

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



Seventeenth meeting of the Conference of the Parties
Johannesburg (South Africa), 24 September -5 October 2016

Interpretation and implementation matters

General compliance and enforcement

IMPLEMENTATION OF THE CONVENTION RELATING TO CAPTIVE-BRED AND RANCHED SPECIMENS

1. This document has been submitted by the Standing Committee.*
2. At its 16th meeting (CoP16, Bangkok, 2013), the Conference of the Parties adopted Decisions 16.63 to 16.66 on *Implementation of the Convention relating to captive-bred and ranched specimens*, as follows:

Directed to the Secretariat

16.63 *The Secretariat shall:*

- a) *contingent on the availability of external funds, contract an appropriate expert or experts to:*
 - i) *evaluate the concerns identified in the examples in document [SC62 Doc. 26](#), Annex regarding trade in specimens claimed to be derived from captive breeding or ranching;*
 - ii) *review CITES annual report data for specimens recorded using source codes C, D, F and R;*
 - iii) *identify problems with CITES implementation associated with these examples;*
 - iv) *consider ways to more effectively share available information on captive-breeding and ranching operations;*
 - v) *evaluate the utility of a captive-breeding database (including wider application of the existing UNEP-WCMC Captive-Breeding Database being developed for the European Union);*
 - vi) *prepare a report on its findings and recommendations, taking into consideration the report and recommendations of the working group on implementation of the Convention relating to captive-bred and ranched specimens presented at the 62nd meeting of the Standing Committee; and*
 - vii) *develop draft checklists or guides for the inspection of captive-breeding and ranching facilities and review of permit applications for captive-bred and ranched specimens;*

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

- b) *provide a draft of this report and additional materials to the Animals Committee at its 27th meeting, for review; and*
- c) *distribute final report and materials to the Parties if endorsed by the Animals and Standing Committees.*

16.64 *The Secretariat shall report at the 65th and 66th meetings of the Standing Committee on significant cases where it has taken initiatives or entered into a dialogue with Parties on trade in specimens declared as bred in captivity or ranched where there is serious doubt about the identified source of the specimens in trade.*

Directed to the Animals Committee

16.65 *The Animals Committee, at its 27th meeting, shall review the report and provide recommendations to the Standing Committee.*

Directed to the Standing Committee

16.66 *The Standing Committee, at its 65th meeting, shall:*

- a) *review the report and the recommendations of the Animals Committee and make its own recommendations to the Parties concerned and the Conference of the Parties; and*
- b) *consider proposing amendments to Resolution Conf. 12.8 (Rev. CoP13) or Resolution Conf. 14.3, or proposing a new resolution to provide a process for reviewing the implementation of CITES for specific examples of trade in specimens that are claimed to be produced via captive breeding or ranching.*

3. The Secretariat submitted to the Standing Committee, at its 66th meeting (SC66, Geneva, January 2016), the reports required under Decision 16.63 a), subparagraphs i) to vi), noting the following:
 - a) The report on the evaluation of the concerns identified in the examples on trade in specimens claimed to be derived from captive breeding or ranching, as referred to in Decision 16.63 a) i) and iii), was undertaken by TRAFFIC and can be found in Annex 1 to document [AC27 Doc. 17 \(Rev.1\)](#). In addition to the consultant's report, Annex 1 to the present document (i.e. [document SC66 Doc. 41.1](#)) contains details of subsequent actions by, and conclusions, of the Secretariat.
 - b) The report of the review of CITES annual report data for specimens recorded using source codes C, D, F and R, referred to in Decision 16.63 a) ii) and iii), was undertaken by the United Nations Environment Programme - World Conservation Monitoring Centre (UNEP-WCMC) and can be found in Annex 2 to document [AC27 Doc. 17 \(Rev.1\)](#).
 - c) The report considering ways to more effectively share available information on captive-breeding and ranching operations and evaluating of the utility of a captive-breeding database (including wider application of the existing UNEP-WCMC Captive-Breeding Database being developed for the European Union) referred to in Decision 16.63 a) iv) and v) was undertaken by Zoo & Wildlife Consulting Services and can be found in the Annex to document [AC28 Doc. 13.1](#).
 - d) The draft checklists or guides for the inspection of captive-breeding and ranching facilities and reviewing permit applications for captive-bred and ranched specimens referred to in Decision 16.63 a) vii) were prepared under contract by the International Union for Conservation of Nature (IUCN) and can be found in Annex 3 to the present document (i.e. [document SC66 Doc. 41.1](#))
4. As required by Decision 16.65, the Animals Committee provided its recommendations to the Standing Committee and they can be found in document [SC66 Doc. 41.2](#).
5. At SC66, as instructed by the Conference of the Parties in Decision 16.66, the Standing Committee reviewed the background studies, the Secretariat's report and the recommendations of the Animals Committee and considered the need to propose amendments to Resolution Conf. 12.8 (Rev. CoP13) or to consider adopting a new resolution to provide a process for reviewing the implementation of CITES for specific examples of trade in specimens that are claimed to be produced through captive breeding or ranching.

6. The Committee noted that more attention needed to be paid to the control of trade in specimens claimed to have been bred in captivity or ranched. Concerns were noted particularly about the confusing and challenging nature of the wording of current CITES Resolutions, about insufficient checks on the legal origin of the breeding stock used in captive breeding facilities and about the establishment of captive breeding facilities outside the country of origin of the specimens and species concerned.
7. The Committee also examined two capacity-building tools commissioned by the Secretariat:
 - one on the appropriate use of source codes, produced in compliance with Decision 15.52; and
 - the other on inspection of captive-breeding and ranching facilities and review of permit applications for captive-bred and ranched specimens under Decision 16.63 a) vii).
8. Speakers during the Standing Committee discussion of these documents broadly welcomed the resulting *Guidance for inspection of captive-breeding and ranching facilities* and *Guidance for use of CITES source codes* and agreed to provide written comments on drafts of these documents in order for the Secretariat to take them into account in the finalizing the documents.
9. In the light of the concerns expressed in paragraph 6 of the present document and the work detailed in paragraph 8, the Standing Committee agreed to recommend that the Conference of the Parties adopt four draft decisions and a draft resolution on this subject. The text of the draft decisions can be found in Annex 1 of the present document and the text of the draft resolution in Annex 2. In accordance with Resolution Conf. 4.6 (Rev. CoP16), the Standing Committee asked the Secretariat to estimate resource implications of these proposals for the Standing Committee, Animals Committee and the Secretariat, in order that they be fully considered at the present meeting.
10. The Standing Committee invites the Conference of the Parties to adopt the draft decisions in Annex 1 and the draft resolution in Annex 2 of the present document.

COMMENTS OF THE SECRETARIAT

- A. The Secretariat shares the concern of the Standing Committee about the need for more attention to be paid to the implementation of the Convention for specimens declared to be of sources: R [ranch], D [animals bred in captivity for commercial purposes in operations included in the Secretariat's Register in accordance with Resolution Conf. 12.10 (Rev. CoP15)], C [bred in captivity] and F [born in captivity] – as per Resolution Conf. 12.3 (Rev. CoP16) on Permits and certificates.
- B. The Secretariat observes that the source code D also applies to plants and that similar concerns may apply to the use of the source code A [plants that are artificially propagated in accordance with Resolution Conf. 11.11 (Rev. CoP15), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5 (specimens of species included in Appendix I that have been propagated artificially for non-commercial purposes and specimens of species included in Appendices II and III)] which is mentioned in draft Decision 1 in Annex 1 of the present document, but not in the draft Resolution in Annex 2.
- C. The Secretariat recommends that the Conference of the Parties adopted the draft Decisions contained in Annex 1 of the present document.
- D. Concerning the draft Resolution in Annex 2 of the present document, the Secretariat makes the following suggestions for amendment:
- D1. The terms “country/countries” and “Party/Parties” are used inconsistently. The Secretariat suggests that the term Party/Parties should be used throughout as this is a compliance matter.
- D2. In paragraph a) of the first DIRECTS, delete the words “Within 90 days after each regular meeting of the Conference of the Parties to the Convention” as this would serve only to limit the amount of up-to-date information that the Animals Committee can consider at its first regular meeting after the CoP.
- D3. In paragraph c) of the first DIRECTS, add the words “for which it should draft general or specific questions and a brief explanation of the selection, to be addressed by the Secretariat to the Parties concerned in accordance with Stage 2, paragraph e). The Animals Committee will determine for which species the short reviews provided for in Stage 2, paragraph f) are required.” after the words “species-country combinations for review”, in order to provide the information required for paragraph e) and enact paragraph f) as required..
- D4. In paragraph e) of the first DIRECTS, insert the words “provided by the Animals Committee“ after the words “and an explanation for the selection”, as the Secretariat cannot speak on behalf of the Animals Committee.
- D5. In paragraphs h) of the first DIRECTS, replace the words “if appropriate” with “where appropriate” to avoid suggesting that the recommendations of the Animals Committee are not appropriate.
- D6. In paragraph h) of the first DIRECTS, after the words “transparent and” add the words “and aimed at ensuring long-term compliance.” to align the objectives with a key principle in Resolution Conf. 14.3.
- D7. After paragraph i) in the first DIRECTS, it seems that a paragraph explaining the consequent actions of the Standing Committee is required. The Secretariat proposes:
- “i) bis The Standing Committee shall review the draft recommendations and supporting information from the Animals Committee and prepare any required recommendations for the country or countries concerned.”
- D8. In paragraph j) of the first DIRECTS, replace the words “the combined recommendations of the Standing Committee and Animals Committee” with “the recommendations of the Standing Committee”. Having two different sets of recommendations would appear to add an unnecessary level of complexity and the draft Resolution already requires any proposed recommendations from the Animals Committee to be endorsed by the Standing Committee.
- D9. In the chapeau of paragraph k) of the first DIRECTS delete the words “and members of”. Obtaining a collective decision from the 30 members of the Standing and Animals Committees would be a complex and time consuming exercise.

D10.Regarding sub-paragraph k) iii) of the first DIRECTS and the last sentence of paragraph l), this would appear to add an unnecessary level of complexity to the process. The Secretariat believes that the Standing Committee would already have a mandate to make any such adjustments required and that this sub-paragraph and sentence should be deleted.

D11.Paragraph m) of the first DIRECTS would appear to duplicate sub-paragraph k) ii) and should be deleted.

D12.In paragraph o) of the first DIRECTS, delete the words “in consultation with the Chair and members of the Animals Committee”. Aside from the logistical considerations, such a judgement would appear to be within the purview of the Standing Committee in accordance with Resolution Conf. 14.3.

D13.In the last paragraph of the first DIRECTS, it would be best to delete the words “Stage 5” as what follows are separate requirements which are not part of the “procedure” described in the first DIRECTS.

D14.In paragraph a) of the second DIRECTS, delete the words “and Animals Committee” to bring the text in line with recommendation D7 above.

E. The Secretariat recommends that Decisions 15.52 and 15.53 and 16.63 to 16.66 should be deleted as they have now been implemented.

F. Budgetary and workload implications for the Secretariat or permanent committees

As requested by the Standing Committee, the Secretariat estimates these as follows:

Decisions 1 and 2 in Annex 1

This is a complicated matter and although the Secretariat believes that writing of the report itself can be accommodated within the existing Trust Fund budget, background research will need to be commissioned at an estimated cost of USD 30,000. The consideration of the report should not prove a significant addition burden to the work of the Standing Committee

Decisions 3 in Annex 1

This will require significant inter-sessional work by the Animals Committee and time during its meetings. The Committee should be able to utilize the experience of its members and observers based in Scientific Authorities, some background research is likely to be needed at an estimated cost of USD 30,000.

Decision 4 in Annex 1

The Secretariat has received a generous contribution from the European Union to support this work and other activities related to the implementation of Decision 16.63. However, further capacity-building activities would be desirable and the Secretariat suggests that USD 100,000 would enable additional training workshops to be held in key Parties and regions in order to promulgate the materials prepared under Decisions 16.63 a) vii) and 15.52 a).

Draft Resolution in Annex 2

There will be start-up costs of developing and testing the filters for paragraph a) of the first DIRECTS, but thereafter these will level out:

Table 1. Budget (USD)

	Post CoP17	Post CoP18	Post CoP19
Develop and test methodologies	26,500		
Refine methods	5,000	6,000	
Produce AC document	47,000	49,000	51,500
Total	78,500	55,000	51,500

If analyses are required under the paragraph d) ii) of the first DIRECTS), then some further expense might be expected, but this could take advantage of the methodology already developed.

The cost of reviews of information relating to the breeding biology and captive husbandry and any impacts, if relevant, of removal of founder stock from the wild for the selected species (first DIRECTS paragraph f) are not possible to calculate without knowing how large the “limited number of species-country combinations for review” mentioned in paragraph c) of the first DIRECTS is, and in how many of these cases the Animals Committee requests the Secretariat to compile such reviews.

Concerning the periodic evaluation of the outcomes of the proposed review of trade in animal specimens reported as produced in captivity by, for example, examining a sample of past species-country combinations to assess whether the desired result was achieved. (fourth DIRECTS) – experience from the Review of Significant Trade suggests that this can only be undertaken under commission and would be much more effective if it involved site visits to some of the key Parties. The costs of such review is estimated at USD 100,000 for each inter sessional period

The tasks allocated to the Secretariat in paragraphs b), c), d), e), f), h), i), j), k), l), n), o) and p) in the first DIRECTS and in the second, third and fourth DIRECTS, represent a very substantial amount of work which cannot be accommodated within the existing staffing resources. Judging by experiences from the comparable Review of Significant Trade, it is estimated that the work will require the equivalent of approximately 25% of one G-staff member and 25% of one P-staff member. Proper implementation of the draft Resolution would be greatly facilitated by the creation of a database to keep track of the execution of the compliance process envisaged. The likely cost of establishing such a database will be in the order of USD 30,000 with maintenance costs of USD 5,000 per year thereafter.

The Secretariat believes that with appropriate preparation work undertaken by the Secretariat, the duties assigned to Animals and Standing Committees in the proposed Resolution can be accommodated within existing arrangements for these Committees.

The Secretariat believes that an important compliance process such as this should be funded from core funds and not be dependent on external funding, which may, or may not, be available on a timely basis. The proposed draft resolution is very ambitious and would involve the analysis of a very large amount of data and cases. One option which could render the exercise more manageable would be to limit it in the first instance to Appendix I species – which by definition are the most vulnerable CITES-listed species. The process could be expanded to Appendix II and III species at a later stage in the light of experience.

Examination of trade statistics shows that in the five most recent years (2010-2014), 514,304 direct shipments (i.e. not including re-exports) of Appendix I, II and III specimens with source codes C, D, F and R would need to be analysed. However, less than a quarter of these (125,004) concern shipments of specimens of Appendix I species. So even though methodological start-up costs would be relatively high, savings could be expected from limiting the initial focus to Appendix I species.

At the time of writing, the Secretariat is not aware of a donor prepared to fund these activities.

The Secretariat believes that the Conference of the Parties should approve the draft resolution only if it is confident that the resources are available to implement it to a satisfactory standard.

DRAFT DECISIONS OF THE CONFERENCE OF THE PARTIES ON IMPLEMENTATION OF THE
CONVENTION RELATING TO CAPTIVE-BRED AND RANCHED SPECIMENS

1. Directed to the Secretariat

The Secretariat shall review ambiguities and inconsistencies in the application of Article VII paragraphs 4 and 5, Resolution Conf. 10.16 (Rev.), Resolution Conf. 12.10 (Rev. CoP15), Resolution Conf. 11.11 (Rev. CoP15), Resolution Conf. 9.19 (Rev. CoP15) and Resolution Conf. 12.3 (Rev. CoP16) as it relates to the use of source codes R, F, D, A and C, including the underlying CITES policy assumptions and differing national interpretations that may have contributed to uneven application of these provisions, as well as the captive breeding issues presented in document SC66 Doc. 17, submit the review to Parties and stakeholders for comments through a notification, and submit its conclusions and recommendations along with the comments of Parties and stakeholders to the Standing Committee.

2. Directed to the Standing Committee

The Standing Committee shall review the conclusions and recommendations of the Secretariat under Decision 17.XX and make recommendations to the Conference of the Parties as appropriate.

3. Directed to the Animals Committee

The Animals Committee shall review the differences in the nature of non-detriment findings made for specimens with source code W, R and F and provide guidance for Parties, to be sent to the Secretariat for inclusion in the section for non-detriment findings on the CITES website referred to in Resolution Conf. 16.7.

4. Directed to the Secretariat

The Secretariat shall, subject to external funding, engage in a capacity-building project using materials prepared under Decisions 16.63 a) vii) and 15.52 a). This project should involve all regions and a variety of taxa. The Secretariat shall report to the Standing Committee on the work undertaken under the present Decision.

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES RELATING TO A REVIEW OF TRADE IN ANIMAL SPECIMENS REPORTED AS PRODUCED IN CAPTIVITY

REVIEW OF TRADE IN ANIMAL SPECIMENS REPORTED AS PRODUCED IN CAPTIVITY

CONSIDERING that the Convention provides, in Article VII, paragraphs 4 and 5, for special treatment of animal specimens that are bred in captivity as defined in Res. Conf. 10.16 (Rev);

NOTING that, in accordance with Article VII, paragraph 4, animal specimens of Appendix-I species bred in captivity for commercial purposes shall be deemed to be specimens of species included in Appendix II and that therefore they shall be traded in accordance with the provisions of Article IV;

NOTING that, in accordance with Article VII, paragraph 5, the certification from the Management Authority of the State of export that it is satisfied that the specimen of an animal species was bred in captivity or is part of such an animal or was derived therefrom shall be accepted in lieu of any of the permits or certificates required under the provisions of Article III, IV or V;

RECOGNISING that specimens in trade are derived from a variety of captive production systems, which are attributed to different source codes as defined by Res. Conf. 12.3 (Rev. CoP16);

RECOGNISING that captive breeding, and other captive production systems, can have a number of benefits compared with direct harvests from the wild;

CONCERNED that the incorrect application of source codes and/or misuse or false declaration of source codes can reduce or negate such benefits where they exist, have negative implications for conservation and undermine the purpose and effective implementation of the Convention;

FURTHER CONCERNED that in addition to inadvertent misuse of source codes, there is growing evidence of cases of illegal trade in wild-caught specimens of CITES-listed species, through fraudulent claims that wild-caught specimens are captive bred;

FURTHER CONCERNED that in some cases there are doubts as to the legal origin of the parental stocks of captive bred specimens including specimens that are bred outside their natural range;

ACKNOWLEDGING that the intent of the Review Of Trade In Animal Specimens Reported As Produced In Captivity is to ensure that such trade is conducted in accordance with provisions of the Convention and to identify remedial actions where needed to ensure trade is not detrimental to the survival of wild species and to advance the purpose and effective implementation of the Convention;

EXPECTING that the implementation of recommendations and actions resulting from the Review Of Trade In Animal Specimens Reported As Produced In Captivity will improve the capacity of the Parties to properly assess that specimens are genuinely produced by the captive production system claimed;

AFFIRMING that the Review of Trade in Animal Specimens Reported as Produced in Captivity should be transparent, timely and simple;

NOTING the Guide to CITES compliance procedures found in Resolution Conf. 14.3 (CITES compliance procedures);

NOTING further that there are existing mechanisms to address urgent issues of non-compliance with the Convention, including Article XIII and Resolution Conf. 11.3 (Compliance and enforcement), and that this resolution complements these existing mechanisms;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

DIRECTS the Animals and Standing Committees, in cooperation with the Secretariat, relevant experts and in consultation with Parties, to review biological, trade and other relevant information regarding animal species

subject to significant levels of trade using source codes C, D, F or R, to identify problems associated with the implementation of the Convention and to develop solutions in accordance with the following procedure.

Stage 1 – Identification of species-country combinations for review

- a) Within 90 days after each regular meeting of the Conference of the Parties to the Convention, subject to the availability of funds, the Secretariat shall produce a summary from the CITES Trade Database of annual report statistics of species traded, derived from the five most recent years, under source codes C, D, F or R and will undertake, or appoint consultants to undertake, an analysis of such data to identify species-country combinations for review using the following criteria:
 - i) significant increases in trade in specimens declared as captive-produced (source codes C, D, F and R);
 - ii) trade in significant numbers of specimens declared as produced in captivity;
 - iii) shifts and fluctuations between different captive-production source codes;
 - iv) inconsistencies between source codes reported by exporting and importing Parties for specimens declared as produced in captivity;
 - v) apparent incorrect application of captive production codes such as: 'A' for animal species or 'D' for Appendix-I species that have not been registered in compliance with the provisions of Res. Conf. 12.10 (Rev. CoP15);
 - vi) trade from non-range States of specimens produced in captivity with no evidence of lawful acquisition of parental breeding stock (i.e., no recorded imports).
- b) The Secretariat shall also compile any other relevant information made available to it, with respect to concerns about captive production, including any cases identified from the Review of Significant Trade under Res. Conf. 12.10, referred to it by Parties or available in relevant reports.
- c) The Secretariat shall provide the outcome of the analyses in a) and a compilation of information from b) to the first regular meeting of the Animals Committee following a meeting of the Conference of the Parties. The Animals Committee may select a limited number of species-country combinations for review; urgent enforcement matters identified at this stage should be referred to the Secretariat and the Party concerned and subsequently reported to the Standing Committee.
- d) In exceptional cases, outside steps a)-c) above, and where new information provided to the Secretariat indicates that urgent action may be needed concerning problems relating to the implementation of provisions under the Convention for captive production of specimens, the Secretariat:
 - i) shall verify that the proponent has provided a justification for the exceptional case, including supporting information;
 - ii) shall produce a summary and analysis of trade from the CITES Trade Database in relation to the species-country combination; and
 - iii) provide the information from i) and ii) above, as soon as possible to the Animals Committee or Standing Committee, as appropriate, for their inter-sessional review and decision on whether to include the species-country combination in the next stage of the review process.

Stage 2 – Consultation with countries and compilation of information

- e) The Secretariat shall, within 30 days after the relevant meeting of the Animals Committee, notify the country or countries concerned that species produced in captivity in their country have been selected for review, and provide them with an overview of the review process and an explanation for the selection. The Secretariat shall ask the country or countries to provide information, within 60 days, in response to general or specific questions, developed by the Animals Committee, to determine if the correct source codes have been used, under the applicable Resolutions, for specimens claimed to be produced in captivity.

- f) The Secretariat shall also commission, if requested by the Animals Committee, a short review of the species concerned, in consultation with relevant countries and specialists, to compile and summarise known information relating to the breeding biology and captive husbandry and any impacts, if relevant, of removal of founder stock from the wild.

Stage 3 – Review and recommendation by the Animals and Standing Committee

- g) The Animals Committee shall, at their second meeting following a regular meeting of the Conference of the Parties, review the responses from Parties, any review commissioned by the Secretariat and any additional relevant information, and determine if trade is in compliance with Article III and Article IV of the Convention, as well as Article VII, paragraphs 4 and 5. If trade is in compliance, the species-country combination will be excluded from the review and the Secretariat will inform the country or countries of this outcome within 60 days.
- h) Where a species-country combination is retained within the review and the Animals Committee identifies concerns appropriately within its remit, the Animals Committee shall, in consultation with the Secretariat, formulate draft recommendations directed to the relevant Party which are time-bound, feasible, measurable, proportionate, transparent and which, if appropriate, aim to promote capacity building and enhance the ability of the country to implement relevant provisions of the Convention.

The Secretariat shall transmit these draft recommendations and supporting information, from the Animals Committee to the next meeting of the Standing Committee for their review, revision if necessary, and endorsement;

- i) Where a species-country combination is retained within the review and the Animals Committee identifies concerns that are more appropriately considered by the Standing Committee, the Secretariat shall refer the issue to the next meeting of the Standing Committee, including any observations from the Animals Committee.
- j) The Secretariat shall, within 30 days of the meeting of the Standing Committee in h) and j), transmit the combined recommendations of the Standing and Animals Committees to the country or countries concerned and also provide the country or countries with relevant guidance, such as on the correct application of source codes, and means by which their capacity to deal with captive production issues might be enhanced.

Stage 4: Measures to be taken regarding the implementation of recommendations

- k) The Secretariat shall monitor progress against the recommendations, taking account of the different deadlines, and, following consultation with the Chairs and members of the Standing and Animals Committees, determine whether the recommendations referred to above have been implemented;
 - i) where the recommendations have been met, the Secretariat shall, following consultation with the Chair of the Standing Committee, notify the Parties that the species-country combination was removed from the review process; or
 - ii) when the recommendations are not deemed to have been met (and no new information is provided), the Secretariat shall, in consultation with the Chairs and members of the Standing and Animals Committees, recommend to the Standing Committee appropriate action, which may include, as a last resort, a recommendation to suspend trade in the affected species with that State ; or
 - iii) where the recommendations are not deemed to have been met or have been partially met, and there is new information suggesting the recommendation may require updating, the Secretariat shall request the Chair and members of the Standing and Animals Committees to prepare a revised recommendation, keeping in mind the principles that recommendations should be time-bound, feasible, measurable, proportionate, transparent, and should promote capacity building. The Secretariat shall provide the revised recommendation to the countries within 30 days of its drafting.
- l) The Secretariat shall report to the Standing Committee on its evaluation of the implementation of the recommendations, including the rationale for its evaluation, and a summary of the views expressed by the Animals Committee. The Secretariat shall additionally report on any further actions taken by the Animals Committee in the case of countries where new information has resulted in revised recommendations;

- m) For countries where recommendations are not deemed to have been met, the Standing Committee shall decide on appropriate actions and make recommendations to the country or countries concerned, keeping in mind that these recommendations should be time-bound, feasible, measurable, proportionate, transparent, and should, if appropriate, promote capacity building. In exceptional circumstances, where the country under consideration provides new information on the implementation of the recommendations to the Standing Committee, the Standing Committee shall consult intersessionally with the Animals Committee through the Chair prior to making a decision on appropriate action;
- n) The Secretariat shall notify the Parties of any recommendations or actions taken by the Standing Committee;
- o) Any recommendation by the Standing Committee to suspend trade in the affected species with the country concerned should be withdrawn only when that country demonstrates to the satisfaction of the Standing Committee, through the Secretariat, in consultation with the Chair and members of the Animals Committee, compliance with the provisions of the Convention with respect to the captive production of specimens; and
- p) The Standing Committee, in consultation with the Secretariat and the Chair of the Animals Committee, shall, where appropriate, review recommendations to suspend trade that have been in place for longer than two years, consult with the relevant country, evaluate the reasons why this is the case, and, if appropriate, take measures to address the situation.

Stage 5: Regarding capacity building, monitoring, reporting, and evaluating the review process

DIRECTS the Secretariat, for the purpose of monitoring and facilitating the implementation of this Resolution and the relevant provisions of the Convention:

- a) To report at each meeting of the Standing and Animals Committee on the implementation, by the countries concerned, of the recommendations made by the Standing and Animals Committee; and
- b) To maintain a record of species-country combinations that are included in the review process set out in this Resolution, including a record of progress with implementation of recommendations;

DIRECTS the Secretariat to include training on this review process of specimens produced through captive production as part of its capacity-building activities related to the implementation of the Convention;

DIRECTS the Standing and Animals Committees, in consultation with the Secretariat, to periodically evaluate the outcomes of this Review by, for example, examining a sample of past species-country combinations to assess whether the desired result was achieved. Based on these evaluations, the Standing and Animals Committees should propose revisions to the review process as necessary. In these periodic evaluations, feedback should be sought from countries that have been through the review process.