant influence of the Standing Committee in deciding the status of the affected species listed in the Appendices;

CONSIDERING that skewed representation on the Standing Committee could cause unfair assessment in deciding issues of great concern to producer States;

CONSIDERING the importance of ensuring that representation of regions in the Convention clearly reflects the participation of the Parties covered by each region;

#### **THE CONFERENCE OF THE PARTIES TO THE CONVENTION**

RESOLVES to re-establish the Standing Committee of the Conference of the Parties, with the following terms of reference:

within the policy agreed to by the Conference of the Parties, the Standing Committee shall:

- a) provide general policy and general operational direction to the Secretariat concerning the implementation of the Convention;
- b) provide guidance and advice to the Secretariat on the preparation of agendas and other requirements of meetings, and on any other matters brought to it by the Secretariat in the exercise of its function;
- c) oversee, on behalf of the Parties, the development and execution of the Secretariat's budget as derived from the Trust Fund and other sources, and also all aspects of fund raising undertaken by the Secretariat in order to carry out specific functions authorized by the Conference of the Parties, and to oversee expenditures of such fund-raising activities;
- d) provide coordination and advice as required to other Committees and provide direction and coordination of working groups established by either itself or the Conference of the Parties;
- e) carry out, between one meeting of the Conference of the Parties and the next, such interim activities on behalf of the Conference as may be necessary;
- f) draft resolutions for consideration by the Conference of the Parties;
- g) report to the Conference of the Parties on the activities it has carried out between meetings of the Conference;
- h) act as the Bureau at meetings of the Conference of the Parties, until such time as the Rules of Procedure are adopted; and
- i) perform any other functions as may be entrusted to it by the Conference of the Parties;

DETERMINES:

- a) the following principles for the composition of the Standing Committee:
  - i) the membership of the Standing Committee shall consist of:
    - A. a Party or Parties elected from each of the six major geographic regions consisting of Africa, Asia, Europe, North America, Central and South America and the Caribbean, and Oceania, according to the following criteria:
      1. one representative for regions with up to 15 Parties;
      2. two representatives for regions with 16 to 30 Parties;
      3. three representatives for regions with 31 to 45 Parties; or
      4. four representatives for regions with more than 45 Parties;
    - B. the Depositary Government; and
    - C. the previous host Party and the next host Party;
  - ii) each Party elected as an alternate member for a member described in paragraph A, to be represented at meetings as a regional member only in the absence of a representative of the member for which it is the alternate; and
  - iii) the membership of the Committee shall be reviewed at every regular meeting of the Conference of the Parties. The terms of office of the regional members shall commence at the close of the regular meeting at which they are elected and shall expire at the close of the second regular meeting thereafter;
- b) that the Standing Committee shall adhere to the following procedures:

- i) all Committee members may participate in Committee business but only the regional members or alternate regional members shall have the right to vote except in the case of a tie vote, when the Depositary Government shall have the right to vote to break the tie;
  - ii) the Chairman, Vice-Chairman and any other necessary executive officers shall be elected by and from the regional members;
  - iii) if an extraordinary meeting of the Conference of the Parties is held between two regular meetings, the host Party of that meeting shall participate in the work of the Committee on matters related to the organization of the meeting;
  - iv) Parties not members of the Committee shall be entitled to be represented at meetings of the Committee by an observer who shall have the right to participate but not to vote;
  - v) the Chairman may invite any person or a representative of any other country or organization to participate in meetings of the Committee as an observer without the right to vote; and
  - vi) the Secretariat shall inform all Parties of the time and venue of Standing Committee meetings; and
- c) the following principles for the payment of travel expenses to members of the Standing Committee:
- i) the Secretariat shall make provisions in its budget for the payment, if requested, of reasonable and justifiable travel expenses of one person representing each regional member, to attend one Standing Committee meeting per calendar year;
  - ii) members should make every effort to pay their own travel expenses;
  - iii) the Chairman of the Standing Committee may be refunded for all reasonable and justifiable travel expenses for travel undertaken on behalf of the Conference of the Parties, the Standing Committee, or the Secretariat; and
  - iv) travel arrangements for sponsored regional members will be made by the Secretariat in accordance with the Rules and Regulations of the United Nations and, where applicable, claims for refunds must be supported by receipts, and be submitted to the Secretariat within 30 days from the completion of the travel.

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## Annex 2

## Establishment of the Animals and Plants Committees of the Conference of the Parties

REALIZING the many problems faced by the Conference of the Parties and individual Parties concerning the lack of biological data and expert knowledge of animal and plant trade and management;

RECOGNIZING that an effective method of evaluating whether a species is appropriately listed in the CITES Appendices requires a periodic review of its biological and trade status;

RECOGNIZING the need to identify those Appendix-II species that are subject to levels of significant international trade and for which scientific information on the capacity of the species to withstand such levels of trade is insufficient to satisfy the requirements of Article IV, paragraph 3, of the Convention;

RECOGNIZING that the bulk of the world's biodiversity occurs in Africa, South and Central America and Asia, and also that the majority of animal and plant species listed in the Appendices of the Convention are from these regions;

AWARE that there are only three Parties in the North American region, but more than 40 in Africa, more than 25 in South and Central America and the Caribbean, and more than 20 in Asia, which, in addition, stretches from Israel in the west to Japan in the east;

### THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RESOLVES to re-establish the Animals and Plants Committees of the Conference of the Parties, with the following terms of reference:

within the policy agreed to by the Conference of the Parties, the Animals and Plants Committees shall:

- a) provide advice and guidance to the Conference of the Parties, the other committees, working groups and the Secretariat, on all matters relevant to international trade in animal and plant species included in the Appendices, which may include proposals to amend the Appendices;
- b) assist the Nomenclature Committee in the development and maintenance of a standardized list of species names;
- c) assist the Secretariat with the implementation of the Resolution on the Identification Manual and Decisions related to it and, upon request of the Secretariat, review proposals to amend the Appendices with regard to possible identification problems;
- d) cooperate with the Secretariat on the implementation of its programme of work to assist Scientific Authorities;
- e) develop regional directories that list the botanists and zoologists in each region who are experts in CITES-listed species;
- f) establish a list of those taxa included in Appendix II that are considered as being significantly affected by trade, and review and assess all available biological and trade information including comments by the range States on these taxa to:
  - i) exclude all species for which there is adequate information to conclude that trade is not having a significant detrimental effect on their populations;
  - ii) formulate recommendations for remedial measures for those species for which trade is believed to be having a detrimental effect; and
  - iii) establish priorities for projects to collect information for those species for which there is insufficient information available on which to base a judgement as to whether the level of trade is detrimental;
- g) assess information on those species for which there is evidence of a change in the volume of trade or for which specific information is available to indicate the necessity for review;
- h) undertake a periodic review of animal or plant species included in the CITES Appendices by:
  - i) establishing a schedule for reviewing the biological and trade status of these species;
  - ii) identifying problems or potential problems concerning the biological status of species being traded;
  - iii) consulting the Parties on the need to review specific species, working directly with the range States in the selection process, and seeking their assistance in such reviews; and
  - iv) preparing and submitting amendment proposals resulting from the review, through the Depositary Government, for consideration at meetings of the Conference of the Parties;
- i) make available advice on management techniques and procedures for range States requesting such assistance;
- j) draft resolutions on matters related to animals or plants, for consideration by the Conference of the Parties;
- k) perform any other functions that may be entrusted to them by the Conference of the Parties or the Standing Committee; and
- l) report to the Conference of the Parties and, if so requested, to the Standing Committee, on the activities they have carried out or supervised between meetings of the Conference;

RESOLVES further that the Animals Committee shall also deal with issues related to the transport of live animals;

DETERMINES that:

- a) the membership of the Animals and Plants Committees shall consist of:
  - i) a person chosen by each of the major geographic regions consisting of North America and Oceania; and
  - ii) two persons chosen by each of the major geographic regions consisting of Africa, Asia, Europe and South and Central America and the Caribbean;

- b) each person chosen as an alternate member for a member described in paragraph a) i) or ii), shall be represented at meetings as a regional member only in the absence of the member for whom he/she is the alternate;
- c) the membership of the Committee shall be reviewed at every regular meeting of the Conference of the Parties. The terms of office of the regional members shall commence at the close of the regular meeting at which they are elected and shall expire at the close of the second regular meeting thereafter;
- d) any Party shall be entitled to be represented at meetings of the Committee as an observer;
- e) a Chairman and a Vice-Chairman shall be elected by the Committee; and
- f) the Chairman may invite any person or representative of any other country or organization to participate in meetings of the Committee as an observer;

DETERMINES further the following principles for the payment of travel expenses to regional members of the Plants or Animals Committee:

- a) the Secretariat shall make provisions in its budget for the payment, if requested, of reasonable and justifiable travel expenses of regional members, to attend one Committee meeting per calendar year;
- b) members should make every effort to pay their own travel expenses; and
- c) travel arrangements for sponsored regional members will be made by the Secretariat in accordance with the Rules and Regulations of the United Nations and, where applicable, claims for refunds must be supported by receipts, and be submitted to the Secretariat within 30 days from the completion of the travel; and

DIRECTS the Secretariat, to the extent possible, to provide funding from outside sources for the production costs of publications prepared by the Committees.

## Annex 3

## Establishment of the Nomenclature Committee of the Conference of the Parties

RECOGNIZING that biological nomenclature of species may differ from country to country;

NOTING that such biological nomenclature is not static;

RECOGNIZING that the nomenclature used in the Appendices to the Convention will be most useful to the Parties if standardized;

RECALLING that Recommendation Conf. S.S. 1.7, adopted at the special working session of the Conference of the Parties (Geneva, 1977), recognized the need for the standardization of the nomenclature used in the Appendices;

### THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RESOLVES:

- a) to re-establish the Nomenclature Committee of the Conference of the Parties, with the following terms of reference:
  - within the policy agreed to by the Conference of the Parties, the Nomenclature Committee shall:
    - i) cause standardized nomenclatural references for animal and plant taxa, to the level of subspecies or botanical variety and including synonyms, to be prepared, or propose for adoption existing nomenclatural references, as appropriate, for all species listed in the Appendices to the Convention;
    - ii) upon its acceptance of a new or updated reference (or part thereof) for a given taxon, present this to the Conference of the Parties for adoption as the standard reference for that taxon;
    - iii) ensure that the highest priorities in developing the standard reference lists of animal and plant names and synonyms be:

- A. species names of animals and plants listed at the species level in the Appendices;
  - B. generic names of animals and plants listed at the genus or family level in the Appendices;  
and
  - C. family names of animals and plants listed at the family level in the Appendices;
- iv) review the existing Appendices with regard to the correct use of zoological and botanical nomenclature;
  - v) upon request from the Secretariat, review proposals to amend the Appendices to ensure that correct names for the species and other taxa in question are used;
  - vi) ensure that changes in nomenclature recommended by a Party do not alter the scope of protection of the taxon concerned; and
  - vii) make recommendations on nomenclature to the Conference of the Parties, other committees, working groups and the Secretariat;
- b) that the Nomenclature Committee shall comprise two individuals appointed by the Conference of the Parties; one zoologist to address nomenclatural issues for animal taxa and one botanist for plant taxa; and
  - c) that these two scientists shall coordinate and monitor the input needed from specialists in fulfilling the responsibilities assigned by the Parties, inform the Animals and Plants Committees at each meeting about the progress made, and report to each meeting of the Conference of the Parties; and
- DIRECTS the Secretariat, to the extent possible, to provide funding from outside sources to cover the production costs of publications prepared by the Committee.



## Conf. 11.2 Financing and budgeting of the Secretariat and of meetings of the Conference of the Parties

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RECALLING Resolution Conf. 10.1, adopted by the Conference of the Parties at its 10th meeting (Harare, 1997);

HAVING REVIEWED the 1997-1998 actual expenditures submitted by the Secretariat [Doc. 11.10.1 (Rev. 1), Annex 1a and Annex 1b];

HAVING REVIEWED the actual expenditures for 1999 presented by the Secretariat [Doc. 11.10.1 (Rev. 1), Annex 2];

HAVING NOTED the revised estimates of expenditures for 2000 presented by the Secretariat (Doc. 11.10.2);

HAVING REVIEWED the 2001-2002 budget estimates submitted by the Secretariat [Doc. 11.10.3 (Rev. 1), Annex 1a];

HAVING REVIEWED also the 2001-2005 medium-term budget estimates [Doc. 11.10.3 (Rev. 1), Annex 2];

RECOGNIZING that regular funding by UNEP ceased after 1983 and that the funding of the Secretariat and of meetings of the Conference of the Parties is now solely the responsibility of the Parties;

ACKNOWLEDGING that the financial amendment to the Convention, adopted in Bonn in 1979, entered into force on 13 April 1987;

RECOGNIZING the continuing need for administrative and financial arrangements between the Parties and the Executive Director of UNEP;

NOTING the considerable increase in the number of Parties to the Convention, the need for greater assistance to the Parties to achieve more effective implementation, the necessity to implement the various Decisions and Resolutions of the Conference of the Parties and the resulting additional expenditure incurred by the Secretariat;

### **THE CONFERENCE OF THE PARTIES TO THE CONVENTION**

ACCEPTS the expenditures for 1997, 1998 and 1999 and TAKES NOTE of the estimates of expenditure for 2000;

APPROVES the 2001-2002 budget (Annex 2) including five new posts previously approved by the Standing Committee at its 40th and 42nd meetings and AGREES that, during the biennium 2001-2002, funding required for two of these posts will be drawn from the available balance in the CITES Trust Fund, and one of these posts may be funded from the biennium budget from cost savings, if available;

TAKES NOTE of the 2001-2005 medium-term budget estimates (Annex 3), EXPRESSES CONCERN that there may be significant discrepancies between resources available and expenditures after 2002 because of significant expenditures from the CITES Trust Fund balance, and FURTHER NOTES Goal 7 of the Strategic Vision, to improve realistic planning and forecasting for the Convention;

REQUESTS that the Secretariat provide clear indication of the increase in Parties contributions consequent to each proposed budget;

DIRECTS the Secretariat, in association with the Standing Committee, to identify one-off and discrete programmes that conclude before or soon after 2002 with a view to allocating the freed-up resources to future funding;

REQUESTS that the Executive Director of UNEP, with the approval of the Governing Council of UNEP, extend the Trust Fund until 31 December 2005, to provide financial support for the aims of the Convention in accordance with the Terms of Reference for the Administration of the Trust Fund for the Convention on International Trade in Endangered Species of Wild Fauna and Flora, attached to this Resolution;

DECIDES that the average annual budget for the biennium 2001-2002 represents a 26.53% increase vis-a-vis that of the previous triennium 1998-2000. This increase shall be covered by adjusting the contributions by the Parties by 6.1% and by drawing the remaining deficit from the balance of the CITES Trust Fund at the end of each year;

AUTHORIZES the Secretariat, subject to the priorities below, to draw additional funds from the CITES Trust Fund balance at the end of each year, provided that it is not reduced below CHF 1 million at the commencement of any year;

NOTES that Parties, in discussions of priorities for the use of additional funds from the Trust Fund balance and any savings from the approved biennium budget, gave strong support for use of such funds to implement specific activities to assist Parties in implementation, capacity building, enforcement and regional coordination;

DIRECTS the Secretariat, in association with the Standing Committee:

- a) to incorporate such of the above priority tasks into the base operating budget as can effectively be done with the funds available; and
- b) to establish the priorities for funding the un-funded or insufficiently funded budget items, referred to in Annex 4 to this Resolution deriving from Resolutions and Decisions adopted at the 11th meeting of the Conference of the Parties, from any available draw down in the Trust Fund balance, or from savings or adjustments to the items within the base operating budget or from external funding. In establishing priorities, first priority should be given to new activities for the Parties;

APPROVES the Terms of Reference for the Administration of the Trust Fund, attached as Annex 1 to this Resolution, for the financial period beginning on 1 January 2001 and ending on 31 December 2005;

AGREES:

- a) that contributions to the Trust Fund shall be based on the United Nations scale of assessment, as amended from time to time, adjusted to take account of the fact that not all members of the United Nations are Parties to the Convention;
- b) that any other basis of assessment of contributions shall not be used without the consent of all Parties present and voting at a meeting of the Conference of the Parties;
- c) that any change in the basic scale of contributions which would increase the liability of a Party to contribute, or would impose a new such liability, shall not apply to that Party without its consent, and that any proposal to change the basic scale of contributions from that currently in use shall only be considered by the Conference of the Parties if notice of such proposal has been communicated by the Secretariat to all Parties at least 90 days before the meeting; and
- d) that Parties should pay their contributions to the Trust Fund in accordance with the agreed scale as in the Table attached to this Resolution and, whenever possible, should make special contributions to the Trust Fund above their assessed contributions;

REQUESTS all Parties to pay their contributions as far as possible during the year prior to the one to which they relate or, in any case, promptly by the beginning of the calendar year to which the contributions apply;

APPEALS strongly to those Parties which, for legal or other reasons, have so far been unable to contribute to the Trust Fund to do so;

URGES all Parties that have not yet done so to deposit as soon as possible an instrument of acceptance of the amendments to the Convention adopted on 22 June 1979 and 30 April 1983;

INVITES States not Parties to the Convention, other governmental, inter-governmental and non-governmental organizations, and other sources to consider contributing to the Trust Fund;

INVITES all Parties to support, through their representatives in UNEP, UNDP and the World Bank, the requests of the Secretariat for additional funding of CITES projects by the Global Environment Facility;

DIRECTS the Secretariat to continue to implement the Procedures for Approval of Externally Funded Projects before accepting any external funds from non-governmental sources; and further DECIDES that any approved externally funded project that has not received funding after the end of three years will be deleted from the list of approved projects and any conditionally approved externally funded project will be deleted from the list after one year if the conditional issues have not been resolved;

REMINDS the Parties of Resolution Conf. 4.6 (Rev.), which provides "that any draft resolutions or decisions submitted for consideration at a meeting of the Conference of the Parties that have budgetary and workload implications for the Secretariat must contain or be accompanied by a budget for the work involved and an indication of the source of funding";

APPROVES the Secretariat's reports as amended; and

DECIDES that:

- a) in respect of servicing the three working languages of the Convention:
  - i) the Budget Committee at meetings of the Conference of the Parties shall be provided with simultaneous interpretation for all three languages;
  - ii) simultaneous interpretation shall continue to be provided at the meetings of the Plants and Animals Committees;
  - iii) the Secretariat shall carry out a review of its document translation services with a view to the efficient and effective translation in all three languages; and
  - iv) costs associated with these items shall be covered by making adjustment within the base operating budget by a comparable amount;
- b) in respect of the review of activities in any work unit, the Secretariat shall have the authority to make staffing decisions as necessary to implement the priorities of the Parties within the overall budget and in accordance with the UN rules; and
  - c) any work for the Secretariat deriving from a new resolution or decision shall only be undertaken if additional funds are approved or if existing work carried out under the Trust Fund is reprioritized at the time such a resolution or decision is adopted by the Conference of the Parties or as authorized by the Standing Committee relative to Annex 4.

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## Annex 1

### Terms of Reference for the Administration of the Trust Fund for the Convention on International Trade in Endangered Species of Wild Fauna and Flora

1. The Trust Fund for the Convention on International Trade in Endangered Species of Wild Fauna and Flora (hereinafter referred to as the Trust Fund) shall be further continued for a period of five years (1 January 2001–31 December 2005) to provide financial support for the aims of the Convention.
2. Pursuant to the Financial Regulations and Rules of the United Nations, the Executive Director of the United Nations Environment Programme (UNEP), with the approval of the Governing Council of UNEP and the Secretary General of the United Nations, shall continue the Trust Fund for the administration of the Convention.
3. The Trust Fund shall cover two financial periods, the first of two calendar years and the second of three: the first financial period begins on 1 January 2001 and ends on 31 December 2002; the second financial period begins on 1 January 2003 and ends on 31 December 2005.
4. The appropriations of the Trust Fund for the first financial period shall be financed from:

- a) the contributions made by the Parties by reference to the attached Table including contributions from any new Parties that are to be added to the Table;
  - b) contributions from States not Parties to the Convention, other governmental, intergovernmental and non-governmental organizations and other sources; and
  - c) any uncommitted appropriations from any of the financial periods prior to 1 January 2001.
5. The budget estimates covering the income and expenditure for each of the calendar years constituting the financial period to which they relate, prepared in Swiss francs, shall be submitted for approval to the regular meeting of the Conference of the Parties to the Convention. Together with the estimates, prepared in Swiss francs, figures may be provided also in US dollars, for ease of reference and would only be indicative.
  6. The estimates for each of the calendar years covered by a financial period shall be specified according to objects of expenditure and shall be accompanied by such information as may be required by, or on behalf of, the contributors and such further information as the Executive Director of UNEP may deem useful and advisable.
  7. In addition to the budget estimates for the financial period described in the preceding paragraphs, the Secretary General of the Convention, in consultation with the Standing Committee and the Executive Director of UNEP, shall prepare a medium-term plan as envisaged in Chapter III of Legislative and Financial Texts Regarding the United Nations Environment Programme and the Environment Fund. The medium-term plan shall cover the years 2001-2005 inclusive and shall incorporate the budget for the 2001-2002 financial period.
  8. The proposed budget and medium-term plan, including all the necessary information, shall be dispatched by the Secretariat to all Parties at least 90 days before the date fixed for the opening of the regular meeting of the Conference of the Parties.
  9. The budget shall be adopted by a 3/4 majority of the Parties present and voting at the regular meeting.
  10. In the event that the Executive Director of UNEP expects that there might be a shortfall in resources, over the year as a whole, he shall consult with the Secretary General of the Convention, who shall seek the advice of the Standing Committee as to its priorities for expenditure.
  11. Upon the request of the Secretary General of the Convention, after seeking the advice of the Standing Committee, the Executive Director of UNEP should, to the extent consistent with the Financial Regulations and Rules of the United Nations, make transfers from one object of expenditure to another. At the end of any calendar year of a financial period, the Executive Director of UNEP may proceed to transfer any uncommitted balance of appropriations to the following calendar year, provided that the total budget approved by the Parties for that financial period shall not be exceeded unless this is specifically sanctioned in writing by the Standing Committee.
  12. Commitments against the resources of the Trust Fund may be made only if they are covered by the necessary income of the Convention.
  13. All contributions shall be paid in any convertible currency. The amount of any payment, however, shall be at least equal to the amount payable in Swiss francs on the day the contribution is made. Contributions from States that become Parties after the beginning of the financial period should be made on a pro-rata basis for the balance of the financial period.
  14. At the end of each calendar year of a financial period, the Executive Director of UNEP shall submit to the Parties the accounts for the year. He shall also submit, as soon as practicable, the audited accounts for the financial period.
  15. The Secretary General of the Convention shall provide the Standing Committee with an estimate of proposed expenditure over the coming calendar year simultaneously with, or as soon as possible after, distribution of the accounts and reports referred to in the preceding paragraphs.
  16. The general procedures governing the operations of the Fund of UNEP and the Financial Regulations and Rules of the United Nations shall govern the financial operations of the Trust Fund for the Convention.
  17. These Terms of Reference shall be effective for the financial period of 1 January 2001 to 31 December 2005 subject to amendments at the 12th meeting of the Conference of the Parties.

## Table

Trust Fund for the Convention on International Trade in Endangered Species of Wild Fauna and Flora

**SCALE OF CONTRIBUTIONS FOR THE BIENNIUM 2001-2002**  
in Swiss francs (CHF) and in United States dollars (USD)  
(amounts in USD are indicative; the conversion rate used is 1 USD = 1.50 CHF)

Party	UN scale %	Adjusted scale %	Total 2001-2002		Annual contribution	
			CHF	USD	CHF	USD
Afghanistan	0.003	0.00299	400	267	200	133
Algeria	0.086	0.08559	11,454	7,636	5,727	3,818
Antigua and Barbuda	0.002	0.00199	266	177	133	89
Argentina	1.103	1.09770	146,903	97,935	73,451	48,968
Australia	1.483	1.47587	197,513	131,675	98,756	65,838
Austria	0.942	0.93747	125,460	83,640	62,730	41,820
Azerbaijan	0.011	0.01095	1,465	977	733	488
Bahamas	0.015	0.01493	1,998	1,332	999	666
Bangladesh	0.010	0.00995	1,332	888	666	444
Barbados	0.008	0.00796	1,065	710	533	355
Belarus	0.057	0.05673	7,592	5,061	3,796	2,531
Belgium	1.104	1.09869	147,036	98,024	73,518	49,012
Belize	0.001	0.00100	133	89	67	44
Benin	0.002	0.00199	266	177	133	89
Bolivia	0.007	0.00697	932	621	466	311
Botswana	0.010	0.00995	1,332	888	666	444
Brazil	1.471	1.46393	195,915	130,610	97,957	65,305
Brunei Darussalam	0.020	0.01990	2,664	1,776	1,332	888
Bulgaria	0.011	0.01095	1,465	977	733	488
Burkina Faso	0.002	0.00199	266	177	133	89
Burundi	0.001	0.00100	133	89	67	44
Cambodia	0.001	0.00100	133	89	67	44
Cameroon	0.013	0.01294	1,731	1,154	866	577
Canada	2.732	2.71887	363,861	242,574	181,930	121,287
Central African Republic	0.001	0.00100	133	89	67	44
Chad	0.001	0.00100	133	89	67	44
Chile	0.136	0.13535	18,113	12,075	9,057	6,038
China	0.995	0.99022	132,519	88,346	66,259	44,173
Colombia	0.109	0.10848	14,517	9,678	7,259	4,839
Comoros	0.001	0.00100	133	89	67	44
Congo	0.003	0.00299	400	267	200	133
Costa Rica	0.016	0.01592	2,131	1,421	1,065	710

Party	UN scale %	Adjusted scale %	Total 2001-2002		Annual contribution	
			CHF	USD	CHF	USD
Côte d'Ivoire	0.009	0.00896	1,199	799	599	400
Croatia	0.030	0.02986	3,996	2,664	1,998	1,332
Cuba	0.024	0.02388	3,196	2,131	1,598	1,065
Cyprus	0.034	0.03384	4,528	3,019	2,264	1,509
Czech Republic	0.107	0.10649	14,251	9,501	7,125	4,750
Democratic Republic of the Congo	0.007	0.00697	932	621	466	311
Denmark	0.692	0.68867	92,164	61,443	46,082	30,721
Djibouti	0.001	0.00100	133	89	67	44
Dominica	0.001	0.00100	133	89	67	44
Dominican Republic	0.015	0.01493	1,998	1,332	999	666
Ecuador	0.020	0.01990	2,664	1,776	1,332	888
Egypt	0.065	0.06469	8,657	5,771	4,329	2,886
El Salvador	0.012	0.01194	1,598	1,065	799	533
Equatorial Guinea	0.001	0.00100	133	89	67	44
Eritrea	0.001	0.00100	133	89	67	44
Estonia	0.012	0.01194	1,598	1,065	799	533
Ethiopia	0.006	0.00597	799	533	400	266
Fiji	0.004	0.00398	533	355	266	178
Finland	0.543	0.54039	72,319	48,213	36,160	24,106
France	6.545	6.51354	871,694	581,129	435,847	290,565
Gabon	0.015	0.01493	1,998	1,332	999	666
Gambia	0.001	0.00100	133	89	67	44
Georgia	0.007	0.00697	932	621	466	311
Germany	9.857	9.80962	1,312,802	875,201	656,401	437,601
Ghana	0.007	0.00697	932	621	466	311
Greece	0.351	0.34931	46,748	31,165	23,374	15,583
Grenada	0.001	0.00100	133	89	67	44
Guatemala	0.018	0.01791	2,397	1,598	1,199	799
Guinea	0.003	0.00299	400	267	200	133
Guinea-Bissau	0.001	0.00100	133	89	67	44
Guyana	0.001	0.00100	133	89	67	44
Honduras	0.003	0.00299	400	267	200	133
Hungary	0.120	0.11942	15,982	10,655	7,991	5,327
Iceland	0.120	0.11942	15,982	10,655	7,991	5,327
India	0.299	0.29756	39,822	26,548	19,911	13,274
Indonesia	0.188	0.18710	25,039	16,693	12,519	8,346

Party	UN scale %	Adjusted scale %	Total 2001-2002		Annual contribution	
			CHF	USD	CHF	USD
Iran (Islamic Republic of)	0.161	0.16023	21,443	14,295	10,721	7,148
Israel	0.350	0.34832	46,615	31,077	23,307	15,538
Italy	5.437	5.41087	724,125	482,750	362,063	241,375
Jamaica	0.006	0.00597	799	533	400	266
Japan	20.573	20.47411	2,740,009	1,826,673	1,370,005	913,336
Jordan	0.006	0.00597	799	533	400	266
Kazakhstan	0.048	0.04777	6,393	4,262	3,196	2,131
Kenya	0.007	0.00697	932	621	466	311
Latvia	0.017	0.01692	2,264	1,509	1,132	755
Liberia	0.002	0.00199	266	177	133	89
Liechtenstein	0.006	0.00597	799	533	400	266
Luxembourg	0.068	0.06767	9,057	6,038	4,528	3,019
Madagascar	0.003	0.00299	400	267	200	133
Malawi	0.002	0.00199	266	177	133	89
Malaysia	0.183	0.18212	24,373	16,249	12,186	8,124
Mali	0.002	0.00199	266	177	133	89
Malta	0.014	0.01393	1,865	1,243	932	622
Mauritania	0.001	0.00100	133	89	67	44
Mauritius	0.009	0.00896	1,199	799	599	400
Mexico	0.995	0.99022	132,519	88,346	66,259	44,173
Monaco	0.004	0.00398	533	355	266	178
Mongolia	0.002	0.00199	266	177	133	89
Morocco	0.041	0.04080	5,461	3,641	2,730	1,820
Mozambique	0.001	0.00100	133	89	67	44
Myanmar	0.008	0.00796	1,065	710	533	355
Namibia	0.007	0.00697	932	621	466	311
Nepal	0.004	0.00398	533	355	266	178
Netherlands	1.632	1.62416	217,357	144,905	108,679	72,452
New Zealand	0.221	0.21994	29,434	19,623	14,717	9,811
Nicaragua	0.001	0.00100	133	89	67	44
Niger	0.002	0.00199	266	177	133	89
Nigeria	0.032	0.03185	4,262	2,841	2,131	1,421
Norway	0.610	0.60707	81,243	54,162	40,621	27,081
Pakistan	0.059	0.05872	7,858	5,239	3,929	2,619
Panama	0.013	0.01294	1,731	1,154	866	577
Papua New Guinea	0.007	0.00697	932	621	466	311
Paraguay	0.014	0.01393	1,865	1,243	932	622

Party	UN scale %	Adjusted scale %	Total 2001-2002		Annual contribution	
			CHF	USD	CHF	USD
Peru	0.099	0.09852	13,185	8,790	6,593	4,395
Philippines	0.081	0.08061	10,788	7,192	5,394	3,596
Poland	0.196	0.19506	26,104	17,403	13,052	8,701
Portugal	0.431	0.42893	57,403	38,269	28,701	19,134
Republic of Korea	1.006	1.00116	133,984	89,323	66,992	44,661
Romania	0.056	0.05573	7,458	4,972	3,729	2,486
Russian Federation	1.077	1.07182	143,440	95,627	71,720	47,813
Rwanda	0.001	0.00100	133	89	67	44
Saint Kitts and Nevis	0.001	0.00100	133	89	67	44
Saint Lucia	0.001	0.00100	133	89	67	44
Saint Vincent and the Grenadines	0.001	0.00100	133	89	67	44
Saudi Arabia	0.562	0.55930	74,850	49,900	37,425	24,950
Senegal	0.006	0.00597	799	533	400	266
Seychelles	0.002	0.00199	266	177	133	89
Sierra Leone	0.001	0.00100	133	89	67	44
Singapore	0.179	0.17814	23,840	15,893	11,920	7,947
Slovakia	0.035	0.03483	4,661	3,107	2,331	1,554
Slovenia	0.061	0.06071	8,124	5,416	4,062	2,708
Somalia	0.001	0.00100	133	89	67	44
South Africa	0.366	0.36424	48,746	32,497	24,373	16,249
Spain	2.591	2.57855	345,082	230,055	172,541	115,027
Sri Lanka	0.012	0.01194	1,598	1,065	799	533
Sudan	0.007	0.00697	932	621	466	311
Suriname	0.004	0.00398	533	355	266	178
Swaziland	0.002	0.00199	266	177	133	89
Sweden	1.079	1.07381	143,706	95,804	71,853	47,902
Switzerland	1.215	1.20916	161,819	107,879	80,910	53,940
Thailand	0.170	0.16918	22,641	15,094	11,321	7,547
Togo	0.001	0.00100	133	89	67	44
Trinidad and Tobago	0.016	0.01592	2,131	1,421	1,065	710
Tunisia	0.028	0.02787	3,729	2,486	1,865	1,243
Turkey	0.440	0.43789	58,601	39,067	29,301	19,534
Uganda	0.004	0.00398	533	355	266	178
Ukraine	0.190	0.18909	25,305	16,870	12,653	8,435
United Arab Emirates	0.178	0.17714	23,707	15,805	11,853	7,902



Party	UN scale %	Adjusted scale %	Total 2001-2002		Annual contribution	
			CHF	USD	CHF	USD
United Kingdom of Great Britain and Northern Ireland	5.092	5.06752	678,177	452,118	339,088	226,059
United Republic of Tanzania	0.003	0.00299	400	267	200	133
United States of America	25.000	24.87983	3,329,618	2,219,745	1,664,809	1,109,873
Uruguay	0.048	0.04777	6,393	4,262	3,196	2,131
Uzbekistan	0.025	0.02488	3,330	2,220	1,665	1,110
Vanuatu	0.001	0.00100	133	89	67	44
Venezuela	0.160	0.15923	21,310	14,207	10,655	7,103
Viet Nam	0.007	0.00697	932	621	466	311
Yemen	0.010	0.00995	1,332	888	666	444
Zambia	0.002	0.00199	266	177	133	89
Zimbabwe	0.009	0.00896	1,199	799	599	400
Total	100.483	100.000	13,382,800	8,922,000	6,691,400	4,461,000

## Annex 2

## Trust Fund for the Convention on International Trade in Endangered Species of Wild Fauna and Flora

BUDGET ESTIMATES FOR THE BIENNIUM 2001-2002  
(expressed in Swiss francs using exchange rate of USD 1.00 = CHF 1.50)

Budget line	Description	2001		2002	
		CHF	USD	CHF	USD
1	PERSONNEL COMPONENT				
1100	Professional Staff				
	15 posts	3,242,000	2,161,000	3,274,000	2,183,000
12	Consultants				
1201	Translation of documents	4,000	3,000	102,000	68,000
1202	General consultancy	40,800	27,000	40,800	27,000
1203	Technical assistance	24,000	16,000	24,000	16,000
12	Total, Consultants	68,800	46,000	166,800	111,000
13	Administrative Support				
1301-9	9 Support staff	1,103,000	735,000	1,114,000	743,000
1320	Temporary assistance/overtime	80,800	54,000	81,600	54,000
1321	Salary/travel of Conference staff	0	0	424,000	283,000
13	Total, Administrative Support	1,183,800	789,000	1,619,600	1,080,000
16	Travel on Official Business				

Budget line	Description	2001		2002	
		CHF	USD	CHF	USD
1601	Travel of staff - General	210,400	140,000	212,000	141,000
1602	Travel of staff to CoP and SC	24,000	16,000	255,000	170,000
1603	Travel of staff to seminars	52,800	35,000	52,800	35,000
16	Total, Travel on Official Business	287,200	191,000	519,800	346,000
1	TOTAL, PERSONNEL COMPONENT	4,781,800	3,187,000	5,580,200	3,720,000
2	SUB-CONTRACT COMPONENT				
2101	Nomenclature studies - animals	8,000	5,000	8,000	5,000
2102	Nomenclature studies - plants	21,600	14,000	21,600	14,000
2103	Significant trade - animals	60,800	41,000	60,800	41,000
2104	Significant trade - plants	60,800	41,000	60,800	41,000
2105	National legislation	16,000	11,000	16,000	11,000
2106	Identification manual - animals	64,800	43,000	64,800	43,000
2107	Identification manual - plants	48,000	32,000	48,800	33,000
2108	Technical publications	10,400	7,000	10,400	7,000
2109	Trade monitoring and technical support, UNEP-WCMC	181,000	121,000	223,000	149,000
2110	CITES Web site	101,000	67,000	102,000	68,000
2111	CITES List server	12,000	8,000	12,000	8,000
2112	CITES, Checklist with annotated Appendices and reservations	73,000	49,000	74,000	49,000
2113	Assistance to Scientific Authorities	150,000	100,000	150,000	100,000
2	TOTAL, SUB-CONTRACTS COMPONENT	807,400	539,000	852,200	569,000
3	TRAINING COMPONENT				
32	Group Training				
3201	Seminars	40,800	27,000	40,800	27,000
3202	Training courses	40,800	27,000	40,800	27,000
32	Total, Group Training	81,600	54,000	81,600	54,000
33	Meetings				
3301	Standing Committee	99,000	66,000	99,000	66,000
3302	Plants Committee	90,000	60,000	90,000	60,000
3303	Animals Committee	90,000	60,000	90,000	60,000
3304	Criteria Working Group	131,000	87,000	134,000	89,000
3305	African Elephant Panel of Experts	0	0	45,000	30,000
33	Total, Meetings	410,000	273,000	458,000	305,000
3	TOTAL, TRAINING COMPONENT	491,600	327,000	539,600	359,000
4	EQUIPMENT AND PREMISES COMPONENT				
41	Expendable Equipment				

Budget line	Description	2001		2002	
		CHF	USD	CHF	USD
4101	Office supplies	64,000	43,000	66,400	44,000
41	Total, Expendable Equipment	64,000	43,000	66,400	44,000
42	Non-expendable Equipment				
4201	Non-expendable equipment	84,800	57,000	84,800	57,000
42	Total, Non-expendable Equipment	84,800	57,000	84,800	57,000
43	Premises				
4301	Maintenance of the Office	121,600	81,000	122,400	82,000
43	Total, Premises	121,600	81,000	122,400	82,000
4	TOTAL, EQUIPMENT AND PREMISES COMPONENT	270,400	181,000	273,600	183,000
5	MISCELLANEOUS COMPONENT				
51	Operation and Maintenance of Equipment				
5101	Maintenance of Computers	8,000	5,000	8,000	5,000
5102	Maintenance of Photocopiers	56,800	38,000	56,800	38,000
51	Total, Operations and Maintenance of Equipment	64,800	43,000	64,800	43,000
52	Reporting/Printing Costs				
5201	CoP-related documents	32,800	22,000	153,000	102,000
5202	Documents not related to CoP	40,800	27,000	40,800	27,000
5203	Permits on security paper	25,000	17,000	25,000	17,000
5204	Other publications	20,000	13,000	20,000	13,000
5205	Newsletter	23,000	15,000	24,000	16,000
52	Total, Reporting/Printing costs	141,600	94,000	262,800	175,000
53	Sundry				
5301	Communications (telephone, fax, etc.)	121,600	81,000	122,400	82,000
5302	Logistics for CoP	0	0	153,000	102,000
5303	Logistics for regional seminars	17,600	12,000	17,600	12,000
5304	Other (bank charges, etc.)	16,000	11,000	20,800	14,000
53	Total, Sundry	155,200	104,000	313,800	210,000
54	Hospitality				
5401	Hospitality	8,000	5,000	8,000	5,000
54	Sub-total Hospitality	8,000	5,000	8,000	5,000
5	TOTAL, MISCELLANEOUS COMPONENT	369,600	246,000	649,400	433,000
	TOTAL DIRECT OPERATIONAL COSTS	6,720,800	4,480,000	7,895,000	5,264,000
	Programme Support Costs (13%)	874,000	582,000	1,026,000	684,000
	GRAND TOTAL	7,594,800	5,062,000	8,921,000	5,948,000

## Annex 3

Trust Fund for the Convention on International Trade in Endangered Species of Wild Fauna and  
Flora

ESTIMATED FINANCIAL REQUIREMENTS FOR THE OPERATIONS OF THE SECRETARIAT FOR THE MEDIUM TERM PLAN 2001-2005<sup>1</sup>  
(amounts in USD are indicative; rate used: 1 USD = 1.50 CHF)

Budget line	Description	2001		2002 <sup>2</sup>		2003		2004 <sup>2</sup>		2005	
		CHF	USD	CHF	USD	CHF	USD	CHF	USD	CHF	USD
11	Professional staff	3,242,000	2,161,000	3,274,000	2,183,000	3,340,000	2,227,000	3,373,000	2,249,000	3,441,000	2,294,000
12	Consultants	68,800	46,000	166,800	111,000	71,000	47,000	172,000	115,000	73,000	49,000
13	Administrative support	1,183,800	789,000	1,619,600	1,080,000	1,220,000	813,000	1,669,000	1,112,000	1,256,000	838,000
16	Travel (staff)	287,200	191,000	519,800	346,000	296,000	197,000	536,000	357,000	305,000	203,000
20	Sub-contracts	807,400	539,000	852,200	569,000	832,000	555,000	878,000	585,000	857,000	571,000
32	Training	81,600	54,000	81,600	54,000	84,000	56,000	84,000	56,000	87,000	58,000
33	Meetings	410,000	273,000	458,000	305,000	422,000	282,000	472,000	315,000	435,000	290,000
40	Equipment and premises	270,400	181,000	273,600	183,000	279,000	186,000	282,000	188,000	287,000	191,000
51	Operation and maintenance	64,800	43,000	64,800	43,000	67,000	45,000	67,000	45,000	69,000	46,000
52	Reporting	141,600	94,000	262,800	175,000	146,000	97,000	271,000	180,000	150,000	100,000
53	Sundry	155,200	104,000	313,800	210,000	160,000	107,000	323,000	216,000	165,000	110,000
54	Hospitality	8,000	5,000	8,000	5,000	8,000	5,000	8,000	5,000	8,000	5,000
	TOTAL DIRECT OPERATIONAL COSTS	6,720,800	4,480,000	7,895,000	5,264,000	6,925,000	4,617,000	8,135,000	5,423,000	7,133,000	4,755,000
	Programme Support Costs (13%)	874,000	582,000	1,026,000	684,000	900,000	600,000	1,058,000	705,000	927,000	618,000
	GRAND TOTAL	7,594,800	5,062,000	8,921,000	5,948,000	7,825,000	5,217,000	9,193,000	6,128,000	8,060,000	5,373,000

<sup>1</sup> Budget estimates for the triennium 2003-2005 were calculated based on 1.5% increase per annum. The financing of this budget will require an increase in contributions by 27% per annum for the triennium 2003-2005 over the contributions approved for the biennium 2001-2002 if the accumulated Trust Fund balance does not exceed CHF 1 million

<sup>2</sup> COP year

**BUDGET ITEMS APPROVED BUT NOT FUNDED BY THE BASE OPERATING BUDGET  
FOR THE BIENNIUM 2001-2002  
(in Swiss francs)**

**New budget lines**

Budget line	Description	Average cost per year
	Professional post	190,000
	Support staff post	120,000
	Working Group on Strategic Plan	
	Conservation of and control of trade in Tibetan antelope [Com. 11.5 (Rev.)]	
	Conservation of and trade in freshwater turtles and tortoises in Asia and other regions (Com. 11.7)	
	Establishment of a Mahogany Working Group of the Conference of the Parties (Com. 11.8)	
	Analysis of the use of musk (Com. 11.12)	
	Financing conservation of species of wild fauna and flora (Com. 11.33)	

**Insufficiently funded budget lines**

Budget line	Description	Average cost per year
	Professional post	190,000
1320	Temporary assistance/overtime	20,000
1601	Travel of staff – General	50,000
1603	Travel of staff to seminars	13,000
5102	Maintenance of photocopiers	15,000
5301	Communications	30,000
	TOTAL	318,000

RECALLING Resolutions Conf. 6.3 and Conf. 7.5, adopted by the Conference of the Parties at its sixth and seventh meetings (Ottawa, 1987; Lausanne, 1989), Resolution Conf. 2.6 (Rev.), adopted at its second meeting (San José, 1979) and amended at its ninth meeting (Fort Lauderdale, 1994), Resolution Conf. 3.9 (Rev.), adopted at its third meeting (New Delhi, 1981) and amended at its ninth meeting, Resolution Conf. 6.4 (Rev.), adopted at its sixth meeting and amended at its ninth meeting, and Resolution Conf. 9.8 (Rev.), adopted at its ninth meeting and amended at its 10th meeting (Harare, 1997);

RECOGNIZING the concerns expressed by various Parties that trade in plants and animals listed in Appendices II and III of the Convention may be detrimental to the survival of some species;

AWARE that, in the past, several cases of violation of the Convention have occurred because of inadequate or insufficient implementation by Management Authorities in both exporting and importing countries regarding surveillance, issuance of documentation and control of compliance with the provisions regulating trade in live and dead animal and plants, and their parts and derivatives;

CONSIDERING that it is of utmost moral, biological, ecological and economic interest for all Parties to the Convention that such violations not re-occur and that the mechanisms established for the Convention to this end are fully implemented, so as to ensure their normal and efficient functioning to control trade in, and afford effective protection to, endangered animal and plant species;

RECOGNIZING that the developing countries, because of their special socio-economic, political, cultural and geographic circumstances have major difficulties in meeting appropriate control requirements, even though this does not exempt them from observing the highest possible degree of effectiveness;

RECOGNIZING the extreme difficulties that all producer countries are facing in implementing their own CITES controls, while there are still consumer countries that continue allowing illegal imports as a result of a lack of adequate CITES control;

RECOGNIZING that illegal exports from producing countries of specimens of species included in the Appendices cause serious damage to the valuable resources of wildlife, and reduce the effectiveness of their management programmes;

ATTENTIVE to the fact that the reservations made by importing countries allow loopholes through which specimens illegally acquired in the countries of origin can find legal markets without any control whatsoever;

OBSERVING that some importing countries that maintain reservations refuse to take into consideration the recommendations of the Conference of the Parties in Resolution Conf. 4.25, adopted at its fourth meeting (Gaborone, 1983), weakening in that way the conservation policies of producing countries that wish to protect their wildlife resources;

CONSIDERING that the countries that import these illegally obtained resources are directly responsible for encouraging illegal trade world-wide, and in this way the natural heritage of producing countries is damaged;

CONSIDERING that it is essential for the success of the Convention that all Parties implement and comply effectively with all the regulations established by the Convention;

CONVINCED that enforcement of the Convention must be a constant concern of the Parties if they are to succeed in fulfilling the objectives of the Convention;

CONVINCED of the need to strengthen enforcement of the Convention to address serious problems caused by the illegal trafficking of wild fauna and flora, and that the available resources for enforcement are negligible when compared to the profits gained from such trafficking;

RECALLING that Article VIII, paragraph 1, of the Convention provides that the Parties shall take appropriate measures to enforce the provisions of the Convention and to prohibit trade in specimens in violation thereof, and that these shall include measures to provide for the confiscation or return to the States of export of specimens illegally traded;

RECOGNIZING that the Preamble of the Convention states that international cooperation is essential for the protection of certain species of wild fauna and flora against over-exploitation through international trade;

AFFIRMING the obligation of Parties to collaborate closely in the application of the Convention, through expeditious exchange of information on cases and situations related to wildlife trade suspected to be fraudulent, so as to enable other Parties concerned to apply legal sanctions;

WELCOMING the adoption of a resolution on law enforcement cooperation at the Asian regional meeting in Israel in March 1994;

NOTING the Lusaka Agreement on Cooperative Enforcement Operations Directed at Illegal Trade in Wild Fauna and Flora;

CONSIDERING that Article XIII does not specify a time-limit for a Party to respond to a request for information from the Secretariat, and that such a deadline is necessary in order that the absence of response not be interpreted as a refusal to respond;

CONSIDERING that the use of certain terms to designate the parts and derivatives of wildlife may give rise to certain offences;

RECOGNIZING the important role the Secretariat can play in the enforcement process, and the means provided by Article XIII of the Convention;

CONSCIOUS of the Secretariat's role in promoting enforcement of the Convention, as provided by Article XIII, and of the measures that the Secretariat has taken with the International Criminal Police Organization (ICPO-Interpol) and the World Customs Organization to facilitate the exchange of information between enforcement bodies and for training purposes;

AWARE that, with the limited funding available, Parties and the Secretariat should make the maximum use of existing inter-governmental enforcement mechanisms and resources;

AGREEING on the need for additional measures to reduce further the illegal trade in species covered by the Convention;

## **THE CONFERENCE OF THE PARTIES TO THE CONVENTION**

### Regarding compliance, control and cooperation

URGES all Parties to strengthen, as soon as possible, the controls on trade in wildlife in the territories under their jurisdiction, and in particular controls on shipments from producing countries, including neighbouring countries, and to strictly verify the documents originating from such countries with the respective Management Authorities;

RECOMMENDS that:

- a) all Parties:
  - i) ensure strict compliance and control in respect of all mechanisms and provisions of the Convention relating to the regulation of trade in animal and plant species listed in Appendix II, and of all provisions ensuring protection against illegal traffic for the species listed in the Appendices;

- ii) in case of violation of the above-mentioned provisions, immediately take appropriate measures pursuant to Article VIII, paragraph 1, of the Convention in order to penalize such violation and to take appropriate remedial action; and
  - iii) inform each other of all circumstances and facts likely to be relevant as regards illegal traffic and also of control measures, with the aim of eradicating such traffic;
- b) importing Parties in particular: not accept under any circumstances or pretext, export or re-export documents issued by any authority, irrespective of its hierarchical level, other than the Management Authority officially designated as competent by the exporting or re-exporting Party and duly notified to the Secretariat; and
  - c) if an importing country has reason to believe that an Appendix-II or -III species is traded in contravention of the laws of any country involved in the transaction, it:
    - i) immediately inform the country whose laws were thought to have been violated and, to the extent possible, provide that country with copies of all documentation relating to the transaction; and
    - ii) where possible, apply stricter domestic measures to that transaction as provided for in Article XIV of the Convention;

#### Regarding names used for part and derivatives on permits and certificates

RECOMMENDS that:

- a) when issuing permits and certificates, Parties use a standardized nomenclature for the names of parts and derivatives, established by the Secretariat; and
- b) the Secretariat establish a draft nomenclature and submit it to the Parties, who will have 60 days in which to present their observations; that the Secretariat then establish the definitive nomenclature; and that the same procedure be applied to modify the nomenclature;

#### Regarding application of Article XIII

RECOMMENDS that:

- a) when, in application of Article XIII, the Secretariat requests information on an alleged infraction, Parties reply within a time-limit of one month or, if this is impossible, acknowledge within the month and indicate a date, even an approximate one, by which they consider it will be possible to provide the information requested;
- b) when, within a one year time-limit, the information requested has not been provided, Parties provide the Secretariat with justification of the reasons for which they have not been able to respond;
- c) if major problems with implementation of the Convention in particular Parties are brought to the attention of the Secretariat, the Secretariat work together with the Party concerned to try to solve the problem and offer advice or technical assistance as required;
- d) if it does not appear a solution can be readily achieved, the Secretariat bring the matter to the attention of the Standing Committee, which may pursue the matter in direct contact with the Party concerned with a view to helping to find a solution; and
- e) the Secretariat keep the Parties informed as fully as possible, through Notifications, of such implementation problems and of actions taken to solve them, and include such problems in its report of alleged infractions;

#### Regarding enforcement activities of the Secretariat

URGES the Parties, inter-governmental and non-governmental organizations to provide additional financial support for the enforcement of the Convention, by providing funds to the enforcement assistance work of the Secretariat;

DIRECTS the Secretariat to utilize such funds towards the following priorities:

- a) the appointment of additional officers to the Secretariat to work on enforcement-related matters;
- b) assistance in the development and implementation of regional law-enforcement agreements; and



c) training and technical assistance to the Parties;

URGES the Parties to offer secondment of enforcement officers to assist the Secretariat in addressing law enforcement issues;

DIRECTS the Secretariat to pursue closer international liaison between the Convention's institutions, national enforcement agencies, and existing intergovernmental bodies, particularly the World Customs Organization and ICPO-Interpol;

#### Regarding communication of information

RECOMMENDS that:

- a) Management Authorities coordinate with governmental agencies responsible for enforcement of CITES, including Customs and Police, by arranging training activities and joint meetings, and facilitating the exchange of information through, for example, the establishment of inter-agency committees at national level;
- b) the Parties provide to the Secretariat detailed information on significant cases of illegal trade; and
- c) the Parties inform the Secretariat, when possible, about convicted illegal traders and persistent offenders;

DIRECTS the Secretariat to communicate such information quickly to the Parties;

#### Regarding additional actions to promote enforcement

RECOMMENDS further that the Parties:

- a) promote incentives to secure the support and cooperation of local and rural communities in managing wildlife resources and thereby combating illegal trade;
- b) where appropriate, evaluate and utilize for enforcement purposes, information from non-governmental sources while maintaining standards of confidentiality; and
- c) consider the formation, at national level, of specialized wildlife enforcement units or teams;

ENCOURAGES States to offer rewards for information on illegal hunting and trafficking of specimens of Appendix-I species leading to the arrest and conviction of the offenders; and

REPEALS the Resolutions or parts thereof listed hereunder:

- a) Resolution Conf. 2.6 (Rev.) (San José, 1979, as amended at Fort Lauderdale, 1994) – Trade in Appendix-II and -III species – paragraph b) and paragraph under 'REQUESTS';
- b) Resolution Conf. 3.9 (Rev.) (New Delhi, 1981, as amended at Fort Lauderdale, 1994) – International compliance control;
- c) Resolution Conf. 6.3 (Ottawa, 1987) – Implementation of CITES;
- d) Resolution Conf. 6.4 (Rev.) (Ottawa, 1987, as amended at Fort Lauderdale, 1994) – Controls on illegal trade;
- e) Resolution Conf. 7.5 (Lausanne, 1989) – Enforcement; and
- f) Resolution Conf. 9.8 (Rev.) (Fort Lauderdale, 1994, as amended at Harare, 1997) – Enforcement.

## Conf. 11.4 Conservation of cetaceans, trade in cetacean specimens and the relationship with the International Whaling Commission

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RECALLING Resolutions Conf. 2.8, Conf. 2.9, Conf. 3.13 and Conf. 9.12, adopted by the Conference of the Parties at its second, third and ninth meetings (San José, 1979; New Delhi, 1981; Fort Lauderdale, 1994), and Resolution Conf. 2.7 (Rev.), adopted at its second meeting and amended at its ninth meeting;

RECALLING the determination of the Contracting States that international cooperation is essential for the protection of certain species of wild fauna and flora against over-exploitation through international trade;

CONSIDERING that, for marine species, Article XV, paragraph 2 (b), of the Convention requires the Secretariat to consult inter-governmental bodies having a function in relation to those species;

NOTING that, in accordance with the recommendations of the special working session of the Conference of the Parties (Geneva, 1977), the Secretariat has requested and obtained observer status, and adviser status for trade matters, at meetings of the International Whaling Commission (IWC) and at meetings of the Scientific Committee of the IWC;

NOTING further that the IWC has requested and obtained observer status at meetings of the Conference of the Parties;

RECOGNIZING that Article III, paragraph 5, and Article IV, paragraph 6, of the Convention prohibit the transportation into a party State of specimens (including any readily recognizable parts or derivative thereof) of any species listed in Appendix I or II to the Convention that were taken in the marine environment not under the jurisdiction of any States without prior grant of a certificate from a Management Authority of the State of introduction;

RECOGNIZING that the jurisdiction of the Parties with respect to marine resources in their adjacent seas is not uniform in extent, varies in nature and has not yet been agreed internationally;

DESIRING that the maximum protection possible under this Convention be afforded to the cetaceans listed in the Appendices;

CONSIDERING that the International Whaling Commission has asked for the support of the Parties in protecting certain stocks and species of whales;

MINDFUL of the need for special attention to the conservation of whales and other cetaceans;

RECALLING that commercial utilization has caused the rapid depletion of many species and stocks of large whales once they become the focus of exploitation and has resulted in a threat to the survival of a number of these species and stocks;

OBSERVING that any commercial utilization of species and stocks protected by the IWC jeopardizes their continued existence, and that trade in specimens of these species and stocks must be subject to particularly strict regulation in order not to endanger further their survival;

RECOGNIZING that although these species and stocks of whales are protected from commercial whaling by nationals of IWC member nations, they are commercially harvested by nationals of non-IWC member nations and that such harvesting circumvents and diminishes the effectiveness of the protective regime of the IWC and threatens to prevent the recovery of those protected species and stocks;

NOTING that some unknown level of exploitation of whales may be occurring outside the control of the IWC;

RECALLING also that the great whales have not generally recovered from the depletion brought about by commercial exploitation, even though many other species of exploited wildlife have recovered from equal or greater degrees of depletion;

NOTING that the IWC has taken increasingly vigorous action to provide for the effective conservation and management of whales which are of interest to all nations of the world by establishing limits on the number of whales that may be taken by nationals of its member nations;

NOTING that the IWC has established regulations that protect certain species and stocks from all commercial whaling by nationals of its member nations in order to provide them with protection and the opportunity to recover from over-exploitation;

WELCOMING the Resolution passed by the IWC at its Special Meeting in December 1978 requesting that the Conference of the Parties to the Convention, at its second meeting, take all possible measures to support the IWC ban on commercial whaling for certain species and stocks of whales;

CONCERNED about continuing international reports of the discovery of whale meat and products appearing for sale in, or *en route* to importing countries, from no plausible existing source;

CONCERNED that the international trade in meat and other products of whales is lacking adequate international monitoring or control;

RECOGNIZING that the IWC is the major source of information on whale stocks around the world;

RECOGNIZING further that the meat and other products of such protected species of whales are subject to international trade which cannot be controlled effectively by the IWC alone;

RECOGNIZING further the need for the IWC and CITES to cooperate and exchange information on international trade in whale products;

AFFIRMING its concern that any illegal international trade in Appendix-I whale specimens undermines the effectiveness of both the IWC and CITES;

#### **THE CONFERENCE OF THE PARTIES TO THE CONVENTION**

##### Regarding adhesion to the International Convention for the Regulation of Whaling

RECOMMENDS that those Parties that do not currently adhere to the International Convention for the Regulation of Whaling be encouraged to do so;

##### Regarding trade in specimens of cetaceans

RECOMMENDS that Parties pay particular attention to the documentation requirements for specimens of cetaceans under Articles IV and XIV;

##### Regarding trade in specimens of certain species and stocks of whales protected by the IWC from commercial whaling

RECOMMENDS that the Parties agree not to issue any import or export permit, or certificate for introduction from the sea, under this Convention for primarily commercial purposes for any specimen of a species or stock protected from commercial whaling by the International Convention for the Regulation of Whaling;

REQUESTS that the Secretariat communicate to the Parties a list of such species and stocks and revised versions of this list as necessary;

Regarding illegal trade in whale meat

WELCOMES the work of the IWC in this respect and URGES CITES Parties to explore the issue of illegal trade in whale meat and the geographic origin of meat apparently illegally traded and to cooperate with the CITES Secretariat in the collection of information on this subject;

ENCOURAGES the IWC to keep CITES Parties fully informed through the CITES Secretariat and the Standing Committee between meetings of the Conference of the Parties on all related developments regarding the illegal trade in whale products;

INVITES all countries concerned to cooperate to prevent illegal trade in whale meat, and to report to the CITES Secretariat on any development regarding this issue;

DIRECTS the Secretariat to share with the IWC any information it collects regarding illegal trade in whale meat; and

REPEALS the Resolutions listed hereunder:

- a) Resolution Conf. 2.7 (Rev.) (San José, 1979, as amended at Fort Lauderdale, 1994) – Relationship with the International Whaling Commission;
- b) Resolution Conf. 2.8 (San José, 1979) – Introduction from the sea;
- c) Resolution Conf. 2.9 (San José, 1979) – Trade in certain species and stocks of whales protected by the International Whaling Commission from commercial whaling;
- d) Resolution Conf. 3.13 (New Delhi, 1981) – Trade in whale products; and
- e) Resolution Conf. 9.12 (Fort Lauderdale, 1994) – Illegal trade in whale meat.

RECALLING Resolution Conf. 9.13 (Rev.), adopted by the Conference of the Parties at its ninth meeting (Fort Lauderdale, 1994) and amended at its 10th meeting (Harare, 1997), relating to the conservation of and trade in tigers;

AWARE that three subspecies of tiger, *Panthera tigris*, have become extinct within the last 50 years and that many of the surviving populations of the species have declined sharply within the last five years;

NOTING that wild populations of tigers are threatened by the combined effects of poaching and of habitat loss caused by disturbance, fragmentation and destruction;

AWARE also that the tiger is listed in Appendix I and international commerce in the species is prohibited;

NOTING that, despite inclusion of the species in Appendix I, illegal trade in tiger specimens has escalated, and could lead to extinction in the wild;

NOTING with alarm that the use of medicines and products containing tiger parts and derivatives exists in many countries of the world;

NOTING further that the Standing Committee has called upon all Parties and non-Parties to the Convention to take such measures as are required to halt the illegal trade in tigers and tiger parts and derivatives;

RECOGNIZING that strengthened technical cooperation between range and non-range States, and financial support, would contribute to more effective tiger conservation;

RECOGNIZING also that long-term solutions to the protection, conservation and management of the tiger and its habitat require the adoption of bold and unprecedented actions;

ACKNOWLEDGING that increased political commitment, financial resources and expertise in some range and consumer States will significantly improve the control of the illegal killing of tigers, trade in their parts and derivatives, and protection of their habitat;

APPRECIATING the positive actions taken by some consumer States to address the illegal trade in tiger parts and derivatives;

COMMENDING the initiatives by some range Parties to facilitate cooperation in tiger conservation, including:

- a) India, which, with co-sponsorship from the United Nations Environment Programme (UNEP), convened the first meeting of tiger range States, in March 1994, to establish a Global Tiger Forum, and also facilitated, with governmental and non-governmental support, the Global Tiger Forum in organizing a meeting of 11 tiger range States, three non-tiger range States and two donor agencies in March 1997 for the promotion of technical cooperation, inter-State tiger conservation strategies, training and capacity building programmes and developing information-sharing systems for conservation of the tiger and control of trade in tiger parts and derivatives through international cooperative efforts;
- b) Thailand, which convened a workshop in October 1994 to map distribution of tigers and the status of their forest habitat in a Geographic Information System and to initiate regional cooperative action in this regard;
- c) Nepal, which convened a workshop in March 1996 of 11 tiger range States to prepare a manual on systematic census techniques for tigers;

- d) the Russian Federation, which, with the cooperation of other governments and NGOs, has established effective anti-poaching patrols, officially expanded protected areas for tigers, adopted a national strategy for the conservation of the Amur tiger and completed a national tiger census;
- e) China, which convened a meeting of Asian countries, including tiger range and consumer States, to discuss means of strengthening cooperation on wildlife trade matters, which resulted in the adoption of the Beijing Statement (1995); and
- f) Viet Nam, which hosted a workshop in March 1995 to promote cooperation between the Lao People's Democratic Republic, Cambodia and Viet Nam to conserve tigers;

#### **THE CONFERENCE OF THE PARTIES TO THE CONVENTION**

##### **URGES:**

- a) all Parties and non-Parties, especially tiger range and consumer States, to adopt comprehensive legislation and enforcement controls as a matter of urgency, with the aim of eliminating trade in tiger parts and derivatives, in order to demonstrably reduce the illegal trade in tiger parts and derivatives by the 12th meeting of the Conference of the Parties;
- b) the Secretariat, where possible, to assist those Parties seeking to improve their legislation, by providing to them technical advice and relevant information;
- c) all Parties seeking to improve their legislation controlling the trade in tigers and tiger parts and derivatives, or to adopt such legislation, to include penalties adequate to deter illegal trade and to consider introducing national measures to facilitate implementation of CITES, such as voluntarily prohibiting internal trade in tigers and tiger parts and derivatives, as well as in products labelled as containing parts and derivatives of tiger;
- d) all Parties to treat any product claiming to contain tiger specimens as a readily recognizable tiger derivative and therefore subject to the provisions relating to Appendix-I species, as provided for in Resolution Conf. 9.6 (Rev.), and to enact legislation where it does not exist, to fully implement these provisions for such products;
- e) those Parties and non-Parties in whose countries stocks of tiger parts and derivatives exist to consolidate and ensure adequate control of such stocks;
- f) all range States and consumer States that are not party to CITES to accede to it at the earliest possible date; and
- g) tiger range and non-range States to support and participate in international tiger conservation programmes and consider joining the Global Tiger Forum;

##### **RECOMMENDS:**

- a) the governments of tiger range States and, where appropriate, non-range States, establish cooperative bilateral and multilateral arrangements for the management of shared wildlife species and protected habitats with common boundaries in order to achieve more effective control of illegal cross-border movement of tigers and tiger parts and derivatives;
- b) Parties and non-Parties convene regional workshops on law enforcement needs associated with cross-border movement of tiger parts and derivatives, with technical assistance from the CITES Secretariat and, where available, financial support from interested governments and NGOs;
- c) all range and consumer States strengthen communication and sharing of information by designating at least one contact person in order to establish a regional network to assist in the control of the illegal trade in tiger parts and derivatives; and
- d) all Parties and non-Parties use fully the ECO-MESSAGE of ICPO-Interpol, which relates to standard procedures for exchange of intelligence data, for improved collaborative enforcement in the control of tiger trade;

##### **REQUESTS:**

- a) countries with the relevant expertise to encourage and support range and consumer States, as a matter of urgency, in the development of a forensic protocol for identifying tiger-bone derivatives in

medicines and the establishment of forensic facilities, and to provide technical assistance to aid the detection and accurate identification of tiger parts and derived manufactured products; and

- b) that, since biological and distribution data are essential for the implementation of the Convention, donor nations assist in funding the infrastructure and the provision of expertise to develop computer databases and mapping, as well as any other necessary conservation management and enforcement techniques;

RECOMMENDS that the governments of tiger-consumer States:

- a) work with traditional-medicine communities and industries to develop strategies for eliminating the use and consumption of tiger parts and derivatives;
- b) carry out appropriate education and awareness campaigns, making use of indigenous knowledge and traditional wisdom, directed at appropriate rural urban communities and other targeted groups in range States, on the ecological importance of the tiger, its prey and its habitat; and
- c) where necessary and appropriate, remove tiger parts and derivatives from the official pharmacopeia and include acceptable substitute products that do not endanger other wild species, and introduce programmes to educate industry and user groups in consumer States in order to eliminate the use of tiger-derived substances and promote the adoption of alternatives;

CALLS UPON all governments and intergovernmental organizations, international aid agencies, and non-governmental organizations to provide, as a matter of urgency, funds and other assistance to stop the illegal trade in tigers and tiger parts and derivatives and to ensure the survival of the tiger in the wild; and

REPEALS Resolution Conf. 9.13 (Rev.) (Fort Lauderdale, 1994, as amended at Harare, 1997) – Conservation of and trade in tigers.

RECALLING Resolution Conf. 8.11 (Rev.), adopted by the Conference of the Parties at its eighth meeting (Kyoto, 1992) and amended at its 10th meeting (Harare, 1997), relating to stocks of wool and cloth of vicuña;

CONSIDERING that populations of the vicuña (*Vicugna vicugna*) are listed in Appendices I and II of the Convention;

NOTING that stocks of cloth manufactured from vicuña wool, as well as stocks of wool, have been detected in countries such as Japan and the United Kingdom of Great Britain and Northern Ireland and in Hong Kong (China);

CONSIDERING that the eighth regular meeting of the *Comisión Técnico-Administradora del Convenio para la Conservación y Manejo de la Vicuña* (Argentina, Bolivia, Chile, Ecuador and Peru) took place in Chile in September 1987 and that it adopted Resolution No. 56/87, addressed to the CITES Secretariat, requesting it to recommend to all Parties, and especially those Parties that have stocks of vicuña cloth and wool, that they submit within a determined time limit a list of those stocks, and suggesting that the Parties with stocks manufacture cloth with the wool in stock as soon as possible;

CONSIDERING that, based on Resolution No. 56/87 adopted by the signatory States of the *Convenio para la Conservación y Manejo de la Vicuña*, the CITES Secretariat submitted Notification to the Parties No. 472 asking the Parties to respond favourably;

CONSCIOUS that Resolution No. 97/90, adopted at the 11th regular meeting of the *Comisión Técnico-Administradora del Convenio de la Vicuña*, reminds the CITES Secretariat of the agreement adopted under Resolution No. 56/87;

#### THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS that:

- a) Management Authorities authorize the import of vicuña cloth only if the reverse bears the logotype corresponding to the country of origin and the trade mark VICUÑA – COUNTRY OF ORIGIN or if it is cloth containing pre-Convention wool of vicuña; and
- b) any State member of the *Convenio para la Conservación y Manejo de la Vicuña* that exports vicuña cloth in accordance with this Resolution inform the Secretariat on an annual basis about the quantity of products exported, the number of animals sheared and the local populations to which they belong, and that the Secretariat submit a report at each regular meeting of the Conference of the Parties; and

REPEALS Resolution Conf. 8.11 (Rev.) (Kyoto, 1992, as amended at Harare, 1997) – Stocks of wool and cloth of vicuña.



## Conf. 11.7 Conservation of and trade in musk deer

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AWARE that all musk deer species are included either in Appendix I or Appendix II of the Convention;

RECOGNIZING that musk deer are native to Asia but that natural musk and products containing musk are used and traded worldwide and, therefore, that conservation of musk deer is a global concern;

NOTING that the status and trends of musk deer populations and the domestic demand for musk in range countries are inadequately documented;

FURTHER NOTING that continued illegal trade in raw musk derived from wild musk deer undermines the effectiveness of the Convention;

AWARE that, if Parties and States that are not yet party to the Convention do not take action to eliminate the illegal trade, poaching may cause declines and even extirpation of certain populations;

RECOGNIZING that long-term solutions for the protection of musk deer require the adoption of substantive and measurable actions designed to ensure sustainable use;

RECOGNIZING that strengthening technical cooperation between range and consumer States and financial support would contribute to more effective musk deer conservation;

### THE CONFERENCE OF THE PARTIES TO THE CONVENTION

URGES all Parties, particularly musk deer range and consuming countries and those through which musk deer specimens pass in transit, to take immediate action in order to reduce demonstrably the illegal trade in musk deriving from wild musk deer by:

- a) introducing innovative enforcement methods in range and consumer States and, as a matter of priority, strengthening enforcement efforts in key border regions;
- b) pursuing the development of a clear labelling system for products containing musk, and the development and dissemination of forensic methods to detect natural musk in medicinal and other products;
- c) encouraging all range States and consumer States that are not party to CITES to accede to it at the earliest possible date in order to improve international trade control of raw musk and products containing musk;
- d) working with musk consumers to develop alternatives for raw musk in order to reduce demand for natural musk, while encouraging the development of safe and effective techniques for collecting musk from live musk deer; and
- e) developing bilateral and regional agreements for improving musk deer conservation and management, strengthening legislation and strengthening enforcement efforts;

RECOMMENDS that manufacturing and consumer States cooperate in the development and distribution of identification guides for manufactured products containing musk to assist with enforcement efforts; and

CALLS on the Parties, international aid agencies, intergovernmental organizations, and non-governmental organizations, as a matter of priority, to provide financial and technical assistance to range States to conduct population surveys, and surveys of domestic markets for musk deer, including both legal and illegal trade.

RECALLING the International Workshop on Conservation and Control of Trade in Tibetan Antelope, held in Xining, China, 12–14 October 1999, where a draft resolution on the conservation and control of trade in Tibetan antelope was discussed by government representatives from China, France, India, Italy, Nepal, the United Kingdom and the United States of America, as well as representatives of the CITES Secretariat and non-governmental organizations;

AWARE that the Tibetan antelope (*Pantholops hodgsonii*) is listed in Appendix I, and that all commercial international trade in its parts and derivatives has been regulated by the Convention since 1979;

NOTING that the wild population of the Tibetan antelope continues to be threatened by poaching to supply the market for shahtoosh, the fine wool of the species, and shahtoosh products;

CONSCIOUS that an effective ban on processing of and trade in shahtoosh is a critically important complement to effective *in situ* conservation of the species, including control of large scale poaching;

RECOGNIZING that strengthened technical cooperation between range and non-range States, and financial support, would contribute to more effective conservation of Tibetan antelope;

COMMENDING the initiatives by Parties to facilitate cooperation in conservation of Tibetan antelope and to address illegal hunting of Tibetan antelope, including:

- a) China, which has made a serious effort to stop poaching and smuggling of Tibetan antelope and has also established nature reserves for the species; and
- b) France, India, Italy, the United Kingdom and the United States of America, which have taken steps to protect the species, including enforcement and judicial action to halt the illegal trade in Tibetan antelope parts and derivatives and the development of identification techniques for such parts and derivatives;

#### THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS that:

- a) all Parties and non-Parties, especially consumer and range States, adopt comprehensive legislation and enforcement controls as a matter of urgency, with the aim of eliminating commercial trade in Tibetan antelope parts and derivatives, especially shahtoosh, in order to demonstrably reduce the illegal trade in Tibetan antelope products by the 12th meeting of the Conference of the Parties;
- b) all Parties treat any product claimed to be 'shahtoosh' or claimed to contain Tibetan antelope specimens as a readily recognizable part or derivative of the Tibetan antelope and therefore subject to the provisions relating to Appendix-I species, as provided for in Resolution Conf. 9.6 (Rev.), and enact legislation, where it does not exist, to fully implement these provisions for such products;
- c) all Parties adopt penalties adequate to deter illegal trade and measures to enhance public awareness of the actual origin of the products and of the status of the Tibetan antelope; and
- d) all Parties and non-Parties in whose territory stocks of Tibetan antelope parts and raw materials exist, adopt a registration system and national measures to prevent such stocks from re-entering into trade;

DIRECTS:

- a) the Secretariat, with the assistance of interested Parties, intergovernmental organizations and non-governmental organizations, to provide funding and technical assistance to the range States of the Tibetan antelope in order to improve anti-poaching efforts, to carry out population censuses, to formulate a conservation strategy and to prevent trade in Tibetan antelope parts and derivatives;

- b) the Secretariat to report to the Standing Committee, at its 45th meeting, on implementation of this Resolution; and
- c) the Standing Committee to review this report and to report to the Conference of the Parties at its 12th meeting; and

URGES:

- a) the processing countries of the products of Tibetan antelope to continue their efforts to ban the processing of Tibetan antelope wool;
- b) all countries and territories with relevant experience and technical capabilities to strengthen cooperation and the exchange of information, technology and experience with regard to education and awareness, law enforcement such as smuggling routes and methods, and techniques for the identification of parts and derivatives of Tibetan antelope; and
- c) relevant Parties to designate a contact point and to provide contact details to the Secretariat in order to establish a network to assist in the control of illegal trade in Tibetan antelope parts and derivatives, particularly shahtoosh, and, where appropriate to make full use of the ECO-MESSAGE of ICPO-Interpol and existing law enforcement networks, including the World Customs Organization.

## Conservation of and trade in freshwater turtles and tortoises in Asia and other regions

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AWARE that the global international trade in freshwater turtles and tortoises involves millions of specimens each year, affecting more than 50 Asian Chelonian species and at least five North American species;

RECOGNIZING that nearly all Asian freshwater turtle and tortoise species are found in trade, and that a number of species are already included in Appendix I or II;

OBSERVING that the collection of freshwater turtles and tortoises is carried out through an extensive informal network of trappers, hunters and middlemen, and that collection efforts and export volumes have increased significantly, especially throughout much of Asia;

CONSIDERING that, in addition, turtles in general are vulnerable to overexploitation, because of biological characteristics such as late maturity, limited annual reproductive output, and high juvenile mortality, as well as habitat degradation and loss;

NOTING that there are two significant types of trade in freshwater turtles and tortoises, a high-volume trade in freshwater turtles and tortoises and their parts for consumption both as food and in traditional medicine, and a species-focused trade for pets;

CONCERNED that the movement of live freshwater turtles and tortoises to non-range states where introduction could occur could have adverse impacts on the native species of importing countries, and that little is known of such impacts by alien species;

CONSIDERING that little is known of the population status and ecological role of freshwater turtles and tortoises;

RECOGNIZING that trade from and transit through some countries that are not party to CITES could be a concern;

RECALLING Resolution Conf. 10.19 on traditional medicines;

RECALLING that Article III, paragraph 2 (c), Article IV, paragraph 2 (c) and Article V, paragraph 2 (b), of the Convention require that live specimens be so prepared and shipped as to minimize the risk of injury, damage to health, or cruel treatment;

NOTING that the shipment of living freshwater turtles and tortoises is often not conducted in accordance with the provisions of Articles III, IV and V of the Convention, and in particular that transport of living freshwater turtles and tortoises by air is often not conducted in accordance with IATA regulations;

RECOGNIZING that many countries have legislation concerning freshwater turtles and tortoises but that there are inadequacies in the scope and extent of coverage, and that enforcement is often insufficient;

ACKNOWLEDGING that the demand for and trade in freshwater turtles and tortoises poses a significant threat to wild populations, and that international cooperation is needed to urgently address these threats;

## THE CONFERENCE OF THE PARTIES TO THE CONVENTION

### URGES:

- a) all Parties, especially Asian freshwater turtle and tortoise range, exporting and consuming States, to enhance and increase enforcement efforts with regard to existing legislation as a matter of urgency;
- b) all Parties, especially Asian freshwater turtle and tortoise range States, to assess current efforts to manage native freshwater turtle and tortoise populations, and improve those efforts as necessary, e.g. by establishing quotas;
- c) all Parties to develop and implement research programmes to identify the species involved in trade, and programmes to monitor and assess the impact of trade;
- d) all Parties whose national legislation is not sufficient to control effectively the unsustainable harvest of and trade in freshwater turtles and tortoises, to enact legislation to protect these species;
- e) all Parties involved in the trade in freshwater turtles and tortoises to examine their national legislation to ensure that treatment of these animals during transport is in accordance with the provisions of the Convention and, where relevant, with IATA regulations, and to take immediate action to correct any deficiencies in such legislation;
- f) all Parties to increase public awareness of the threats posed to freshwater turtles and tortoises, including harvest and trade to supply the demand for food, traditional medicines and pets; and
- g) all Parties to explore ways to enhance the participation of collectors, traders, exporters, importers and consumers in the conservation of and sustainable trade in freshwater turtle and tortoise species.

AWARE that hard corals are in international trade as intact specimens for aquaria and as curios;

RECOGNIZING also that coral rock, fragments, sand and other coral products are also traded;

NOTING the unique nature of corals, namely that their skeletons are persistent, that they may become mineralized in time and that they are the foundation of reefs, and that, following erosion, fragments of coral may form part of mineral and sedimentary deposits;

NOTING also that coral rock may act as an important substrate for the attachment of live corals and that the removal of rock may have a detrimental impact on reef ecosystems;

AWARE, however, that coral rock cannot be readily identified other than to the order Scleractinia and that accordingly non-detriment findings under Article IV, paragraph 2 (a), of the Convention cannot be readily applied;

NOTING that Article IV, paragraph 3, of the Convention requires the monitoring of exports of specimens of each species in Appendix II, in order to assess whether the species is being maintained at a level consistent with its role in the ecosystem;

ACCEPTING that coral fragments and coral sand cannot be readily recognized;

RECOGNIZING also that it is frequently difficult to identify live or dead corals to the species level owing to the lack of a standard nomenclature and the lack of comprehensive and accessible identification guides for the non-specialist;

RECOGNIZING that corals that are fossilized are not subject to the provisions of the Convention;

NOTING that it has been difficult to apply and enforce the provisions of the Convention to trade in corals;

#### THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RESOLVES to adopt the working definitions of coral sand, coral fragments, coral rock, live coral and dead coral provided in the Annex to this Resolution; and

URGES:

- a) interested Parties and other bodies from range and consumer States to collaborate and provide support, coordinated by the Secretariat, to produce as a priority accessible and practical guides to recognizing corals and coral rock in trade and to make these widely available to Parties through appropriate media; and
- b) Parties to seek synergy with other multilateral environmental agreements and initiatives to work for the conservation and sustainable use of coral reef ecosystems.

#### Annex

#### Definitions

*Coral sand* – material consisting entirely or in part of finely crushed fragments of dead coral no larger than 2 mm in diameter and which may also contain, amongst other things, the remains of Foraminifera, mollusc and crustacean shell, and coralline algae. Not identifiable to genus.

*Coral fragments (including gravel and rubble)* – unconsolidated fragments of broken finger-like dead coral and other material between 2 and 30 mm in diameter, which is not identifiable to genus.

*Coral rock*<sup>1</sup> (also *live rock and substrate*) – hard consolidated material, > 3 cm in diameter, formed of fragments of dead coral and which may also contain cemented sand, coralline algae and other sedimentary rocks. '*Live rock*' is the term given to pieces of coral rock to which are attached live specimens of invertebrate species and coralline algae not included in the CITES Appendices and which are transported moist, but not in water, in crates. '*Substrate*' is the term given to pieces of coral rock to which are attached invertebrates (of species not included in the CITES Appendices) and which are transported in water like live corals. Coral rock is not identifiable to genus but is recognizable to Order. The definition excludes specimens defined as dead coral.

*Dead coral* – pieces of coral that are dead when exported, but that may have been alive when collected, and in which the structure of corallites (the skeleton of the individual polyp) is still intact; specimens are therefore identifiable to species or genus.

*Live coral* – pieces of live coral transported in water and that are identifiable to species or genus.

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<sup>1</sup> *Rock that does not contain any corals or in which the corals are fossilized is not subject to the provisions of the Convention.*

RECALLING Resolution Conf. 9.18 (Rev.), adopted by the Conference of the Parties at its ninth meeting (Fort Lauderdale, 1994) and amended at its 10th meeting (Harare, 1997), relating to the implementation of CITES for plants;

AWARE that the Convention provides measures for international cooperation for the protection of certain species of wild plants against over-exploitation through international trade;

AWARE that the text of the Convention and several of the Resolutions of the Conference of the Parties on plants may not or could not have been drafted in the light of modern developments in plant propagation and of the trade in artificially propagated plants;

RECALLING the many specific problems the Parties to the Convention have faced and still face in implementing the Convention for plants;

RECOGNIZING that there are unique aspects of the plant trade and plant biology, such as those related to flaked orchid seedlings, that are not considered analogous to those for animals and that a different approach for plants is sometimes necessary;

RECOGNIZING that the control of the trade in flaked seedlings of orchids is not considered to be relevant to the protection of the natural populations of orchid species;

RECOGNIZING that many of the problems associated with regulating international trade in plants under the Convention involve artificially propagated specimens;

OBSERVING that certain Parties that export large quantities of artificially propagated plants need to find ways of reducing paperwork while maintaining protection for wild plants, and helping exporters of artificially propagated plants to understand and to comply with the requirements of the Convention;

#### THE CONFERENCE OF THE PARTIES TO THE CONVENTION

##### Regarding the definition of 'artificially propagated'

DETERMINES that:

- a) the term 'artificially propagated' shall be interpreted to refer only to live plants grown from seeds, cuttings, divisions, callus tissues or other plant tissues, spores or other propagules under controlled conditions; and  
that 'under controlled conditions' means in a non-natural environment that is intensively manipulated by human intervention for the purpose of producing selected species or hybrids. General characteristics of controlled conditions may include but are not limited to tillage, fertilization, weed control, irrigation, or nursery operations such as potting, bedding or protection from weather;
- b) the cultivated parental stock used for artificial propagation must be, to the satisfaction of the competent government authorities of the exporting country:
  - i) established in accordance with the provisions of CITES and relevant national laws and in a manner not detrimental to the survival of the species in the wild; and
  - ii) managed in such a way that long-term maintenance of this cultivated stock is guaranteed;
- c) seeds shall be regarded as artificially propagated only if they are taken from specimens acquired in accordance with the provisions of paragraph b) above and grown under controlled conditions, or from parental stock artificially propagated in accordance with paragraph a) above;
- d) all other parts and derivatives shall be regarded as being artificially propagated only if they are taken from specimens that have been artificially propagated in accordance with the provisions of paragraph a) above; and



- e) grafted plants shall be recognized as artificially propagated only when both the root-stock and the graft have been artificially propagated;

Regarding higher-taxon listings of plants

RECOMMENDS that:

- a) current higher-taxon listings of plants in the Appendices, including the families of Orchidaceae and Cactaceae, be maintained as they are essential for effective control of trade in the many species within those taxa that are threatened or potentially at risk; and
- b) Parties contemplating preparing a proposal to transfer an individual plant species from a higher-taxon listing in Appendix II to a separate listing in Appendix I consider:
- i) whether the increased protection possible by a transfer to Appendix I would compensate for the increased risk created by attracting the attention of traders to the species;
  - ii) the ease with which it can be propagated artificially;
  - iii) the extent to which it is currently available in cultivation from artificially propagated specimens; and
  - iv) any practical problems in identifying the species, particularly in the form in which it may be traded;

Regarding rainsticks

RECOMMENDS that Parties consider the harmonization of their national legislation related to personal exemptions for rainsticks of Cactaceae spp. granted under the personal effects exemption under Article VII, paragraph 3, and consider limiting this exemption to no more than three rain sticks of the species concerned per person;

Regarding hybrids

DETERMINES that:

- a) hybrids shall be subject to the provisions of the Convention even though not specifically included in the Appendices if one or both of their parents are of taxa included in the Appendices, unless the hybrids are excluded from CITES controls by a specific annotation in Appendix II or III (see annotation ° 608 in the Interpretation of Appendices I and II); and
- b) regarding artificially propagated hybrids:
- i) plant species or other taxa listed in Appendix I shall be annotated (in accordance with Article XV) if the provisions relevant to the most restrictive Appendix are to apply;
  - ii) if a plant species or other taxon listed in Appendix I is annotated, an export permit or re-export certificate shall be required for trade in specimens of all artificially propagated hybrids derived from it; but
  - iii) artificially propagated hybrids derived from one or more unannotated Appendix-I species or other taxa shall be regarded as being included in Appendix II and entitled therefore to all exemptions applicable to artificially propagated specimens of species listed in Appendix II;

Regarding flaked seedlings

RECOMMENDS that flaked seedlings of orchid species listed in Appendix I be interpreted as being exempt from CITES control, taking into account the provisions of Article VII, paragraph 4, and Article I, paragraph (b) (iii), and agreeing to a derogation from Resolution Conf. 9.6 (Rev.) for this exemption;

Regarding enforcement for plants

RECOMMENDS that Parties ensure that:

- a) enforcement officers are adequately informed of CITES requirements, procedures governing inspection and clearance of CITES plant specimens, and procedures necessary for the detection of illegal trade;

- b) enforcing agencies obtain access to materials and expertise enabling identification of plant specimens in trade, including whether the specimen is of wild or artificially propagated origin;
- c) enforcing agencies utilize annual reports, plant health documents, nursery catalogues and other sources of information to detect possible illegal trade; and
- d) enforcing agencies maintain close liaison with the Management and Scientific Authorities for the purpose of setting and implementing enforcement priorities;

Regarding trade in salvaged plant specimens

RECOMMENDS that:

- a) whenever possible, Parties ensure programmes of environmental modification do not threaten the survival of plant species included in the CITES Appendices, and that protection of Appendix-I species *in situ* be considered as a national and international obligation;
- b) Parties establish salvaged specimens in cultivation where concerted attempts have failed to ensure that such programmes do not put at risk wild populations of species included in the CITES Appendices; and
- c) international trade in salvaged specimens of Appendix-I plants, and of Appendix-II plants whose entry into trade might be detrimental to the survival of the species in the wild, be permitted where all of the following conditions are met:
  - i) such trade would clearly enhance the survival of the species, albeit not in the wild;
  - ii) import is for the purposes of care and propagation of the species; and
  - iii) import is by a bona fide botanic garden or scientific institution or a registered nursery; and

Regarding education about plant conservation through CITES

RECOMMENDS that:

- a) Parties routinely provide updates of information on all aspects of CITES implementation for plants for publication in scientific, horticultural or plant trade journals and in the publications of plant associations;
- b) Parties regularly provide updates of information on all aspects of CITES implementation to botanic gardens, tourist organizations and relevant non-governmental organizations for further dissemination to the general public;
- c) Parties develop and maintain a good liaison with national plant-trade organizations, to inform them about all aspects of the implementation of CITES for plants, and to communicate to the Secretariat specific implementation problems presented by these national organizations, for consideration by the Plants Committee;
- d) the Secretariat develop and maintain a good liaison with international plant-trade organizations and botanic garden associations (in particular with the International Association of Botanic Gardens and Botanic Gardens Conservation International); and
- e) the Secretariat distribute information on the beneficial aspects of artificial propagation for the survival of natural populations and, where possible, promote such artificial propagation; and

REPEALS Resolution Conf. 9.18 (Rev.) (Fort Lauderdale, 1994, as amended at Harare, 1997) – Regulation of trade in plants.

## Conf. 11.12

# Universal tagging system for the identification of crocodilian skins

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AWARE that all living crocodilian species are listed in Appendix I or II, but concerned that several crocodilian species may be subject to some levels of illegal trade;

RECOGNIZING that certain populations of crocodilians may be transferred from Appendix I to Appendix II subject to specified annual export quotas and that these export quotas are to ensure that the annual take from these populations is not detrimental to their survival;

RECOGNIZING that illegal trade has in the past threatened the survival of certain populations of crocodilians and has undermined the efforts of producer countries to manage their crocodilian resources on a sustainable basis;

RECALLING that Article VI, paragraph 7, of the Convention provides that specimens of species listed in the Appendices may be marked to assist in identifying them;

CONSIDERING that the tagging of all crocodilian skins in international trade would be a fundamental step towards the effective regulation of international trade in crocodilians and that Resolutions Conf. 6.17 and Conf. 9.22 to this effect were adopted by the Conference of the Parties at its sixth and ninth meetings (Ottawa, 1987; Fort Lauderdale, 1994);

NOTING, however, that strategies for the secure marking of similar species should take into consideration systems currently in place as well as the requirements of legitimate processing industries and that the system established at the ninth meeting of the Conference of the Parties was found to require improvement;

NOTING the existence of a register of manufacturers able to produce tags for the marking of crocodilian skins, established and maintained by the Secretariat;

RECOGNIZING that any requirement for a marking system that involves the individual identification and documentation of huge numbers of specimens is likely to result in increased errors in documentation;

### THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS:

- a) the maintenance of a universal tagging system for the identification of raw, tanned, and/or finished crocodilian skins by the general application of non-reusable tags to all crocodilian skins entering international trade from the countries of origin;
- b) that crocodilian skins and flanks be individually tagged and that chalcos have attached a tag to each side (flank) before export;
- c) that the non-reusable tags include, as a minimum: the ISO two-letter code for the country of origin; a unique serial identification number; a standard species code (as provided in Annex 1); and, where appropriate, the year of production or harvest, in accordance with the provisions of Resolution Conf. 11.16, adopted by the Conference of the Parties at its 11th meeting (Gigiri, 2000); and further, that such tags have as a minimum the following characteristics: a self-locking mechanism, heat resistance, inertia to chemical and mechanical processing, and alphanumeric information applied by permanent stamping;
- d) that the year of production and serial number be separated with a hyphen (-) where the information on tags appears in the sequence: country of origin, year of production, serial number, species code;
- e) that for the labelling of skins derived from crocodilian hybrids, the designation HYB or, where the parentage is known, the two three-letter codes for the parents, separated by the character 'x' (e.g.

PORxSIA where the hybrid is a cross between *Crocodylus porosus* and *Crocodylus siamensis*), be used instead of the standard species codes in Annex 1 of this Resolution;

- f) that tails, throats, feet, backstrips, and other parts be exported in transparent, sealed containers clearly marked with a non-reusable tag together with a description of the content and total weight, and all the information required for tags for individual skins, flanks and chalecos, as outlined in paragraphs c), d) and e);
- g) that Parties establish, where legally possible, a system of registration or licensing, or both, for producers, tanners, importers and exporters of crocodilian skins;
- h) that all countries permitting re-export of raw, tanned, and/or finished crocodilian skins implement an administrative system for the effective matching of imports and re-exports and, further, ensure that skins and flanks are re-exported with the original tags intact unless the pieces originally imported have been further processed and cut into smaller pieces;
- i) that, where the original tags have been lost or removed from raw, tanned, and/or finished skins and flanks, the country of re-export should tag each such skin or flank prior to re-export, with a 're-export tag' meeting all the requirements of paragraph c) above except that the country of origin and standard species codes and years of production and/or harvest will not be required; and further, that the same information as is on these tags should be given on the re-export certificate together with details of the original permit under which the skins were imported;
- j) that, where a re-export consignment contains untagged skins that pre-date the entry into effect of Resolution Conf. 9.22 (16 February 1995), the Management Authority record this on the re-export certificate;
- k) that Parties accept export permits, re-export certificates or other Convention documents for trade in crocodilian skins and parts thereof only if they contain the information referred to in paragraph c), f), i) or j), as appropriate, and if the related skins and parts thereof are tagged in accordance with the provisions of this Resolution;
- l) that Parties, with the advice of the Secretariat if appropriate, implement a management and tracking system for tags used in trade as outlined in Annex 2 to this Resolution; and
- m) that Management Authorities ensure that tags not affixed to skins, flanks and chalecos in the year specified on the tag are destroyed;

DIRECTS the Secretariat to report deficiencies of the system or specific instances of concern to the Animals Committee and the relevant Parties, as appropriate; and

REPEALS the Resolutions listed hereunder:

- a) Resolution Conf. 6.17 (Ottawa, 1987) – Implementation of the export quota for Nile and saltwater crocodile skins; and
- b) Resolution Conf. 9.22 (Fort Lauderdale, 1994) – Universal tagging system for the identification of crocodilian skins.

## Annex 1

## Codes for the identification of crocodilian species

Species	Code
<i>Alligator mississippiensis</i>	MIS
<i>Alligator sinensis</i>	SIN
<i>Caiman crocodilus apaporiensis</i>	APA
<i>Caiman crocodilus chiapasius</i>	CHI
<i>Caiman crocodilus crocodilus</i>	CRO
<i>Caiman crocodilus fuscus</i>	FUS
<i>Caiman latirostris</i>	LAT

Species	Code
<i>Caiman yacare</i>	YAC
<i>Crocodylus acutus</i>	ACU
<i>Crocodylus cataphractus</i>	CAT
<i>Crocodylus intermedius</i>	INT
<i>Crocodylus johnstoni</i>	JOH
<i>Crocodylus moreletti</i>	MOR
<i>Crocodylus niloticus</i>	NIL
<i>Crocodylus novaeguineae mindorensis</i>	MIN
<i>Crocodylus novaeguineae novaeguineae</i>	NOV
<i>Crocodylus palustris</i>	PAL
<i>Crocodylus porosus</i>	POR
<i>Crocodylus rhombifer</i>	RHO
<i>Crocodylus siamensis</i>	SIA
<i>Gavialis gangeticus</i>	GAV
<i>Melanosuchus niger</i>	NIG
<i>Osteolaemus tetraspis</i>	TET
<i>Paleosuchus palpebrosus</i>	PAP
<i>Paleosuchus trigonatus</i>	TRI
<i>Tomistoma schlegelii</i>	SCH

## Annex 2

## Management and tracking system for tags used in the crocodylian skin trade

1. The CITES Secretariat should establish, maintain, and amend periodically thereafter, a list of approved sources capable of manufacturing tags that meet the minimum requirements as laid down in paragraph c) of this Resolution; and further, the Secretariat should regularly give notice to the Parties of such sources and each Management Authority should obtain tags to mark crocodylian skins only from these approved sources.
2. Any approved tag manufacturer registered by the Secretariat should first agree, in writing, that it will:
  - a) not duplicate any series of tags produced in accordance with this Resolution;
  - b) sell such tags only to Management Authorities or, in non-party States, to designated government agencies recognized by the Secretariat in accordance with Resolution Conf. 9.5, or to bodies approved by these agencies; and
  - c) report direct and immediately to the Secretariat each order for tags that is fulfilled.
3. When ordering tags from approved sources, Management Authorities should immediately inform the Secretariat of the details of each tag order.
4. Upon request by a Management Authority, the Secretariat should purchase and distribute tags for crocodylian skins, and should recover the full cost, except if external funding becomes available for Parties requiring assistance.
5. When issuing export permits or re-export certificates for crocodylian skins, or other specimens referred to in this Resolution, Parties should record the numbers of the tags associated with each document and make this information available to the Secretariat on request.

6. The Management Authorities of the exporting, re-exporting and importing Parties should provide to the Secretariat, when directed by the Standing Committee or agreed to between the range State and the CITES Secretariat, a copy of each export permit, re-export certificate, or other Convention document for crocodilian skins or flanks immediately after issuance or receipt as appropriate.
7. Parties that require or intend to require the use of tags for containers should send to the Secretariat at least one sample tag for reference.

AWARE that all living species of sturgeon and paddlefish (Acipenseriformes) are listed in Appendix I or II of CITES, but concerned that certain parts and derivatives of some sturgeon species may be subject to some illegal trade;

RECOGNIZING that illegal trade has in the past threatened the survival of certain populations of sturgeons and has undermined the efforts of producer countries to manage their sturgeon resources on a sustainable basis;

RECOGNIZING that Resolution Conf. 10.12 (Rev.), adopted by the Conference of the Parties at its 10th meeting (Harare, 1997) and amended at its 11th meeting (Gigiri, 2000), directs the Secretariat in consultation with the Animals Committee to explore the development of a uniform marking system for sturgeon parts and derivatives to assist in subsequent identification of the species;

RECALLING that Article VI, paragraph 7, of the Convention provides that specimens of species listed in the Appendices may be marked to assist in identifying them;

NOTING that, in order to assist the Parties in identifying legal caviar in trade, marking should be standardized and that particular specifications for the design of labels are fundamental and should be generally applied;

CONSIDERING that the labelling of all caviar in international trade would be a fundamental step towards the effective regulation of international trade in sturgeons and sturgeon products;

RECOGNIZING, however, that the Animals Committee, at its 15th meeting (Antananarivo, 1999), decided to recommend only, at this stage, the adoption of a universal marking system for the export of caviar from producing countries to the initial country of import;

NOTING that strategies for the uniform marking of caviar should take into account marking systems currently in place and should not prevent producer countries and legitimate processing and trading industries from marking the caviar in trade in a further developed way;

### THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS:

- a) the introduction of a uniform marking system for any primary container (tin, jar, or box into which caviar is directly packed) of more than 249 grams of caviar entering international trade from the countries of origin, based on the application of non-reusable labels on each primary container;
- b) that for export of primary containers containing less than 250 grams of caviar, the non-reusable labels referred to in paragraph a) above be affixed only to the secondary containers, which should also include a description of the content;
- c) that the non-reusable label include, as a minimum: grade of the caviar (beluga, sevruga, or ossetra); a standard species code as provided in the Annex; and a unique serial number for the shipment, consisting of the ISO two-letter code for the country of origin, the year of harvest, and a unique number for the primary container that corresponds to the processing plant and lot identification number for the caviar:

Beluga/HUS/RU/2000/xxxx/yyyy

- d) that the information, referred to in paragraph c) above be clearly marked on all secondary containers containing one or more primary containers of caviar;

- e) that, in order to facilitate tracking and monitoring of caviar exports, the same information that is on the label affixed to the secondary container be given on the export permit;
- f) that, in the event of mismatches of information between a label and a permit, the Management Authority of the importing Party immediately contact its counterpart in the exporting Party to establish whether this was a genuine error arising from the volume of information required by this Resolution, and that, if this is the case, every effort be made to avoid penalizing those involved in such transactions;
- g) that the Management Authority of the exporting, re-exporting, and importing Parties provide to the Secretariat, when directed by the Standing Committee or agreed to between the range State and the CITES Secretariat, a copy of each export permit for caviar immediately after issuance or upon receipt, as appropriate;
- h) that Parties accept shipments of caviar imported directly from countries of origin only if they are accompanied by appropriate documents containing the information referred to in paragraph c), d) or e) and if the related processed products are labelled as directed in this Resolution; and
- i) that Parties establish, where legally possible, a system of registration or licensing or both for importers and exporters of caviar;

RECOMMENDS that the preceding set of procedures take effect as soon as possible for export quotas for the year 2001; and

URGES all Parties that trade (export, import or re-export) in caviar to report promptly to the Secretariat the volumes involved each year.

## Annex

## Codes for identification of Acipenseriformes species

Species	Code
<i>Acipenser baerii</i>	BAE
<i>Acipenser baerii baicalensis</i>	BAI
<i>Acipenser brevirostrum</i>	BVI
<i>Acipenser dabryanus</i>	DAB
<i>Acipenser fulvescens</i>	FUL
<i>Acipenser gueldenstaedtii</i>	GUE
<i>Acipenser medirostris</i>	MED
<i>Acipenser mikadoi</i>	MIK
<i>Acipenser naccarii</i>	NAC
<i>Acipenser nudiventris</i>	NUD
<i>Acipenser oxyrinchus</i>	OXY
<i>Acipenser oxyrinchus desotoi</i>	DES
<i>Acipenser persicus</i>	PER
<i>Acipenser ruthenus</i>	RUT
<i>Acipenser schrencki</i>	SCH
<i>Acipenser sinensis</i>	SIN
<i>Acipenser stellatus</i>	STE
<i>Acipenser sturio</i>	STU
<i>Acipenser transmontanus</i>	TRA



Species	Code
<i>Huso dauricus</i>	DAU
<i>Huso huso</i>	HUS
<i>Polyodon spathula</i>	SPA
<i>Psephurus gladius</i>	GLA
<i>Pseudoscaphirhynchus fedtschenkoi</i>	FED
<i>Pseudoscaphirhynchus hermanni</i>	HER
<i>Pseudoscaphirhynchus kaufmanni</i>	KAU
<i>Scaphirhynchus platorynchus</i>	PLA
<i>Scaphirhynchus albus</i>	ALB
<i>Scaphirhynchus suttkusi</i>	SUS

# Conf. 11.14 Guidelines for a procedure to register and monitor operations that breed Appendix-I animal species for commercial purposes

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RECOGNIZING that Article VII, paragraph 4, of the Convention provides that specimens of Appendix-I animal species bred in captivity for commercial purposes shall be deemed to be specimens of species included in Appendix II;

RECOGNIZING ALSO that the provisions of Article III of the Convention remain the basis for permitting trade in specimens of Appendix-I species of animals that do not qualify for the exemptions of paragraphs 4 and 5 of Article VII;

NOTING that import of wild-caught specimens of Appendix-I species for purposes of establishing a commercial captive-breeding operation is precluded by Article III, paragraph 3 (c), of the Convention, as explained further in Resolution Conf. 5.10, adopted by the Conference of the Parties at its fifth meeting (Buenos Aires, 1985);

RECALLING that Resolution Conf. 10.16 (Rev.), adopted by the Conference of the Parties at its 10th meeting (Harare, 1997) and amended at its 11th meeting (Gigiri, 2000), establishes the definition of 'bred in captivity' and provides the basis for determining whether or not an operation is eligible to be considered for registration;

## THE CONFERENCE OF THE PARTIES TO THE CONVENTION

DETERMINES that:

- a) the term 'bred in captivity for commercial purposes', as used in Article VII, paragraph 4, of the Convention, shall be interpreted as referring to any specimen of an animal bred to obtain economic benefit, including profit, whether in cash or kind, where the purpose is directed toward sale, exchange or provision of a service or any other form of economic use or benefit; whereas
- b) for Appendix I species, Article VII, paragraph 5, of the Convention shall be interpreted as referring to a specimen of an animal bred for non-commercial purposes where each donation, exchange or loan is not for profit and is conducted between two operations involved in a cooperative conservation programme that provides for the participation and/or support of one or more range States for the species concerned;

AGREES to the following procedure to register a captive-breeding operation for each Appendix-I listed animal species bred for commercial purposes and included in Annex 3<sup>1</sup> to this Resolution, which comprises a list of species that are critically endangered in the wild and/or known to be difficult to keep or breed in captivity;

AGREES ALSO that determination of whether or not to apply the exemptions in Article VII, paragraph 4, for the export of specimens of Appendix-I animals bred in captivity for commercial purposes, where the species are not included in Annex 3 of this Resolution, remains the responsibility of the Management Authority of the exporting Party on the advice of the Scientific Authority that each operation complies with the provisions of Resolution Conf. 10.16 (Rev.);

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<sup>1</sup> Annex 3 will be available only after it has been approved by the Standing Committee.

RESOLVES that:

- a) an operation may only be registered according to the procedure in this Resolution, if specimens produced by that operation qualify as 'bred in captivity' according to the provisions of Resolution Conf. 10.16 (Rev.);
- b) the first and major responsibility for approving captive-breeding operations under Article VII, paragraph 4, shall rest with the Management Authority of each Party, in consultation with the Scientific Authority of that Party;
- c) the Management Authority shall provide the Secretariat with appropriate information to obtain, and to maintain, the registration of each captive-breeding operation as set out in Annex 1;
- d) the Secretariat shall notify all Parties of each application for registration following the procedure set out in Annex 2;
- e) Parties shall strictly implement the provisions of Article IV of the Convention with respect to specimens of species included in Appendix I originating from operations that breed such specimens in captivity for commercial purposes;
- f) registered captive-breeding operations shall ensure that an appropriate and secure marking system is used to clearly identify all breeding stock and specimens in trade, and shall undertake to adopt superior marking and identification methods as these become available;
- g) the Management Authority, in collaboration with the Scientific Authority, shall monitor the management of each registered captive-breeding operation under its jurisdiction and advise the Secretariat in the event of any major change in the nature of the operation or in the type(s) of products being produced for export, in which case the Animals Committee shall review the operation to determine whether it should remain registered;
- h) any Party within whose jurisdiction an operation is registered may unilaterally request the removal of that operation from the Register without reference to other Parties by so notifying the Secretariat, and, in this case, the operation shall be removed immediately;
- i) any Party believing that a registered operation does not comply with the provisions of Resolution Conf. 10.16 (Rev.) may, after consultation with the Secretariat and the Party concerned, propose that the Conference of the Parties delete the operation from the Register by a two-thirds vote of the Parties as described in Article XV of the Convention; and, once deleted, such an operation may only be reinstated in the Register by satisfying the procedure outlined in Annex 2; and
- j) the Management Authority shall satisfy itself that the captive-breeding operation will make a continuing meaningful contribution according to the conservation needs of the species concerned;

URGES that Parties, prior to the establishment of captive-breeding operations for exotic species, undertake an assessment of the ecological risks, in order to safeguard against any negative effects on local ecosystems and native species;

AGREES further that:

- a) Parties shall restrict imports for primarily commercial purposes, as defined in Resolution Conf. 5.10, of captive-bred specimens of Appendix-I species listed in Annex 3 of this Resolution to those produced by operations included in the Secretariat's Register and shall reject any document granted under Article VII, paragraph 4, of the Convention, if the specimens concerned do not originate from such an operation and if the document does not describe the specific identifying mark applied to each specimen; and
- b) comparable documentation granted in accordance with the Convention by States that are not Parties to the Convention shall not be accepted by Parties without prior consultation with the Secretariat; and

REPEALS Resolution Conf. 8.15 (Kyoto, 1992) – Guidelines for a procedure to register and monitor operations breeding Appendix-I animal species for commercial purposes, effective when the list in Annex 3 has been approved by the Standing Committee and distributed by the Secretariat.

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## Annex 1

## Information to be provided to the Secretariat by the Management Authority on operations to be registered

1. Name and address of the owner and manager of the captive-breeding operation.
2. Date of establishment.
3. Species bred (Appendix I only).
4. Details of the number and age (if known or appropriate) of males and females that comprise the parental breeding stock.
  - Evidence of legal acquisition of each male and female, including receipts, CITES documents, capture permits, etc.
5. Operations located within range States must produce evidence that the parental stock was obtained in accordance with the relevant national laws (e.g. capture permits, receipts, etc.), or, if imported, in accordance with the provisions of the Convention (e.g. receipts, CITES documents, etc.).
6. Operations located in non-range States and established with parental stock acquired within the country where the operation is located must produce evidence that the animals comprising the parental stock:
  - a) are pre-Convention specimens (e.g. relevant dated receipts or other acceptable proof of lawful acquisition);
  - b) have been derived from pre-Convention specimens (e.g. relevant dated receipts or other acceptable proof of lawful acquisition); or
  - c) were acquired from the range State(s) in accordance with the provisions of the Convention (e.g. receipts, CITES documents, etc.).
7. Current stock (numbers, by sex and age, of progeny held in addition to parental breeding stock above).
8. Information on the percentage mortalities in the different age groups and, where possible, between males and females.
9. Documentation showing that the species has been bred to second-generation offspring (F2) at the facility and a description of the method used.
10. If the operation has only bred the species to the first generation, documentation showing that the husbandry methods used are the same as, or similar to, those that have resulted in second-generation offspring elsewhere.
11. Past, current and expected annual production of offspring, together with information on the percentage of:
  - a) females producing offspring each year; and
  - b) abnormalities in the annual production of offspring (including an explanation of probable cause).
12. An assessment of the anticipated need for, and source of, additional specimens to augment the breeding stock to increase the genetic pool of the captive population in order to avoid any deleterious inbreeding.
13. Type of product exported (e.g. live specimens, skins, hides, and/or other body parts).
14. Detailed description of the marking methods (e.g. bands, tags, transponders, branding, etc.) used for the breeding stock and offspring and for the types of specimens (e.g. skins, meat, live animals, etc.) that will be exported.
15. Description of the inspection and monitoring procedures to be used by the CITES Management Authority to confirm the identity of the breeding stock and offspring and to detect the presence of unauthorized specimens held at or incorporated within the operation or provided for export.
16. Description of the facilities to house the current and expected captive stock, including security measures to prevent escapes and/or thefts. Detailed information should be provided on the number

and size of breeding and rearing enclosures, egg incubation capacity, food production or supply, availability of veterinary services and record-keeping.

17. Description of the strategies used by the breeding operation, or other activities, that contribute to improving the conservation status of wild population(s) of the species.
18. Assurance that the operation shall be carried out at all stages in a humane (non-cruel) manner.

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## Annex 2

## Procedure to be followed by the Secretariat before registering new operations

1. For all applications:
  - a) review each application for registration to verify that it meets the requirements of Annex 1; and
  - b) notify all Parties of each application for registration and provide full information (specified in Annex 1) on the operation to any Party that requests it.
2. For applications involving species not yet on the Secretariat's Register, in addition to determining compliance with the requirements of Annex 1, refer such applications concurrently to members of the Animals Committee and, if necessary, appropriate experts for advice on their suitability.
3. Any Party wishing to do so must comment on the registration of an operation within a period of 90 days from the date of notification by the Secretariat.
4. If any Party objects to the registration, or where a Party, member of the Animals Committee and/or expert expresses concern about the application, the Secretariat shall facilitate a dialogue with the Management Authority of the Party submitting the application and allow a further 60 days for resolution of the identified problem(s).
5. If the objection is not withdrawn or the identified problem(s) not resolved, the application shall be postponed until it is decided by a two-thirds majority vote at the following meeting of the Conference of the Parties, or by postal procedures equivalent to those set forth in Article XV of the Convention.
6. For applications involving species already on the Secretariat's Register, refer such applications to experts for advice on their suitability only in cases where there are significant new aspects or other reasons for concern.
7. When satisfied that an application meets all requirements in Annex 1, publish the name and other particulars of the operation in its Register.
8. When an operation is not accepted for registration, provide the relevant Management Authority with a full explanation of the reasons for rejection and indicate the specific conditions that must be met before it can be resubmitted for further consideration.

## Conf. 11.15 Non-commercial loan, donation or exchange of museum and herbarium specimens

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RECALLING Resolutions Conf. 1.4 and Conf. 2.14, adopted by the Conference of the Parties at its first and second meetings (Bern, 1976; San José, 1979);

CONSIDERING that Article VII, paragraph 6, of the Convention provides an exemption from the provisions relating to regulation of trade in specimens of species included in Appendices I, II and III for "non-commercial loan, donation or exchange between scientists or scientific institutions registered by a Management Authority of their State, of herbarium specimens, other preserved, dried or embedded museums specimens, and live plant material which carry a label issued or approved by a Management Authority";

RECOGNIZING that this exemption should apply to legally acquired animal and plant specimens that are under the authority of a registered scientific institution;

CONSIDERING that museum needs for research specimens can have adverse impact on small populations of rare animals and plants;

RECALLING the recommendations of the first meeting of the Conference of the Parties (Bern, 1976);

### THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS that:

- a) Parties take every opportunity within the scope of the Convention to encourage scientific research on wild fauna and flora, where this may be of use in conserving species that are threatened with extinction or that may become so;
- b) in order to reduce the potential impact of research, the Parties encourage their natural history museums and herbaria to inventory their holdings of rare and endangered species and make that information widely available to the Parties and the research community. These inventories will allow researchers to efficiently borrow specimens for study;
- c) addenda should be added to the inventories as specimens become available. Scientific and Management Authorities of the Parties can use the information in determining whether further collecting of some rare species may be justifiable, or whether the need already can be met by borrowing specimens from other museums;
- d) Parties urge their museums and herbaria to undertake such inventories and make such information available; and
- e) Parties implement the exemption for scientific exchange in Article VII, paragraph 6, of the Convention as follows:
  - i) registration of scientific institutions should be done in a manner that extends the exemption to all scientific institutions meeting certain standards in each Party as determined to be bona fide upon the advice of a Scientific Authority;
  - ii) each Management Authority should communicate to the Secretariat as soon as practicable the names and addresses of those scientific institutions so registered, and the Secretariat without delay then communicate this information to all other Parties;
  - iii) the requirement that the container used to transport the specimens carry a label issued or approved by a Management Authority should be met by authorizing the use of Customs Declaration labels, provided they bear the acronym 'CITES', identification of contents as herbarium specimens, preserved, dried or embedded museum specimens or live plant material for scientific study, the name and address of the sending institution and the codes of the exporting and importing institutions over the signature of a responsible officer of that registered scientific institution; or a

label issued by a Management Authority containing the same information and the users of which would be responsible to that body;

- iv) to prevent abuse of this exemption, it should be limited to shipments of legally obtained specimens between registered scientific institutions and, if trade is to or from a non-Party, the Secretariat shall ensure that the institution in this State meets the same standards for registration, as indicated by competent authorities of the non-party governments;
- v) the exemption should be applied to include frozen museum specimens, duplicate herbarium specimens, and all other types of scientific specimens named in Article VII, paragraph 6, including those that are legally collected in one State for shipment to another State as non-commercial loans, donations, or exchanges;
- vi) the standards for registration of scientific institutions should be as follows:
  - A. collections of animal or plant specimens, and records ancillary to them, permanently housed and professionally curated;
  - B. specimens accessible to all qualified users, including those from other institutions;
  - C. all accessions properly recorded in a permanent catalogue;
  - D. permanent records maintained for loans and transfers to other institutions;
  - E. specimens acquired primarily for purposes of research that is to be reported in scientific publications;
  - F. specimens prepared and collections arranged in a manner that ensures their utility;
  - G. accurate data maintained on specimen labels, permanent catalogues and other records;
  - H. acquisition and possession of specimens accord with the laws of the State in which the scientific institution is located; and
  - I. all specimens of species included in Appendix I permanently and centrally housed under the direct control of the scientific institution, and managed in a manner to preclude the use of such specimens for decoration, trophies or other purposes incompatible with the principles of the Convention;
- vii) scientists who keep private collections should be encouraged to affiliate with registered scientific institutions in order that they may take advantage of the exemption provided in Article VII, paragraph 6;
- viii) all States should take precautions to avoid damage or loss to science of museum and herbarium specimens or of any accompanying data;
- ix) this exemption should be implemented to ensure that non-commercial exchange of scientific specimens is not interrupted and that it occurs in a way consistent with the terms of the Convention; and
- x) a five-character coding system for identifying registered institutions should be adopted; the first two characters should be the two-letter country code established by the International Organization for Standardization, as provided in the CITES Directory; the last three characters should be a unique number assigned to each institution by a Management Authority, in the case of a Party, or by the Secretariat, in the case of a non-Party; and

REPEALS the Resolutions listed hereunder:

- a) Resolution Conf. 1.4 (Bern, 1976) – Museum and herbarium inventories; and
- b) Resolution Conf. 2.14 (San José, 1979) – Guidelines for non-commercial loan, donation or exchange of museum and herbarium specimens.

## Conf. 11.16

# Ranching and trade in ranched specimens of species transferred from Appendix I to Appendix II

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RECALLING Resolution Conf. 5.16 (Rev.), adopted by the Conference of the Parties at its fifth meeting (Buenos Aires, 1985) and amended at its 10th meeting (Harare, 1997), and Resolution Conf. 10.18 adopted at its 10th meeting;

NOTING that the terms of Resolution Conf. 10.16 (Rev.) on specimens of animal species bred in captivity, adopted by the Conference of the Parties at its 10th meeting (Harare, 1997) and amended at its 11th meeting (Gigiri, 2000), do not allow the entry into trade of specimens of species included in Appendix I that have been taken from the wild and reared in captivity, except in accordance with the provisions of Article III of the Convention;

RECOGNIZING that some successful programmes for the conservation of certain species permit specimens of those species into international trade on the basis that such trade is no longer detrimental to the survival of their wild populations;

RECALLING Resolution Conf. 9.6 (Rev.), adopted by the Conference of the Parties at its ninth meeting (Fort Lauderdale, 1994) and amended at its 11th meeting (Gigiri, 2000), which recommends that Parties consider all products of ranching operations to be readily recognizable;

RECOGNIZING that marking of parts and derivatives in trade from ranched animals is necessary to achieve adequate control;

RECOGNIZING that, if each Party establishes a different marking system for parts and derivatives of ranched animals of the same species, confusion will result and enforcement will be difficult;

BELIEVING that any proposal to transfer to Appendix II, for ranching, a species for which such a proposal has previously been approved should be consistent with the approved proposal in its intent and in the terms and conditions it specifies;

RECOGNIZING that, in accordance with Article XIV of the Convention, Parties may adopt more restrictive domestic controls on trade in specimens of populations included in the Appendices;

CONSIDERING the necessity of transferring populations back to Appendix I if it is established that ranching operations utilizing them no longer meet the criteria;

AWARE that ranching of crocodylians on the basis of controlled collection of eggs or hatchlings can be potentially a valuable and positive conservation tool, whereas taking of wild adult animals needs stricter control;

CONSCIOUS of the danger of providing greater incentives for the establishment of captive-breeding operations, which may damage efforts to conserve wild populations, than for ranching operations, which in principle are more beneficial to crocodylian conservation;

EMPHASIZING that the overriding objective of the Convention is to conserve wild populations of the species listed in the Appendices and that positive incentives must be offered to programmes designed to achieve this aim;



## THE CONFERENCE OF THE PARTIES TO THE CONVENTION

### Regarding definitions

DECIDES that:

- a) the term 'ranching' means the rearing in a controlled environment of specimens taken from the wild; and
- b) the term 'uniform marking system' means a system of marking each product approved by the Conference of the Parties for a species, which, as a minimum, includes the International Organization for Standardization two-letter code for the country of origin, a unique identification number and the year of production or, for products in stock or manufactured from products of the operation in stock at the time of the proposal, the year of approval of the proposal;

### Regarding proposals to transfer populations from Appendix I to Appendix II for ranching

RECOMMENDS that:

- a) populations of species included in Appendix I that occur within the jurisdiction of Parties and are deemed by the Conference of the Parties to be no longer endangered and to benefit by ranching with the intention of trade be included in Appendix II;
- b) in order to be considered by the Conference of the Parties, any proposal to transfer a population to Appendix II in order to conduct a ranching programme satisfy the following general criteria:
  - i) the programme must be primarily beneficial to the conservation of the local population (i.e., where applicable, contribute to its increase in the wild or promote protection of the species's habitat while maintaining a stable population);
  - ii) all products (including live specimens) of each operation must be adequately identified and documented to ensure that they can be readily distinguished from products of Appendix-I populations;
  - iii) the programme must have in place appropriate inventories, harvest-level controls and mechanisms to monitor the wild populations; and
  - iv) there must be sufficient safeguards established in the programme to ensure that adequate numbers of animals are returned to the wild if necessary and where appropriate;
- c) any Party submitting a ranching proposal for a population of a species, whether or not a ranching proposal has been approved for the species previously, include in the proposal the following, in addition to the usual biological data requested for proposals to amend the Appendices:
  - i) details of its marking system that should meet the minimum requirements of the uniform marking system defined in this Resolution;
  - ii) a list specifying the types of products produced by the operation;
  - iii) a description of the methods that will be used to mark all products and containers entered into trade; and
  - iv) an inventory of current stocks of specimens of the species concerned, whether or not they are from the ranching operation;
- d) any proposal for the transfer to Appendix II of a Party's population or a smaller geographically separate population of a species, for the purpose of ranching, not be approved by the Conference unless it contains the following:
  - i) evidence that the taking from the wild will have no significant detrimental impact on wild populations;
  - ii) an assessment of the likelihood of the biological and economic success of each ranching operation;
  - iii) assurance that the operation shall be carried out at all stages in a humane (non-cruel) manner;
  - iv) documented evidence to demonstrate that the programme is beneficial to the wild population through reintroduction or in other ways; and

- v) assurance that the criteria specified in paragraph b) above under 'RECOMMENDS' shall continue to be met;
- e) in order to be discussed at the next meeting of the Conference of the Parties, any proposal for amendment of the Appendices pursuant to this Resolution be received by the Secretariat at least 330 days before that meeting. In consultation with the Animals Committee, the Secretariat shall seek appropriate scientific and technical advice to verify that the criteria specified in paragraph d) above under 'RECOMMENDS' have been met and to review the information and assurances in the proposal that are specified in paragraph d) above. If in the opinion of the Secretariat further information concerning the criteria is required, the Secretariat shall request information from the proposing Party within 150 days after receipt. Thereafter, the Secretariat shall communicate with the Parties in accordance with Article XV of the Convention;
- f) proposals that include a component of a wild-adult harvest be examined much more stringently than those based purely on collection of eggs, neonates, larvae or other juvenile life stages;
- g) Parties achieving or having achieved the transfer of their populations of a species to Appendix II under the provisions of this Resolution limit the manner of exploitation of wild populations to those techniques described in their proposals and not, for example, later initiate new short-term programmes for taking wild animals without notifying the Secretariat;
- h) any Party with an approved ranching proposal submit any changes to the information supplied in paragraph c) above under 'RECOMMENDS' to the Secretariat. The Secretariat, in consultation with the Animals Committee, should determine whether the changes proposed substantially alter the original ranching programme, and undermine or jeopardize the conservation of the wild population. The Secretariat should advise the Party of its determination accordingly; and
- i) in cases where the Secretariat, in consultation with the Animals Committee, concludes that changes to the ranching programme that are proposed in accordance with paragraph h) would result in substantial changes to management of the species, the proposed management be treated as a new proposal, requiring the submission of a proposal pursuant to this Resolution and to the requirements of Article XV of the Convention;

Regarding trade in ranched specimens of species transferred from Appendix I to Appendix II

RECOMMENDS that all Parties prohibit trade in products of ranching operations unless such trade complies with all the terms, conditions and requirements of the approved ranching proposal for the population concerned;

Regarding monitoring and reporting in relation to species transferred from Appendix I to Appendix II for ranching

RECOMMENDS that:

- a) annual reports on all relevant aspects of each approved ranching operation be submitted to the Secretariat by the Party concerned, and include any new information on the following:
  - i) the status of the wild population concerned;
  - ii) the number of specimens (eggs, young or adults) taken annually from the wild;
  - iii) an estimate of the percentage of the production of the wild population that is taken for the ranching operation;
  - iv) the number of animals released and their survival rates estimated on the basis of surveys and tagging programmes, if any;
  - v) the mortality rate in captivity and causes of such mortality;
  - vi) production, sales and exports of products; and
  - vii) conservation programmes and scientific experiments carried out in relation to the ranching operation or the wild population concerned;
- b) with the consent of the Standing Committee and the Party concerned, the Secretariat should have the option to visit and examine a ranching operation wherever circumstances require it to do so; and

- c) where the Secretariat reports failure to comply with this Resolution, and the Standing Committee and the Party concerned fail to resolve the matter satisfactorily, the Standing Committee may, after full consultation with the Party concerned, request the Depositary Government to prepare a proposal to transfer the population concerned back to Appendix I; and

REPEALS the Resolutions listed hereunder:

- a) Resolution Conf. 5.16 (Rev.) (Buenos Aires, 1985, as amended at Harare, 1997) – Trade in ranched specimens; and
- b) Resolution Conf. 10.18 (Harare, 1997) – Ranching and trade in ranched specimens.

## Conf. 11.17 Annual reports and monitoring of trade

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RECALLING Resolution Conf. 9.4 (Rev.), adopted by the Conference of the Parties at its ninth meeting (Fort Lauderdale, 1994) and amended at its 10th meeting (Harare, 1997), relating to annual reports and monitoring of trade;

CONSIDERING the obligation of Parties to submit periodic reports under the provisions of Article VIII, paragraph 7, of the Convention;

RECOGNIZING the importance of the annual reports as the only available means of monitoring the implementation of the Convention and the level of international trade in specimens of species included in the Appendices;

ACKNOWLEDGING the necessity for the annual reports of the Parties to be as complete as possible and to be comparable;

CONSIDERING that the provisions of Article XII, paragraph 2 (d), of the Convention require the Secretariat to study the periodic reports of Parties;

APPRECIATING the valuable assistance in meeting this responsibility provided by the Wildlife Trade Monitoring Unit of the UNEP World Conservation Monitoring Centre under contract to the Secretariat;

NOTING that the use of computers can help to ensure that trade statistics are dealt with more effectively;

CONCERNED that many Parties have not followed the recommendations of the Conference of the Parties and of the Secretariat that the annual reports be submitted by 31 October of the year following the year for which they are due and following the guidelines for the preparation of such reports;

### THE CONFERENCE OF THE PARTIES TO THE CONVENTION

URGES all Parties to submit their annual reports required under the provisions of Article VIII, paragraph 7 (a), of the Convention in accordance with the "Guidelines for the Preparation and Submission of CITES Annual Reports" distributed by the Secretariat with Notification to the Parties No. 788 dated 10 March 1994<sup>1</sup>, as may be amended by the Secretariat from time to time with the concurrence of the Standing Committee;

RECOMMENDS that Parties:

- a) make every effort to report trade in CITES-listed plants at the species level or, if this is impossible for those taxa included in the Appendices by family, at the generic level; however, artificially propagated Appendix-II orchid hybrids may be reported as such;
- b) distinguish in their annual reports between plant specimens of wild and of artificially propagated origin;
- c) include in their annual reports complete data on imports, exports and re-exports of raw ivory including, as a minimum, the country of origin, the year that the export was authorized under a quota, the number of whole or substantially whole tusks, and their individual weights and serial numbers; and
- d) make every effort to report trade in hard coral at the species level or, if this is not practical, at the generic level at least;

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<sup>1</sup> Replaced by Notification to the Parties No. 1999/85 of 5 November 1999.

RECOMMENDS that Management Authorities:

- a) consult their national timber organizations to identify any anomalies in their annual reports and to discuss remedies if such anomalies exist; and
- b) carefully review their procedures for reporting the trade in timber species included in the Appendices to ensure that reporting is based on permits used rather than permits issued;

RECOMMENDS that each Party to the Convention, if a member of a regional trade agreement within the meaning of Article XIV, paragraph 3, of the Convention, include in its annual reports information on trade in specimens of species included in Appendices I, II and III with other member States of that regional trade agreement, unless the record-keeping and reporting duties of Article VIII of the Convention are in direct and irreconcilable conflict with the provisions of the regional trade agreement;

URGES every Party to consider whether the preparation of its statistical reports could be computerized, or undertaken under a contract between the Party and the Wildlife Trade Monitoring Unit of the UNEP World Conservation Monitoring Centre;

RECOMMENDS that Parties studying or developing computer programmes for licensing and reporting trade under the Convention consult with each other, and with the Secretariat, in order to ensure optimal harmonization and compatibility of systems;

DECIDES that:

- a) failure to submit an annual report by 31 October of the year following the year for which the report was due constitutes a major problem with the implementation of the Convention, which the Secretariat shall refer to the Standing Committee for a solution in accordance with Resolution Conf. 11.3; and
- b) the Secretariat may approve a valid request from a Party for a reasonable extension of time to the 31 October deadline for the submission of annual reports provided the Party submits to the Secretariat a written request, containing adequate justification, before that deadline;

APPEALS to all Parties, and to non-governmental organizations interested in furthering the objectives of the Convention, to make financial contributions to the Secretariat to support the trade monitoring work of the Secretariat and that of the UNEP World Conservation Monitoring Centre undertaken under contract to the Secretariat; and

REPEALS Resolution Conf. 9.4 (Rev.) (Fort Lauderdale, 1994, as amended at Harare, 1997) – Annual reports and monitoring of trade.

## Conf. 11.18\* Trade in Appendix-II and -III species

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RECALLING Resolution Conf. 2.6 (Rev.), paragraph a), adopted by the Conference of the Parties at its second meeting (San José, 1979) and amended at its ninth meeting (Fort Lauderdale, 1994);

RECOGNIZING the concerns expressed by various Parties that trade in plants and animals listed in Appendices II and III of the Convention may be detrimental to the survival of some species;

### THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS that if any Party deems that an Appendix-II or -III species is being traded in a manner detrimental to the survival of that species, it:

- a) consult directly with the appropriate Management Authorities of the countries involved or, if this procedure is not feasible or successful, make use of the provisions of Article XIII to call upon the assistance of the Secretariat;
- b) make use of the options provided by Article XIV to apply stricter domestic measures particularly when re-export or transshipment, or trade with a State not party to the Convention is involved; or
- c) make use of the options provided by Article X when trade with a State not party to the Convention is involved; and

REPEALS Resolution Conf. 2.6 (Rev.) (San José, 1979, as amended at Fort Lauderdale, 1994) – Trade in Appendix-II and -III species – paragraph a).

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\* *This Resolution is based on the text of Resolution Conf. 2.6 (Rev.) adopted at the second meeting of the Conference of the Parties and amended at the ninth meeting. Certain paragraphs were deleted with the adoption of Resolution Conf. 11.3 and Resolution Conf. 2.6 (Rev.) has consequently been renumbered*

NOTING that the Identification Manual Committee was first established in 1977, and was one of the first committees serving the Parties to the Convention;

GRATEFUL to all persons who have served this Committee, for the work they have done to develop the Identification Manual;

NOTING also that between the sixth (Ottawa, 1987) and the 10th (Harare, 1997) meetings of the Conference of the Parties the Committee was without Chairman and membership;

NOTING further that following the 10th meeting of the Conference of the Parties (Harare, 1997) only one Party has expressed interest in appointing members of the Committee;

RECOGNIZING the need for a regular production of sheets for the Identification Manual in the three working languages of the Convention and that the work involved is not of a nature readily performed by a committee;

## **THE CONFERENCE OF THE PARTIES TO THE CONVENTION**

DIRECT the Secretariat to:

- a) prepare sheets on the identification of animal and plant species for inclusion in the Identification Manual in the three working languages of the Convention;
- b) upon request from a Party, provide advice on the identification of species, or seek advice from experts on the taxa concerned;
- c) ensure, where relevant, that the subject of identification of species or specimens is included in training seminars organized by the Secretariat;
- d) provide assistance to Parties in the development of national or regional identification manuals;
- e) obtain, from Parties whose proposals to include new species in the Appendices have been adopted, appropriate data for inclusion in the Identification Manual within one year after acceptance of such additions;
- f) publish, within its financial capacity, the Identification Manual;
- g) inform each meeting of the Standing, Animals and Plants Committees on the progress made; and
- h) report to each meeting of the Conference of the Parties;

EXHORTS Parties having successfully submitted proposals to include new species in the Appendices, to provide appropriate data for inclusion in the Identification Manual within one year after acceptance of such additions;

APPEALS to Parties and organizations to provide funds to ensure the production of the Identification Manual; and

REQUESTS the Parties to promote the use of the Identification Manual.

RECALLING that, at the ninth meeting of the Conference of the Parties, the South African population of southern white rhinoceros (*Ceratotherium simum simum*) was transferred to Appendix II of the Convention subject to an annotation stating, in part, "For the exclusive purpose of allowing international trade in live animals to appropriate and acceptable destinations and hunting trophies";

RECALLING ALSO that, at the 10th meeting of the Conference of the Parties, the African elephant (*Loxodonta africana*) populations of Botswana, Namibia and Zimbabwe were transferred to Appendix II of the Convention subject to an annotation stating, in part, "For the exclusive purpose of allowing export of live animals to appropriate and acceptable destinations";

NOTING that the term 'appropriate and acceptable destinations' is yet to be fully defined;

NOTING FURTHER that the Parties have not indicated whether the determination that destinations are 'appropriate and acceptable' was to be made by the exporting or the importing country;

RECOGNIZING that there are annotations currently existing that refer to live animals, and that similar annotations may be adopted in future;

NOTING FURTHER that appropriate and acceptable destinations for live animals should be those that ensure that the animals are humanely treated;

#### THE CONFERENCE OF THE PARTIES TO THE CONVENTION

AGREES that, where the term 'appropriate and acceptable destinations' appears in an annotation to the listing of a species in Appendix II of the Convention with reference to the export of or international trade in live animals, this term shall be defined to mean destinations where the Scientific Authority of the State of import is satisfied that the proposed recipient of a living specimen is suitably equipped to house and care for it.



# Conf. 11.21 Use of annotations in Appendices I and II

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RECOGNIZING that annotations are increasingly used in the Appendices for a number of purposes;

AWARE that certain types of annotations are for reference only, whereas others are substantive and are intended to define the scope of the inclusion of a species;

CONSIDERING that the Parties have developed specific procedures for transfer, reporting and review for certain special cases of amendment of the Appendices, such as those relating to ranching, quotas, certain parts and derivatives, and trade regimes;

AWARE also that certain types of annotations are an integral part of a species listing, and that any proposal to introduce, amend or delete such an annotation must follow the provisions of Resolution Conf. 9.24;

CONSCIOUS that criteria for the submission of proposals to amend the Appendices that include annotations, and procedures for reviewing the implementation of such annotations, need to be clearly defined to avoid implementation and enforcement problems;

## THE CONFERENCE OF THE PARTIES TO THE CONVENTION

AGREES that:

- a) the following are reference annotations and are for information purposes only:
  - i) asterisks (\*/\*\*);
  - ii) the annotations "p.e.", for possibly extinct; and
  - iii) annotations relating to nomenclature (= 300- and = 400-series);
- b) the following are substantive annotations, and are integral parts of species listings:
  - i) annotations relating to the inclusion or exclusion of designated geographically separate populations, subspecies, species, groups of species, or higher taxa, which may include export quotas (-100- and + 200-series); and
  - ii) annotations relating to specified types of specimens (such as live animals, live plants, or specified parts or derivatives), which may include export quotas (° 600-series and #-series);
- c) reference annotations may be introduced, amended or deleted by the Conference of the Parties, or by the Secretariat, as required, to facilitate the understanding of the Appendices;
- d) substantive annotations relating to species in Appendix I or II may be introduced, amended or deleted only by the Conference of the Parties in accordance with Article XV of the Convention;
- e) substantive annotations relating to geographically separate populations in Appendix I or II should be in compliance with the split-listing provisions contained in Resolution Conf. 9.24 Annex 3; and
- f) substantive annotations used in the context of transferring a species from Appendix I to Appendix II should be in compliance with the precautionary measures contained in Resolution Conf. 9.24 Annex 4;

AGREES that no proposal for transfer of a species from Appendix I to Appendix II subject to an annotation relating to specified types of specimens shall be considered from a Party that has entered a reservation for the species in question, unless that Party has agreed to remove the reservation within 90 days of the adoption of the amendment;

RECOMMENDS that:

- a) Parties submitting proposals that contain substantive annotations ensure that the text is clear and unambiguous;

- b) if a proposed annotation relates to specified types of specimens, the applicable provisions of the Convention for import, export and re-export of each type of specimen should be specified;
- c) as a general rule, Parties avoid making proposals to adopt annotations that include live animals or trophies; and
- d) annotations relating to specified types of specimens should be used sparingly, as their implementation is particularly challenging, especially where there are identification problems or where the purpose of trade has been specified;

DIRECTS:

- a) the Secretariat to report to the Standing Committee, for at least four years following the adoption of a proposal to transfer species from Appendix I to Appendix II subject to a substantive annotation, any credible information it receives indicating a significant increase in the illegal trade in or poaching of such species; and
- b) the Standing Committee to investigate any such reports of illegal trade and to take appropriate action to remedy the situation, which may include calling on the Parties to suspend commercial trade in the affected species, or inviting the Depositary Government to submit a proposal to amend the annotation or to retransfer the species to Appendix I; and

AGREES that, for species transferred from Appendix I to II subject to an annotation relating to specified types of specimen, specimens that are not specifically included in the annotation shall be deemed to be specimens of species included in Appendix I and the trade in them shall be regulated accordingly.

RECALLING Resolution Conf. 10.22, adopted by the Conference of the Parties at its 10th meeting (Harare, 1997);

NOTING that biological nomenclature is dynamic;

AWARE that the names of the genera and species of several families are in need of standardization and that the current lack of a standard reference with adequate information decreases the effectiveness of the implementation of CITES in conserving the many species that are listed in the Appendices;

RECOGNIZING that the taxonomy used in the Appendices to the Convention will be most useful to the Parties if standardized by nomenclatural references;

AWARE that the Nomenclature Committee has identified names of taxa used in the Appendices to the Convention that should be changed to reflect accepted use in biology;

NOTING that these changes should be adopted by the Conference of the Parties to the Convention;

RECOGNIZING that there are several taxa included in the Appendices of which domesticated forms exist, and that in several cases the Parties have chosen to discriminate between the wild form and the domesticated form by applying a name that differs from the name cited in the standard nomenclature for the protected form;

RECOGNIZING that, in the case of new proposals for listing in the Appendices, the Parties should use adopted standard references whenever available;

CONSIDERING the great practical difficulties involved in recognizing many of the subspecies at present listed in the Appendices when they appear in trade; and the need to weigh ease of subspecies identification against reliability of information on geographic source, for enforcement purposes;

## **THE CONFERENCE OF THE PARTIES TO THE CONVENTION**

RECOMMENDS that:

- a) a subspecies be proposed for inclusion in the Appendices only if it is generally recognized as a valid taxon, and easily identifiable in the traded form;
- b) where there are identification difficulties, the problem be approached by either including the entire species in Appendix I or Appendix II or by circumscribing the range of the subspecies warranting protection and listing the populations within this area on a country basis;
- c) where there are domesticated forms of listed taxa, the Nomenclature Committee recommend names for the wild and domestic forms;
- d) when submitting a proposal to amend the Appendices to the Convention, the proponent identify the reference used to describe the entity being proposed;
- e) upon receiving proposals to amend the Appendices to the Convention, the Secretariat seek, where appropriate, the advice of the Nomenclature Committee on the correct names to use for the species or other taxa in question;
- f) the Secretariat may make orthographic changes in the lists of species included in the Appendices to the Convention, without consulting the Conference of the Parties;
- g) the Secretariat inform the Parties whenever the name of a taxon to be used in the Appendices to the Convention changes, provided that:
  - i) the change has been recommended or agreed to by the Nomenclature Committee; and
  - ii) the change will not alter the scope of protection for fauna or flora under the Convention;

- h) whenever the scope of a taxon is redefined as a result of a taxonomic revision, the Nomenclature Committee advise the Secretariat on the name to be listed in the Appendices or on alternative actions, including amendments to the Appendices, required to ensure that the original intent of the listing is retained;
- i) if there is conflict regarding the choice of taxonomic authority for taxa for which no standard references have been adopted by the Conference of the Parties, countries authorizing export of animals or plants (or parts or derivatives thereof) of such taxa inform the CITES Secretariat and prospective importing countries of their preferred published taxonomic authority. 'Taxonomic authority' means a recent published paper or monograph that reviews the nomenclature of the taxon being exported and that has been reviewed by professionals in the pertinent discipline. In cases where specimens of the taxon are exported from several countries and the exporting countries do not agree, or the exporting and importing countries do not agree, on the taxonomic authority, the zoologist and the botanist of the Nomenclature Committee should determine the most appropriate taxonomic authority; and
- j) the Secretariat be provided the citations (and ordering information) of checklists that will be nominated for standard references at least six months before the meeting of the Conference of the Parties at which such checklists will be considered. The Secretariat shall include such information in a Notification to the Parties so that Parties can obtain copies to review if they wish before the meeting;

ADOPTS the following standard references:

- a) *Mammal Species of the World: A Taxonomic and Geographic Reference*, 2nd edition (edited by D.E. Wilson and D.M. Reeder, 1993, Smithsonian Institution Press) for mammalian nomenclature except for the section on the genus *Balaenoptera*, which is replaced by that on the genus *Balaenoptera* in Rice, D.W., 1998: *Marine mammals of the World. Systematics and distribution*. Special Publication Number 4: i-ix, 1-231; The Society for Marine Mammals;
- b) *A Reference List of the Birds of the World* (J.J. Morony, W.J. Bock and J. Farrand Jr, 1975, American Museum of Natural History) for order and family level names for birds;
- c) *Distribution and Taxonomy of Birds of the World* (C.G. Sibley and B.L. Monroe Jr, 1990, Yale University Press) and *A supplement to Distribution and Taxonomy of the Birds of the World* (Sibley and Monroe, 1993, Yale University Press) for the genus and species names of birds;
- d) *Schildkröte, Krokodile, Brückenechsen* [Wermuth, H. and R. Mertens, 1996 (reprint), i-xxvi, 1-506, Gustav Fischer Verlag, Jena, ISBN 3-437-35048-X] for the names of crocodiles, turtles, tortoises and tuataras, and *A revised checklist with distribution maps of the turtles of the world* (Iverson, J.B., 1992: i-xiii, 1-363, privately printed, J.B. Iverson, Dept of Biology, Earlham College, Richmond, Indiana 47374, United States of America, ISBN 0-9617431-0-5) for the distribution of tortoises and turtles;
- e) *Herpetology* (Pough, F.H., R.M. Andrews, J.E. Cadle, M.L. Crump, A.H. Savitzky and K.D. Wells, 1998, i-xi, 1-577) for the delimitation of families within the Sauria;
- f) *Chamaeleonidae* (C.J.J. Klaver and W. Böhme, 1997. *Das Tierreich* 112: i-xv, 1-85; Walter de Gruyter, Berlin, New York, ISBN 3-11-015187-1) for the species names of all chameleons;
- g) *Reptiles del noroeste, nordeste y este de la Argentina* – Herpetofauna de las selvas subtropicales, puna y pampa, 1993 (Ceia, José M. In Monografía XIV, Museo Regionale di Scienze Naturali); *Lizards of Brazilian Amazonia* (Avila Pires, T.C.S., 1995, *Zool. Verh.* 299: 1-706, Nationaal Natuurhistorisch Museum, Leiden, ISBN 90-73239-40-0); *A new species of Tupinambis (Squamata: Teiidae) from Central Brazil, with an analysis of morphological and genetic variation in the genus* [Colli, G.R., A.K. Péres and H.J. da Cunha, 1998, *Herpetologica* 54 (4): 477-492]; and *A new species of Tupinambis Daudin, 1802 (Squamata, Teiidae) from Central Brazil* (Manzani, P.R. and A.S. Abe, 1997, *Boletim do Museu Nacional. Nov. Ser. Zool.* 382: 1-10) for the species names of the genus *Tupinambis*;
- h) *Snake Species of the World: A Taxonomic and Geographic Reference: Volume 1* (Campbell, McDiarmid and Touré, 1999) published under the auspices of the Herpetologists' League, for the nomenclature of snakes, except for the following cases: the following names for Malagasy boid snakes should continue to be used: *Acrantophis dumerilii* Jan, 1860, *Acrantophis madagascariensis* (Duméril & Bibron, 1844) and *Sanzinia madagascariensis* (Duméril & Bibron, 1844); in the genera, *Calabaria*, *Charina* and *Lichanura*, the following names shall continue to be used: *Calabaria reinhardtii* (Schlegel, 1848), *Charina bottae* (Blainville, 1935) and *Lichanura trivirgata* (Cope, 1861); and in the case of subspecies of *Python*

*molurus*, two subspecies are recognized, viz. *P. m. molurus* (Linnaeus, 1758) and *P. m. bivittatus* Kuhl, 1820;

- i) *Amphibian Species of the World: A Taxonomic and Geographic Reference* (D.R. Frost, 1985, Allen Press and The Association of Systematics Collections) and *Amphibian Species of the World: Additions and Corrections* (W.E. Duellman, 1993, University of Kansas) for amphibian nomenclature, and *A review of the genus Mantella (Anura, Ranidae, Mantellinae): taxonomy, distribution and conservation of Malagasy poison frogs*, [Vences, M., F. Glaw and W. Böhme, 1999; *Alytes* 17(1-2): 3-72] for the genus *Mantella*;
- j) *Catalog of Fishes*. (Eschmeier, W. N., 1998, Vol. 1. Introductory materials. Species of Fishes A-L: 1-958. Vol. 2. Species of Fishes M-Z: 959-1820. Vol. 3. Genera of Fishes. Species and genera in a classification. Literature cited. Appendices: 1821-2905. California Academy of Sciences, ISBN 0-940228-47-5) for the taxonomy and the names of all fishes;
- k) *The Plant-Book*, reprinted edition (D.J. Mabberley, 1990, Cambridge University Press) for the generic names of all CITES plants, unless they are superseded by standard checklists adopted by the Conference of the Parties as referenced below in paragraphs m) to q);
- l) *A Dictionary of Flowering Plants and Ferns*, 8th edition (J.C. Willis, revised by H.K. Airy Shaw, 1973, Cambridge University Press) for generic synonyms not mentioned in *The Plant-Book*, unless they are superseded by standard checklists adopted by the Conference of the Parties as referenced below in paragraphs m) to q);
- m) *A World List of Cycads* [D.W. Stevenson, R. Osborne and K.D. Hill, 1995; In: P. Vorster (Ed.), *Proceedings of the Third International Conference on Cycad Biology*, pp. 55-64, Cycad Society of South Africa, Stellenbosch] and its updates accepted by the Nomenclature Committee, as a guideline when making reference to names of species of Cycadaceae, Stangeriaceae and Zamiaceae;
- n) *The Bulb Checklist* (1999, compiled by the Royal Botanic Gardens, Kew, United Kingdom) and its updates accepted by the Nomenclature Committee, as a guideline when making reference to the names of species of *Cyclamen* (Primulaceae) and *Galanthus* and *Sternbergia* (Liliaceae);
- o) *The CITES Checklist of Succulent Euphorbia Taxa* (Euphorbiaceae) (1997, published by the German Federal Agency for Nature Conservation) and its updates accepted by the Nomenclature Committee, as a guideline when making reference to the names of species of succulent euphorbias;
- p) *CITES Cactaceae Checklist*, second edition, (1999, compiled by D. Hunt, Royal Botanic Gardens, Kew, United Kingdom) and its updates accepted by the Nomenclature Committee, as a guideline when making reference to names of species of Cactaceae; and
- q) *CITES Orchid Checklist*, (compiled by the Royal Botanic Gardens, Kew, United Kingdom) and the updates accepted by the Nomenclature Committee, as a guideline when making reference to the names of species of *Cattleya*, *Cypripedium*, *Laelia*, *Paphiopedilum*, *Phalaenopsis*, *Phragmipedium*, *Pleione* and *Sophranitis* (Volume 1, 1995) and *Cymbidium*, *Dendrobium*, *Disa*, *Dracula* and *Encyclia* (Volume 2, 1997);

URGES Parties to assign to their Scientific Authorities the principal responsibility for:

- a) interpretation of the listings;
- b) consultation with the CITES Nomenclature Committee as appropriate;
- c) identification of nomenclatural issues that may warrant further review by the appropriate CITES committee and preparation of proposals to amend the Appendices if appropriate; and
- d) supporting and cooperating in the development and maintenance of the checklists; and

REPEALS Resolution Conf. 10.22 (Harare, 1997) – Standard nomenclature.