

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

EVALUATION OF THE REVIEW OF SIGNIFICANT TRADE

1. This document has been submitted by the Chairs of the Animals and Plants Committees.*
2. In Decision 13.67 (Rev. CoP14), the Conference of the Parties adopted the *Terms of References for an evaluation of the Review of Significant Trade* which can be found in Annex 2 to the Decisions of the Conference of the Parties in effect after its 16th meeting (CoP16, Bangkok, 2013).
3. The terms of reference give the responsibility for overseeing the evaluation to the Animals and Plants Committees, with the help of an advisory working group comprising Committee members, Parties, the Secretariat and invited experts. The Animals and Plants Committees are also required to submit the final report and recommendations for consideration by the Conference of the Parties. The Secretariat is responsible for administering the evaluation and for reporting regularly on progress to the Committees.

Activities of the Advisory Working Group

4. The Advisory Working Group (AWG) first met 24-28 June 2012 at the International Academy for Nature Conservation on the Isle of Vilm, Germany. The AWG acknowledges with gratitude the generous hospitality of Germany in supporting this important meeting. The results and recommendations from the Vilm meeting were reported to the 27th meeting of the Animals Committee and 21st meeting of the Plants Committee (AC27/PC21 Doc. 12.1) and to the 65th meeting of the Standing Committee.
5. The Vilm meeting, *inter alia*, recommended that: the transparency of the review process should be improved and the review process should be shortened and streamlined; stricter criteria for species selection should be established; consultants should be appointed earlier and that they should provide preliminary categorisations; the initial letter from the Secretariat should be more informative and include a short questionnaire; communication and consultation with the range State should be a priority; a menu of standardised recommendations should be produced; each review case should have an explicit end point; there should be greater transparency in determining whether recommendations have been met; where recommendations remain partially fulfilled a mechanism should be put in place to allow feedback from the Scientific Committees on appropriate action; and a regular review should be carried out by the Scientific Committee to assess if any adjustments are required to enhance the process.
6. The AWG met again from 27 April to 1 May 2015 at the National Conservation Training Centre (NCTC), Shepherdstown, West Virginia, United States. The AWG extends its sincere gratitude to the United States Fish and Wildlife Service for graciously offering to host the meeting.

* *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.*

7. The goal of the Shepherdstown meeting of the AWG was to revise Resolution Conf. 12.8 (Rev. CoP13) on *Review of Significant Trade in specimens of Appendix-II species*, based on the recommendations received and including new supporting annexes. Additionally, the AWG aimed to review progress and provide recommendations on all aspects of the terms of reference for the evaluation of the Review of Significant Trade.
8. To accomplish this goal in a timely fashion, the AWG first reviewed the work undertaken to date and concentrated their efforts on the four key elements of the proposed revised Resolution, specifically: 1) the criteria for the selection of species/country combinations to review; 2) the initial letter to range States soliciting information for the review; 3) the standardization of recommendations; and 4) a streamlined and more transparent process from selection of species/countries through to recommendations.
9. The AWG also reviewed its progress against the terms of reference for the evaluation of the Review of Significant Trade as contained in Decision 13.67 (Rev. CoP14). In doing so, the AWG placed significant emphasis on the importance of capacity building and provided some additional recommendations on this and other associated issues such as regional cooperation and the role of country-wide reviews.
10. The AWG presented their conclusions to the 28th meeting of the Animals Committee and the 22nd meeting of the Plants Committee. The Committees were broadly supportive of the results of the AWG and congratulated them on the progress made. The Committees provided some comments and editorial suggestions to improve the results of the AWG's deliberations for submission to the 17th meeting of the Conference of the Parties (see documents AC28 Sum. 4 (Rev. 1) and PC22 Sum. 1 respectively). The Committees also presented their conclusions to the 66th meeting of the Standing Committee.

Regarding the criteria for the selection of species

11. As recommended during the Vilm meeting of the AWG, UNEP-WCMC undertook a test of its proposed analysis methodology for the selection of species and reported on the results to the Shepherdstown meeting of the AWG. During their discussion of the UNEP-WCMC report, the AWG determined that the summary output as well as the results of an extended analysis would be useful in guiding the selection of species/country combinations for review. The AWG also outlined additional contextual information that should accompany the UNEP-WCMC outputs to assist the Scientific Committees in their decision-making. This guidance was agreed by the Animals and Plants Committees and is reflected in the proposed revisions to Resolution Conf. 12.8 (Rev. CoP13) on *Review of Significant Trade in specimens of Appendix-II species* (Annex 1 of this document).
12. The Scientific Committees further recommended the analysis and outputs requested from UNEP-WCMC include only specimens from wild, ranched, unknown and blank (unreported) sources. The Committees considered the concerns regarding captive bred specimens that do not meet the definition of captive bred under Resolution Conf. 10.16 (Rev.) (source code F) but felt that any evaluation of trade in captive bred specimens (including those of source code F) or artificially propagated plants (source code A) should be discussed elsewhere.

Regarding the initial letter to range States

13. The Committees discussed the importance of having timely detailed information from range States early in the process and discussed improvements to the initial letter to selected range States to facilitate receiving this information. The Committees thus propose that the initial letter sent by the CITES Secretariat to the selected range States should contain the following information (see Annex 3 of this document):
 - a clear and simple explanation of the Review of Significant Trade process
 - detailed information on why the species/range State was selected
 - the consequences of not responding to the request for information
 - simple guidance on how to respond, and
 - an indication that the responses will be made publicly available.
14. In addition, the Committees propose that the annexes to the initial letter to range States can include: relevant trade data; links to relevant resolutions; a user-friendly guide to the Review of Significant Trade

process (once developed, see Annex 2 of this document); and, as appropriate, information provided by the range State during previous reviews.

Regarding the standardization of recommendations

15. Following on the recommendations from the Vilm meeting, the Committees developed guidance to support their making of recommendations to range States retained in the Review of Significant Trade process. In doing so, the Committees emphasized the need to have time-bound, feasible, measurable and transparent recommendations that are proportionate to the perceived conservation risk and that promote capacity building (Annex 1 and 5 of this document).
16. During the discussion of standard recommendations, the Committees also suggested a “final recommendation” be developed such that selected range States can report on the new basis for their non-detriment findings and how the actions taken will address concerns identified during the Review of Significant Trade process. This final recommendation is aimed at assisting the evaluation of whether the making of non-detriment findings has improved as a result of the Review of Significant Trade process.

Regarding the updated Resolution

17. At their Shepherdstown meeting, the AWG prepared significant revisions to Resolution Conf. 12.8 (Rev. CoP13) on *Review of Significant Trade in specimens of Appendix-II species* to reflect their discussions on selection of species for review, guidance for making recommendations as well as the streamlined timeline and other recommendations from the Vilm meeting. The Animals and Plants Committees agreed the revisions for presentation to the 17th meeting of the Conference of the Parties. Annex 1 of this report contains the proposed revised Resolution Conf. 12.8 (Rev. CoP13) on *Review of Significant Trade in specimens of Appendix-II species* including the new Annexes A, B and C.
18. Following the 28th and 22nd meetings of the Animals and Plants Committees respectively, the AWG drew the Committees’ attention to an oversight in the drafting of the updated Resolution. The proposal to direct range States to seek agreement of the Secretariat and Committees prior to changing a zero export quota that was the basis for elimination from the review process was inadvertently removed in the course of editing the proposed revised Resolution. As such, the Animals and Plants Committee discussed this issue electronically, and as a result propose a further modification to the Resolution as outlined in the Recommendations found in paragraph 34.

Regarding progress against the terms of reference for the evaluation

19. The Scientific Committees noted that the terms of reference for the evaluation of the Review of Significant Trade included an assessment of the Review, the preparation of case studies to inform the evaluation and an analysis of the effectiveness of the Review of Significant Trade.
20. Regarding the assessment of the existing review process, the Committees shared their experiences and evaluated the various steps of the current review process in order to recommend modifications to Resolution Conf. 12.8 (Rev. CoP13) on *Review of Significant Trade in specimens of Appendix-II species* (Annex 1 of this report). In doing so, the Committees noted the difficulty in assessing:
 - the support provided to range States (outside of that identified in the case studies);
 - the ongoing process to monitor and review of the implementation of recommendations; and
 - the impacts of the process on other aspects of CITES implementation.
21. A series of case studies was prepared by a consultant (see document AC26/PC20 Doc.7) and a presentation was made to the AWG at the Vilm meeting (24-28 June 2012). The case studies were greatly appreciated in informing the initial recommendations made by the AWG.
22. Finally, the Committees noted that the most difficult element of the terms of reference was to assess the effectiveness, including the costs and benefits, of the Review of Significant Trade thus far. The Committees noted that the case studies referenced above provided some evaluation of the effectiveness of the review, and the proposed revisions to the Review of Significant Trade process were recommended to address some of the issues raised in the case studies and thus contribute to the effectiveness of the review process.

23. The Committees also felt that a regular audit of the outcomes of the Review of Significant Trade would support the ongoing monitoring of the effectiveness of this process. They thus proposed a revision to Resolution Conf. 12.8 (Rev. CoP13) on *Review of Significant Trade in specimens of Appendix-II species* (Annex 1 of this document) to direct the Animals and Plants Committee to undertake a regular review of the process.
24. In addition, the Committees felt strongly that a database that tracks the progress of species/country combinations through the Review of Significant Trade process is an essential tool for the Scientific Committees and Parties, to improve both the effectiveness and transparency of the Review of Significant Trade, and thus propose that the Conference of the Parties adopts a decision to establish a Review of Significant Trade Tracking and Management database (Annex 2 of this report).
25. The Committees also propose that a “final recommendation” be included in the process to assist the review of the process. However, while the Secretariat can be directed to provide information on the resources expended in past Reviews of Significant Trade, a full cost/benefit analysis of this investment as proposed in the terms of reference, in comparison to investment in other CITES activities, would require complex analysis and would fundamentally be based on individual judgement.

Regarding capacity building and other recommendations

26. The Committees strongly felt the Review of Significant Trade process should not be a “one-off” process but rather leave a lasting legacy that the range State can build upon and use to find further sources of support for their non-detriment findings.
27. Throughout their discussions, the Committees repeatedly noted the importance of clear communication of the process to help ensure positive outcomes. The Committee further recommended training tools be developed that describe the goal of the Review of Significant Trade process, and that these tools be used during ongoing non-detriment finding capacity building. The training tools should take the form of a simple guide and a more comprehensive training module that can be used by the Secretariat and Parties in their routine training. The Committees thus propose two decisions be submitted to the Conference of the Parties which direct the Secretariat to create two distinct education tools supporting the Review of Significant Trade (Annex 2 of this report).
28. The Committees discussed the role of a country-wide review. They noted that, while such a review is a large task, there are benefits to this approach for range States that re-occur within the Review of Significant Trade for multiple species. In undertaking a country-wide review, it was remarked that a project approach with clear deliverables and realistic expectations is necessary. The Committees did not have sufficient time to consider an approach to country-wide reviews of significant trade. Thus the Committees propose a decision to the Conference of the Parties to explore the benefits and disadvantages of country-wide Reviews of Significant Trade (Annex 2 of this report).

Conclusions

29. The recommendations in this document represent the conclusions of the evaluation of the Review of Significant Trade which began in earnest with the Vilm meeting of June 2012. The AWG, under the oversight of the Animals and Plants Committee, worked carefully and deliberately to make recommendations that aimed to improve and streamline the review process for the benefit of CITES Parties and, ultimately, for the conservation and sustainable use of species.
30. As a result of their deliberations, the Animals and Plants Committee are submitting revisions to Resolution Conf. 12.8 (Rev. CoP13) on Review of Significant Trade in specimens of Appendix-II species (including three new Annexes to the Resolution) for adoption by the Conference of the Parties (Annex 1 of this document).
31. Further, to ensure the review process is well supported, the Animals and Plants Committees are submitting four Decisions for adoption by the Conference of the Parties (Annex 2 of this document).
32. To improve the transparency of the review process, the Animals and Plants Committee provided detailed guidance to the Secretariat regarding their initial letter to selected Range States during their 28th and 22nd meetings respectively (Annex 3 and Annex 4 of this document). This guidance was intended to better inform selected countries of the Review of Significant Trade process and to help streamline the implementation of the process.

33. In response to a need for a standard to guide the formulation of recommendations that are time-bound, feasible, measurable, transparent, proportionate and promote capacity-building, the Animals and Plants Committee developed *Guidance on Formulating Recommendations under the Review of Significant Trade* to be provided to each meeting of the Animals and Plants Committee where recommendations are being developed (Annex 5 of this document).
34. Noting the unintentional exclusion of guidance on changes to zero-quotas established in response to the Review of Significant Trade, the Animals and Plants Committee propose a further modification to Resolution Conf. 12.8 (Rev.CoP13) as follows:

In *Stage 3: Categorization and Recommendations by the Animals or Plants Committee*, paragraph g) i) to read as follows (new addition identified in underline text):

- i) species/country combinations determined by the Animals or Plants Committee to be of less concern shall be removed from the review process and the Secretariat shall notify the range States accordingly within 30 days. Note, in cases where the species/country combination is of less concern due to the establishment of a zero export quota, any change to this quota should be communicated by the range State to the Secretariat and the Chair of the relevant Committee along with a justification;

In *Stage 4: Measures to be taken regarding the implementation of Recommendations*, paragraph k) i) to read as follows (new addition identified in underline text):

- i) where the recommendations have been met, the Secretariat shall, following consultation with the Chairman of the Standing Committee, notify the range States concerned that the species/country combination was removed from the review process and include the rationale for its evaluation, noting where relevant, specific commitments made by the range States in question and, in the case where a species/country combination was removed from the review process on the basis of establishing an interim precautionary export quota (including a zero export quota) in the place of implementing the recommendations, any change to this quota should be communicated to the Secretariat and Chair of the relevant Committee along with a justification, for their agreement; or

35. This report represents the conclusion of the activities directed under Decision 13.67 (Rev. CoP14).

Recommendations

36. The Conference of the Parties is invited to:
- adopt the revisions to Resolution Conf. 12.8 (Rev. CoP13) on *Review of Significant Trade in specimens of Appendix-II species* as agreed at the 28th meeting of the Animals Committee and 22nd meeting of the Plants Committee and found in Annex 1 of this report;
 - adopt the further revisions to Resolution Conf. 12.8 (Rev. CoP13) found in paragraph 34 above;
 - adopt the four decisions found in Annex 2 of this report; and
 - delete Decision 13.67 (Rev. CoP14).
37. The Conference of the Parties is further invited to endorse the guidance to the Secretariat and to the Animals and Plants Committees found in Annex 3, Annex 4 and Annex 5 of this report.

COMMENTS FROM THE SECRETARIAT

- A The Secretariat supports the proposed amendments to Resolution Conf. 12.8 (Rev. CoP13), as presented in Annex 1 to the present document. The Secretariat also supports the additional amendments indicated in paragraph 34 of the document. In paragraphs B and C, it provides some editorial changes for consideration by the Conference of the Parties.

- B. In the new text proposed in paragraph 34, the Secretariat suggest the deletion of “Note,” in the first paragraph i), and streamlining the use of “the establishment of” in paragraphs g) i) of Stage 3 and paragraph k) i) of Stage 4 as follows (indicated in ~~strikeout~~ and bold):

In *Stage 3: Categorization and Recommendations by the Animals or Plants Committee*, paragraph g) i) to read as follows (new addition identified in underline text):

- i) species/country combinations determined by the Animals or Plants Committee to be of less concern shall be removed from the review process and the Secretariat shall notify the range States accordingly within 30 days. Note, ~~–~~ In cases where the species/country combination is of less concern due to the establishment of a zero export quota, any change to this quota should be communicated by the range State to the Secretariat and the Chair of the relevant Committee along with a justification;

In *Stage 4: Measures to be taken regarding the implementation of Recommendations*, paragraph k) i) to read as follows (new addition identified in underline text):

- i) where the recommendations have been met, the Secretariat shall, following consultation with the Chairman of the Standing Committee, notify the range States concerned that the species/country combination was removed from the review process and include the rationale for its evaluation, noting where relevant, specific commitments made by the range States in question and, in the case where a species/country combination was removed from the review process on the basis of **the establishment of** establishing an interim precautionary export quota (including a zero export quota) in the place of implementing the recommendations, any change to this quota should be communicated to the Secretariat and Chair of the relevant Committee along with a justification, for their agreement; or

- C. The Secretariat suggests to add the word “to” [indicated in bold] in the new text of paragraph k), iii) as follows:

- 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, in a timely fashion, request the members of the Animals or Plants Committee, through the Chairs, **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 range States within 30 days of its drafting;

- D. The Secretariat supports the four draft decisions presented in Annex 2 of the present document.

- E. Annex 6 of the document concerns the tentative budget for implementing the amendments to Resolution Conf. 12.8 (Rev. CoP13) and the draft decisions in Annex 2.

Unlike indicated, implementing the new method for conducting the Review of Significant Trade, as proposed in the revision of Resolution Conf. 12.8 (Rev. CoP13), would be more expensive than is currently the case because it would require more work from consultants (addition data and information to compile and analyse; more species/range States to research). The cost implications are however difficult to estimate.

The authors of the document recognize the cost implications of implementing the 4 draft decisions, and ask the Secretariat to provide some guidance in this regard. Funding would need to come from external sources that have yet to be identified, and consultants would be involved in part of the work. Costs are estimated to total around 100,000 USD as follows:

17.XA [Review of Significant Trade Tracking and Management database]:

- Development and testing; migrating data to new platform: 50,000 USD
- Maintenance: 2,000 USD per year

17.XB [User-friendly guide to the Review of Significant Trade]

- Development of illustrated, user-friendly guide: 7,000 to 10,000 USD
- Translation in three working languages: around 5,000 USD

17.XC [*Comprehensive training module on the Review of Significant*]

- Development of training modules, incl. power point presentations, case studies, visual support,...: 30,000 to 40,000 USD
- Translation in three working languages; publication; dissemination: 6,000 to 10,000 USD

17.XD [*explore potential benefits and disadvantages of country-wide significant trade reviews*]

- Consultancy (assemble lessons learned; examine Madagascar case study): 10,000 USD

Proposed revised Resolution Conf. 12.8 (Rev. CoP13) on Review of Significant Trade in specimens of Appendix-II species

With respect to the body of the Resolution, proposed new language is in underline font and deleted language is in ~~strikeout~~ font. Annexes A, B and C of the proposed revised Resolution consist entirely of new language.

**Conf. 12.8 Review of Significant Trade in specimens of
(Rev. ~~CoP13~~ CoP17)* Appendix-II species**

RECALLING that Article IV, paragraph 2 (a), of the Convention requires, as a condition for granting an export permit, that a Scientific Authority of the State of export has advised that the export will not be detrimental to the survival of the species concerned;

RECALLING that Article IV, paragraph 3, requires a Scientific Authority of each Party to monitor exports of Appendix-II species and to advise the Management Authority of suitable measures to be taken to limit such exports in order to maintain such species throughout their range at a level consistent with their role in the ecosystem;

RECALLING also that Article IV, paragraph 6 (a), requires, as a condition for granting a certificate of introduction from the sea, that a Scientific Authority of the State of introduction from the sea has advised that the introduction will not be detrimental to the survival of the species concerned;

CONCERNED that some States permitting export of Appendix-II species are not effectively implementing Article IV, paragraphs 2 (a), 3 and 6 (a), and that, in such cases, measures necessary to ensure that the export of an Appendix-II species takes place at a level that will not be detrimental to the survival of that species, such as population assessments and monitoring programmes, are not being undertaken, and that information on the biological status of many species is frequently not available;

RECALLING that the proper implementation of Article IV is essential for the conservation and sustainable use of Appendix-II species;

NOTING the important benefits of the review of trade in specimens of Appendix-II species by the Animals and Plants Committees as set out in Resolution Conf. 8.9 (Rev.), adopted by the Conference of the Parties at its eighth meeting (Kyoto, 1992) and amended at its 11th meeting (Gigiri, 2000), referred to as the Review of the Significant Trade, and the need to clarify further and simplify the procedure to be followed;

RECALLING that, at its 12th meeting (Santiago, 2002), the Conference of the Parties mandated the Animals and Plants Committees to develop terms of reference for an evaluation of the Review of Significant Trade with the objective of assessing the contribution of the Review of Significant Trade to the implementation of Article IV, paragraphs 2 (a), 3 and 6 (a), and its impact over time on the trade and conservation status of species selected for review and subject to recommendations;

NOTING that, in Resolution Conf. 16.7 (Non-detriment findings), the Conference of the Parties recommended that Scientific Authorities take into account certain concepts and guiding principles in considering whether trade would be detrimental to the survival of the species;

ACKNOWLEDGING that the intent of the Review of Significant Trade process is to ensure that trade in Appendix II species is being conducted sustainably and in accordance with Article IV of the Convention, and to identify remedial action where it is needed with the ultimate intent of improving the implementation of the Convention;

* Amended at the 17th meeting of the Conference of the Parties.

EXPECTING that the implementation of recommendations and actions resulting from the Review of Significant Trade process will improve the capacity of the Scientific Authorities to carry out their non-detriment findings by improving range States' science-based conservation and management actions and improving coordination and communication between Scientific and Management Authorities on the issuance of export permits;

AFFIRMING that the Review of Significant Trade process should be transparent, timely, and simple;

NOTING the *Guide to CITES compliance procedures* found in Resolution Conf. 14.3 (*CITES compliance procedures*) and FURTHER NOTING the guidance for Parties regarding the management of export quotas elaborated in Resolution Conf. 14.7 (Rev. CoP15) (*Management of nationally established export quotas*);

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

Regarding conduct of the Review of Significant Trade

DIRECTS the Animals and Plants Committees, in cooperation with the Secretariat and experts, and in consultation with range States, to review the biological, trade and other relevant information on Appendix-II species subject to significant levels of trade, to identify problems and solutions concerning the implementation of Article IV, paragraphs 2 (a), 3 and 6 (a), in accordance with the following procedure and as outlined in Annex A:

Stage 1: Selection of species/country combinations to be reviewed

- a) the Secretariat shall, ~~request the UNEP World Conservation Monitoring Centre to produce,~~ within 90 days after each meeting of the Conference of Parties, ~~commence or appoint consultants to commence preparation of a~~ summary from the CITES Trade Database of annual report statistics showing the recorded ~~net-level of~~ direct exports for Appendix-II species over the five most recent years, and an extended analysis of trade to inform the preliminary selection of species/country combinations, to be completed in sufficient time for the first regular meeting of the Animals or Plants Committee following that meeting of the Conference of the Parties (see Annex B);
- b) on the basis of recorded ~~trade-levels of~~ direct exports and information available to the Animals or Plants Committee, the Secretariat, Parties or other relevant experts, a limited number of species/country combinations of ~~priority-greatest~~ concern shall be selected for review included in Stage 2 of the review process by the Animals or Plants Committee ~~(whether or not such species have been the subject of a previous review at their first regular meeting following a meeting of the Conference of the Parties);~~
- c) in exceptional cases, outside of steps a) and b) above, and where new information provided to the Secretariat by a proponent indicates an urgent concern that rapid action may be needed concerning problems relating to the implementation of Article IV (for a species/country combination), the Secretariat;
 - i) will verify that the proponent has provided a justification for the exceptional case, including supporting information;
 - ii) may produce, or request a consultant produce a summary of trade from the CITES Trade Database in relation to the species/country combination concerned as necessary; and
 - iii) will, as soon as possible, provide the justification and, if appropriate, a trade summary to the Animals or Plants Committee ~~may add a species to the list of species of concern at another stage~~ for their intersessional review and decision on whether or not to include the species/country combination in Stage 2 of the review process;

Stage 2: Consultation with the range States concerning implementation of Article IV and compilation of information

- d) the Secretariat shall:

- i) within 30 days after the meeting of the Animals or Plants Committee at which species/country combinations are selected, or within 30 days after the Committee has selected a species/country combination on an exceptional basis, notify selected range States of the that their species has been selected, providing an overview of the review process and an explanation for the selection and requesting comments regarding possible problems of implementing. The Secretariat shall request range States to provide the scientific basis by which it is established that exports from their country are not detrimental to the survival of the species concerned and are compliant with Article IV identified by the Committee, paragraphs 2(a), 3 and 6(a) of the Convention. In its letter, the Secretariat shall provide guidance to range States on how to respond, explain the consequences of not responding to the request, and inform the range States that the responses will be made available on the CITES website as part of the agenda for meetings of the Animals or Plants Committee. Range States shall be given 60 days to respond;
 - ii) compile, or appoint consultants to compile, a report about the biology and management of and trade in the species, including any relevant information provided by the range States, to be made available for the next meeting of the Animals or Plants Committee. In doing so, the Secretariat (or consultants) shall actively engage with the range States and relevant experts in the compilation of the report;
- e) ~~the Secretariat shall report to the Animals or Plants Committee on the response of the range States concerned, including any other pertinent information;~~
- f) ~~when the Animals or Plants Committee, having reviewed the available information, is satisfied that Article IV, paragraph 2(a), 3 or 6(a), is correctly implemented, the species shall be eliminated from the review with respect to the State concerned. In that event the Secretariat shall notify the Parties accordingly within 60 days;~~

Compilation of information and preliminary categorization

- g) ~~in the event that the species is not eliminated from the review in accordance with paragraph f) above, the Secretariat shall proceed with the compilation of information regarding the species;~~
- h) ~~when necessary, consultants shall be engaged by the Secretariat to compile information about the biology and management of and trade in the species and shall contact the range States or relevant experts to obtain information for inclusion in the compilation;~~
- i) e) the Secretariat or consultants, as appropriate, report required under d) ii) shall summarize their include conclusions about the effects of international trade on the selected species/country combinations, the basis on which such conclusions are made and problems concerning the implementation of Article IV, and shall provisionally divide the selected species/country combinations into three categories:
- i) 'species of urgent concern' 'action is needed' shall include species/country combinations for which the available information indicates suggests that the provisions of Article IV, paragraph 2 (a), 3 or 6 (a), are not being implemented;
 - ii) 'species of possible concern' 'unknown status' shall include species/country combinations for which it is the Secretariat (or consultants) could not clear determine whether or not these provisions are being implemented; and
 - iii) 'species of least less concern' shall include species/country combinations for which the available information appears to indicate that these provisions are being met;
- j) f) once before the report of the Secretariat, or consultation, is considered by the Animals or Plants Committee is completed, the Secretariat shall transmit it to draw the attention of the relevant range States seeking comments to the report prepared under d) ii) and where appropriate, invite them to provide any additional information for consideration at the second meeting of the Animals or Plants Committee following the Conference of the Parties. Range States shall be given 60 days to respond;

Review of information and confirming of categorization by the Animals or Plants Committee

Stage 3: Categorization and Recommendations by the Animals or Plants Committee

k)g) the Animals or Plants Committee shall, at their second meeting following the Conference of the Parties, review the report of the Secretariat or the consultants, and the responses and additional information received from the range States concerned. For each selected species/country combination the Animals or Plants Committee shall recategorize species/country combinations of 'unknown status' as either 'action is needed' or 'less concern' and provide a justification for such recategorization. Additionally, if appropriate, the Animals and Plants Committee shall revise the preliminary categorization proposed for species/country combinations of those where 'action is needed' or those of 'less concern' and provide a justification for the revision;

h)i) species/country combinations determined by the Animals or Plants Committee to be of less least-concern shall be eliminated-removed from the review process. Problems identified in the course of the review that are not related to the implementation of Article IV, paragraph 2 (a), 3 or 6 (a) shall be addressed by and the Secretariat shall notify the range States accordingly within 30 days in accordance with other provisions of the Convention and relevant Resolutions;

Formulation of recommendations and their transmission to the range States

m)ii) species/country combinations determined by the Animals or Plants Committee to be those for which 'action is needed' shall be retained in the review process. The Animals or Plants Committee shall, in consultation with the Secretariat, formulate time-bound, feasible, measurable, proportionate, and transparent recommendations directed to the range States retained in the review process, using the principles outlined in Annex C. The recommendations should aim to build the range State's long term capacity to implement Article IV, paragraphs 2(a), 3 and 6(a) of the Convention; These recommendations shall be directed to the range States concerned;

h) the Secretariat shall, within 30 days of the meeting of the Animals or Plants Committee, transmit these recommendations to the range States concerned;

i) the Animals or Plants Committee shall formulate separate recommendations directed to the Standing Committee for problems identified in the course of the review that are not directly related to the implementation of Article IV paragraph 2(a), 3 or 6(a), following the principles outlined in Annex C of this Resolution;

n) ~~for species of urgent concern, these recommendations should propose specific actions to address problems related to the implementation of Article IV, paragraph 2 (a), 3 or 6 (a). Such recommendations should differentiate between short-term and long-term actions, and may include, for example:~~

~~i) the establishment of administrative procedures, cautious export quotas or temporary restrictions on exports of the species concerned;~~

~~ii) the application of adaptive management procedures to ensure that further decisions about the harvesting and management of the species concerned will be based on the monitoring of the impact of previous harvesting and other factors; or~~

~~iii) the conducting of taxon- and country-specific status assessments, field studies or evaluation of threats to populations or other relevant factors to provide the basis for a Scientific Authority's non-detriment finding, as required under the provisions of Article IV, paragraph 2 (a) or 6 (a).~~

~~Deadlines for implementation of these recommendations should be determined by the Animals or Plants Committee. They must be appropriate to the nature of the action to be undertaken, and should normally be not less than 90 days but not more than two years after the date of transmission to the State concerned;~~

~~e) for species of possible concern, these recommendations should specify the information required to enable the Animals or Plants Committee to determine whether the species should be~~

categorized as either of urgent concern or of least concern. They should also specify interim measures where appropriate for the regulation of trade. Such recommendations should differentiate between short-term and long-term actions, and may include, for example:

i) ~~the conducting of taxon and country-specific status assessments, field studies or evaluation of threats to populations or other relevant factors; or~~

ii) ~~the establishment of cautious export quotas for the species concerned as an interim measure.~~

~~Deadlines for implementation of these recommendations should be determined by the Animals or Plants Committee. They must be appropriate to the nature of the action to be undertaken, and should normally be not less than 90 days but not more than two years after the date of transmission to the State concerned;~~

p) ~~these recommendations shall be transmitted to the range States concerned by the Secretariat;~~

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

j) the Secretariat shall monitor progress against the recommendations, taking account of the different deadlines;

q) once the range State has reported on the implementation of recommendations or the deadlines have passed, whichever is first and, following timely intersessional consultation with members of the Animals or Plants Committee through the Chairs, the Secretariat shall in consultation with the Chairman of the Animals or Plants Committee, determine whether the recommendations referred to above have been implemented and report to the Standing Committee accordingly;

r) i) where the recommendations have been met, the Secretariat shall, following consultation with the Chairman of the Standing Committee, notify the range States concerned Parties that the species/country combination was removed from the review process and include the rationale for its evaluation, noting where relevant, specific commitments made by the range States in question; or

s) ii) when the recommendations are not deemed to have been met (and no new information is provided), the Secretariat, having consulted with the Chairman shall, in consultation with the members of the Animals or Plants Committee through the Chairs, is not satisfied that a range State has implemented the recommendations made by the Animals or Plants Committee in accordance with paragraph n) or o), it should recommend to the Standing Committee appropriate action, which may include, as a last resort, a suspension of trade in the affected species with that State. On the basis of the report of the Secretariat, the Standing Committee shall decide on appropriate action and make recommendations to the State concerned, or to all Parties; or

t) 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, in a timely fashion, request the members of the Animals or Plants Committee, through the Chairs, 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 range States within 30 days of its drafting;

u) the Secretariat shall report to the Standing Committee on its evaluation of the implementation of the recommendations, including the rationale for its evaluation and, where relevant, specific commitments made by the range States in question, and a summary of the views expressed by the Animals or Plants Committees. The Secretariat shall additionally report on any further actions taken by the Animals or Plants Committee in the case of range States where new information has resulted in revised recommendations;

v) for range States where recommendations are not deemed to have been met, the Standing Committee shall decide, at its next regular meeting or intersessionally as appropriate, on necessary action and make recommendations to the range State concerned, or to all Parties.

keeping in mind that these recommendations should be time-bound, feasible, measurable, proportionate, transparent, and should promote capacity building. In exceptional circumstances, where the range State under consideration provides new information on the implementation of the recommendations to the Standing Committee, the Standing Committee through the Secretariat, shall consult in a timely fashion with the members of the Animals or Plants Committee through the Chair, prior to making a decision on necessary action;

- t)n) the Secretariat shall notify ~~the all~~ Parties of any recommendations or actions taken by the Standing Committee;
- u)o) a recommendation to suspend trade in the affected species with the range State concerned should be withdrawn only when that range State demonstrates to the satisfaction of the Standing Committee through the Secretariat, which shall act, through the Chair, in consultation with the members of the Animals or Plants Committee, compliance with Article IV, paragraph 2 (a), 3 or 6 (a); and
- v)p) the Standing Committee, in consultation with the Secretariat and the ~~Chairman~~ Chair of the Animals or Plants Committee, shall review recommendations to suspend trade that have been in place for longer than two years, evaluate the reasons why this is the case in consultation with the range State, and, if appropriate, take measures to address the situation.

Regarding problems identified not related to the implementation of Article IV

DIRECTS the Standing Committee to address problems identified in the course of the review process that are not related to the implementation of Article IV, paragraph 2 (a), 3 or 6 (a), in accordance with other provisions of the Convention and relevant Resolutions;

Regarding support to the range States

URGES the Parties, and all organizations and stakeholders interested in the conservation and sustainable use of wildlife, to provide the necessary financial support or technical assistance to those States in need of such assistance to ensure that wild populations of species of fauna and flora subject to significant international trade are not subject to trade that is detrimental to their survival. Examples of such assistance could include:

- a) training of conservation staff in the range States, including by organizing regional workshops;
- b) provision of tools, information and guidance to persons and organizations involved in the production and export of specimens of the species concerned;
- c) facilitation of information exchange among range States, including at the regional level; ~~and~~
- d) provision of technical equipment, ~~and~~ support and advice;
- e) provision of support for field studies on Appendix-II species identified as being subject to significant levels of trade; and

DIRECTS the Secretariat to assist with identification and communication of funding needs in the range States and with identification of potential sources of such funding;

Regarding capacity building, monitoring, reporting, and ~~reintroduction of species into~~ evaluating the review process

DIRECTS the Secretariat, for the purpose of monitoring and facilitating the implementation of this Resolution and the relevant paragraphs of Article IV:

- a) to report at each meeting of the Animals or Plants Committee on the implementation by the range States concerned of the recommendations made by the Committee; and
- b) to maintain a ~~register~~ database of species/country combinations that are included in the review process set out in this Resolution ~~and~~ including a record of progress with the implementation of recommendations; ~~and~~

Regarding coordination of field studies

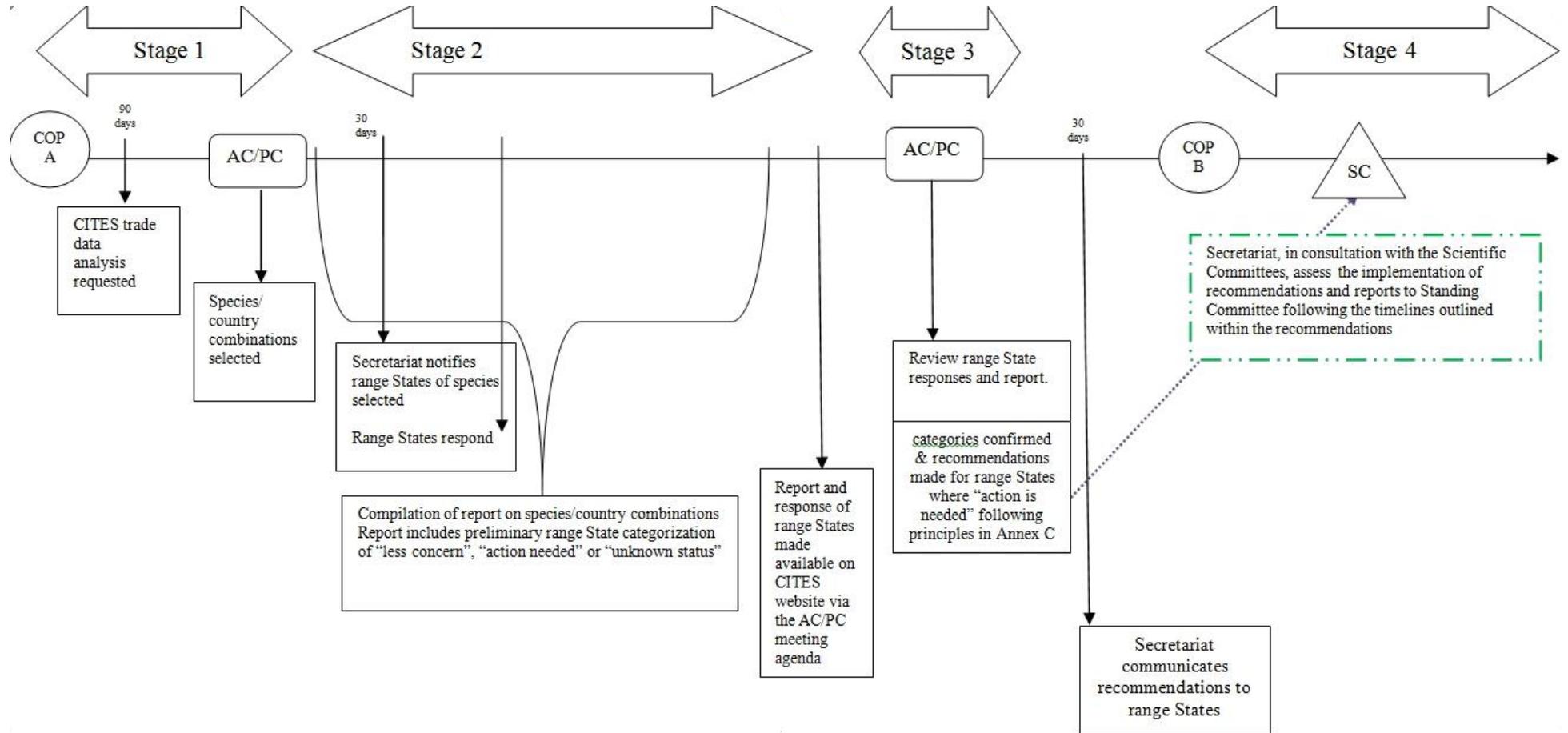
DIRECTS the Secretariat to include training on the Review of Significant Trade process as part of its capacity building activities related to the making of non-detriment findings;

DIRECTS the Animals or Plants Committee, in consultation with the Secretariat, to undertake a regular review of the outcomes of the Review of Significant Trade by, for example, examining a sample of past species/country combinations to assess whether implementation of Article IV paragraph 2 (a), 3 or 6 (a) was improved. The Animals or Plants Committee should consider the results of this review and revise the Review of Significant Trade process as necessary. In doing so, feedback should be obtained from range States (including their Scientific Authorities) who have been through the review process; and

~~DIRECTS the Secretariat, where appropriate, in consultation with the Chairman of the Animals or Plants Committee, to contract IUCN or other appropriate experts to coordinate, in collaboration with UNEP-WCMC, the conduct of the field studies required for Appendix-II species identified as being subject to significant levels of trade, and to raise the funds necessary for such studies; and~~

REPEALS Resolution Conf. 8.9 (Rev.) (Kyoto, 1992, as amended at Gigiri, 2000) – *Trade in specimens of Appendix-II species taken from the wild.*

Annex A: Timeline for the Review of Significant Trade Process



Annex B: Guidance regarding the selection of species/country combinations

1. Summary

The summary referred to in Stage 1 a) of this Resolution shall include gross exports of Appendix II species over the five most recent years (direct trade, sources W, R, U and blank), and include the following information, by taxon:

- The countries with direct exports in any of the five most recent years;
- Trade levels for each country with direct exports¹;
- Global conservation status as published in The IUCN Red List of Threatened Species or otherwise noted as “Not Evaluated”;
- The population trend, as published in The IUCN Red List of Threatened Species;
- Species reported in trade for the first time within the CITES Trade Database (noting those which have been subject to nomenclature changes) since the last Review of Significant Trade selection process; and
- A note to indicate whether the species/ country combination has been previously subject to the Review of Significant Trade.

Where feasible, the summary output shall contain:

- Whether there are any countries for which a zero quota or trade suspension has been implemented resulting from the Review of Significant Trade process;
- Information on whether taxa included are subject to other Multi-lateral Environmental Agreements or Regional Fisheries Management Organisations, and the relevant agreements noted; and
- Species that are endemic, according to the Species+ database, maintained by UNEP-WCMC.

2. Extended Analysis

The extended analysis requested in Stage 1 a) of this Resolution shall be based on gross exports of Appendix II species including at least the five most recent years (direct trade, sources W, R, U and blank), and shall include;

- A subset of taxa that meet clearly defined criteria for “High Volume” trade;
- A subset of taxa that have been assessed by The IUCN Red List of Threatened Species, and that meet clearly defined criteria for “high volume” trade, dependent on the global threat status;
- A subset of taxa which meet clearly defined criteria for “Sharp increase” in trade; and
- The above subsets should also incorporate trade reported in the most recent year.

A full methodology for the selection of taxa which meet these selection criteria will be provided in the outputs submitted to the Animals and Plants Committees.

¹ To facilitate this requirement, an excel version of the summary will be produced and will be available in electronic format

Annex C: Principles for the development of Recommendations for the Review of Significant Trade Process

Introduction

This annex provides general principles that should be followed when developing recommendations for the Review of Significant Trade process.

Recommendations can include short-term actions that are considered to be relatively rapid to implement (e.g., interim quotas or size restrictions for export), or longer-term actions that are recognized to be more complex, resource-intensive, and time-consuming to implement. The intent of short-term actions is to provide relatively rapid means to address issues of immediate concern; however, longer-term actions may promote the development of longer-lasting solutions towards implementation of Article IV. Depending on the situation, one or both types may be appropriate. The end-point for the interim export quota or other short-term recommendations should normally be no later than the date of fulfillment of the longer-term recommendations.

In the course of the Review of Significant Trade recommendations formulated may be directed to range States, to the Standing Committee or to other Parties. As such, recommendations should clearly indicate to whom the recommendation is directed.

Principles for making Recommendations

Recommendations to range States as part of the Review of Significant Trade should adhere to all of the following principles.

A recommendation should be:

- Time-bound
 - Each recommendation should have a specified end-date for implementation. This end-date should not normally be less than 90 days after the date of transmission to the range State. Where possible, the end-dates for recommendations made at a Committee meeting should be aligned.
- Feasible
 - A recommendation should be designed so that it will be possible to implement it in the time frame specified, in consideration of the range State's capacity.
 - More than one recommendation can be used but care should be taken to ensure the feasibility of the implementation of all recommendations within the given time frames.
- Measureable
 - The recommendation should have a definitive indicator of completion that can be objectively measured.
- Proportionate with the nature and severity of the risks
 - A recommendation should specifically address the problem related to the implementation of Article IV 2(a), 3 or 6(a) that has been identified through the review process.
 - A recommendation should be proportional to the severity of the risks to the species. Evaluation of risks should be undertaken in consideration of both the species' susceptibility to intrinsic or extrinsic factors that increase the risk of extinction, and the mitigating factors, such as management measures, that decrease the risk of extinction.

- Transparent
 - The relevant Committee should outline how its choice of recommendation is proportionate to the nature of and severity of the risks with reference to the consultant's report as applicable.
- Aimed at building the capacity of the range State
 - A recommendation should contribute to building of the long-term capacity of the range State to effectively implement Article IV of the Convention.

Recommendations directed to the Standing Committee or other Parties

Recommendations directed to the Standing Committee should also adhere to the principles of being time-bound, feasible, measurable, proportionate with the nature and severity of the risks, transparent and aimed at building the capacity of the range State.

Decisions for consideration of adoption by the 17th meeting of the Conference of the Parties

The Animals and Plants Committee recommend the Conference of the Parties adopt the following four Decisions:

Directed to the Secretariat

- 17.XA** The Secretariat, within six months of the adoption of a revision to Resolution Conf. 12.8 (Rev. CoP13) and building on the work done to date, shall develop, test and establish a Review of Significant Trade Tracking and Management database as an essential tool for the effective implementation and transparency of the process.

Directed to the Secretariat

- 17.XB** The Secretariat, subject to the availability of funds, within six months of the adoption of a revision to Resolution Conf. 12.8 (Rev. CoP13), shall develop a user-friendly guide to the Review of Significant Trade that can also be included in the initial letter to range States.

Directed to the Secretariat

- 17.XC** The Secretariat, subject to the availability of funds, within nine months of the adoption of a revision to Resolution Conf. 12.8 (Rev. CoP13), shall develop a comprehensive training module on the Review of Significant Trade (including case studies as appropriate).

Directed to the Animals and Plants Committee

- 17.XD** The Animals and Plants Committee, with the assistance of the Secretariat, shall explore potential benefits and disadvantages of country-wide significant trade reviews, drawing upon the lessons learned, outcomes and impacts of the country-wide Review of Significant Trade of Madagascar as relevant.

Additional information for the Secretariat to include in the initial letter to selected range States

Explanation of process and guidance

- Note: Include links to RST resolution and to NDF resolution in the letter. Provision of a user-friendly guide to the Review of Significant Trade process.
- Potential text for letter: “In the annex attached to this letter, you will find a guide that provides an explanation of the Review of Significant Trade process.”

Explanation of why species was selected

- Suggestion to include in letter: an explanation of why the species was selected and to include trade data as an annex to the letter where relevant.

Consequences of non-response

- Note: Stress importance of responding within agreed timeframes and fully explain the consequences of a lack of response or inadequate information provided in response; this should include indication that the Standing Committee has a role at later stages.

Guidance on how to respond

- Note: Use of Annex to support the initial letter and include a user-friendly guide to the Review of Significant Trade.
- Potential text for letter: “At this stage of the review, the main purpose of this request is to obtain the information required to assess the implementation of Article IV paragraphs 2(a), 3 and 6(a) with regard to exports of [*species*] from [*country*].”
- Potential text for letter “We encourage you to work closely with the Scientific Authority, copied on this message, to ensure that responses to the questions are as complete as possible and can meet required information needs. We also encourage you to engage with other relevant stakeholders, such as industry, research institutes, etc.”

Assumption of making response public unless otherwise notified

- Secretariat to include existing text

Request to range State to identify any challenges they have with implementing Article IV

Include a request to range States to acknowledge receipt of this communication

Note that the Secretariat, or consultants on behalf of the Secretariat, may contact the range State for further information.

Proposed Annex to include in the Secretariat's initial letter to range States informing them that their species has been selected and requesting information to support the review process

Notification of Range States on Selection of Species

As a range State for a species which has been selected for review you are requested to provide information on, and details of, the scientific basis by which it has been established that the quantities of specimens of this species exported by your country are not detrimental to the survival of the species and are in compliance with Article IV, paragraphs 2(a), 3 and 6(a) of the Convention.

Information on your Non-detriment Finding (see Res. Conf. 16.7) can be provided in the form of either (a) an existing document, or an alternative approach would be to (b) provide information according to the guidance below. In both cases **the information you provide should clearly explain how you are able to arrive at a conclusion that trade in the species is not detrimental to its survival in the wild.**

In reviewing your response, the Scientific Committees recognize that the basis for a non-detriment finding (NDF) will vary depending on factors such as the volume of trade relative to the population size, the type of trade, and harvest and trade controls. The data requirements for a determination that trade is not detrimental to the survival of the species should be proportionate to the vulnerability of the species concerned.

Details that would be useful to the Animals or Plants Committee would include the following:

Decision-making (NDF) process

- a) Explanation of how the Scientific Authority makes an NDF
- b) Details, and role, of any institution(s)/experts/stakeholders involved in making the NDF, other than your designated Scientific Authority.
- c) Explanation of how the Scientific Authority monitors the level of exports

Population

- d) Details on the conservation status of the species in your country, (provide published references and other data sources where available), such as:
 - geographical distribution / extent of occurrence
 - population status
 - population estimates
 - population trends
 - other biological and ecological factors that may be relevant

Threats

- e) Identify known threats to the species in your country (e.g. habitat destruction, disease, persecution, other offtake of the species e.g. by-catch, invasive species, etc.) and what measures (if any) are in place to reduce those threats.

Trade

- f) Provide information on the levels of legal trade in the species in the 5 most recent years (where not already available through the UNEP-WCMC trade database) and anticipated trade levels. *Please indicate whether these figures represent actual trade or permits issued.*

- g) Provide any information available on the levels of illegal trade (known, inferred, projected, estimated).
- h) Provide information on procedures for identification of specimens in trade to the species level (if appropriate).
- i) Provide information on any export quota in place for the species and details for 5 most recent years, if not already published on the CITES website. Please explain any cases where the quota has been exceeded.
- j) Include information on how captive-produced or artificially propagated specimens are distinguished in trade from wild-harvested specimens, if applicable.

Species management (wild harvest)

- k) Provide information on harvest / trade management measures currently in place (or proposed), including any monitoring programmes, threat evaluations, adaptive management strategies and considerations of levels of compliance, and/or harvest or trade quotas (both for domestic and international markets including how quotas are determined and how they are allocated regionally, if applicable).
- l) Details of capture methods / rates of mortality pre-export (i.e. during/post capture) and how this is taken into account in NDF.

Species management (ranching specimens)

- m) Provide information on management of ranching animals in trade (e.g., details of ranching facilities including stock numbers (male:female), annual production levels, survival rate of female specimens used in the ranching operation) and details of impacts on wild populations (if applicable).

Laws and Regulations

- n) Details of national or sub-national laws and regulations **for the species** relating to harvest (e.g. open/closed seasons, legal limits for harvest, community management or customary limits/by-laws).
- o) Details of national or sub-national laws and regulations **for the species** relating to trade (e.g. species specific export provisions, CITES related export laws, export controls under other domestic laws).

Guidance on the Formulation of Recommendations for the Review of Significant Trade

Introduction

This document provides general guidance on development of recommendations for the Review of Significant Trade process. It provides guidance for structure of recommendations and a list of standard recommendations for range States for use by the Review of Significant Trade working group that is established at meetings of the Animals and Plants Committees.

The standard recommendations are provided to facilitate the work of the Review of Significant Trade working group that is established at meetings of the Animals Plants Committees and to help ensure consistency of recommendations over time, between Committees and for different species and range States.

The Recommendation

The recommendation should include a number of key components:

- the recommended action that was chosen to address problems related to the implementation of Article IV 2(a), 3 or 6(a), as identified through the review process;
- the time frame for implementation of the recommended action with a clear end-date;
- as appropriate, a final recommendation that allows the selected range State to provide feedback on how the recommended actions have improved the basis for making an NDF and how any future long-term monitoring will take place;
- a justification for the choice of recommended action with reference to the consultant's report as applicable; and
- a clear indication of to whom the recommendation is directed (e.g., range State, Standing Committee)

Recommendations for actions to be taken to improve the basis for making Non-Detriment Findings (NDFs)

Recommendations can include short-term actions that are considered to be relatively rapid to implement (e.g., interim quotas or size restrictions for export), or longer-term actions that are recognized to be more complex, resource-intensive, and time-consuming to implement. The intent of short-term actions is to provide relatively rapid means to address issues of immediate concern; however, longer-term actions may promote the development of longer-lasting solutions towards implementation of Article IV. Depending on the situation, one or both types may be appropriate. The end-point for the interim export quota or other short-term recommendations should normally be no later than the date of fulfillment of the longer-term recommendations.

All recommended actions should be developed into complete recommendations that include all key components described in part B of this annex, and should adhere to the basic principles of being time-bound, feasible, measureable and proportionate (consistent with the nature and severity of the risk), transparent and promote capacity building where appropriate.

Tables 1 - 4 provide different types of recommended actions:

- Tables 1 and 2 present suggested standard short-term and long-term recommended actions for range States, which may require refinement for the specific case (e.g., species/country combination). There may be cases where alternative recommended actions are more appropriate;
- Table 3 provides sample text for a "final recommended action" that could be considered for inclusion in the suite of recommendations for each species/country combination; and
- Table 4 provides sample text for recommended actions that are directed to the Standing Committee to address problems identified that are not related to the implementation of Article IV paragraph 2(a), 3 or 6(a).

- Table 5 provides a sample template for developing recommendations that contain all key components.

Table 1. Examples of short-term recommended actions

Problem/ Concern	Short-term Goal	Recommended Action
Export levels are unsustainable and immediate action is needed before longer term actions can be implemented	Reduce export levels	<p>Establish, in consultation with the Secretariat and the Chair of the relevant Committee, an interim conservative export quota within xx days for the species/specimens/products and communicate the quota to the Secretariat. No exports should occur until the quota has been published on the Secretariat's website.</p> <p>The export quota (which could include zero allowable exports) should be justified as conservative based on estimates of sustainable off-take that make use of available scientific information.</p> <p>Before making any increases to this interim quota (including increases from a zero export quota), the planned changes should be communicated by the range State to the Secretariat and Chair of the relevant Committee along with a justification of how the change is conservative, based on estimates of sustainable off-take that make use of available scientific information, for their agreement.</p>
Some aspects of harvest are of immediate concern	Reduce harvest associated with the aspect of concern to help ensure that international export is not detrimental to the survival of the species	<p>Initiate appropriate harvest measures to ensure sustainability [<i>for example</i>]:</p> <ul style="list-style-type: none"> -size-selective harvest/ -open/closed seasons/ -harvest seasons/ -harvest maximums/ -restrictions to harvest frequency, sites or time of day/ -control of number of harvesters/ -types and methods of harvest
Permit information inaccurate/variable and could be fixed immediately	Standardize permit information	<p>Initiate measures to ensure the descriptions on all CITES permits are standardized so that export is only permitted at the species level and that it complies with Annex 1 of Res. Conf. 12.3 (Rev. CoP16); Trade ceases to be reported or permitted at higher taxon levels.</p> <p>-Clarify and standardize the terms and units used in reporting trade. Ensure that appropriate terms and units are recorded on permits for trade. Standardized terms and appropriate units are found in the most recent version of the <i>Guidelines for the preparation and submission of CITES annual reports, which is referenced in Res. Conf. 11.17 (Rev. CoP16)</i>, and distributed by the Secretariat by Notification.</p> <p>-Ensure that permits issued for the species clearly and accurately indicate the source of the specimens</p>

Table 2. Suggested longer-term recommended actions

The longer-term recommendations are organized by the four main areas of concern associated with implementation of Article IV, and may need to be refined for specific cases or for the species or range State concerned.

		Recommended action proportionate to perceived risk to the species		
Problem/ concern	Goal	In order of increasing risk		
				
Lack of knowledge of population status nationally of the species (population size, trends, threats, distribution etc.)	Improving species knowledge available for making an NDF	-Undertake science-based studies on status of the species (e.g. population size/density, trends, distribution) including an evaluation of the threats to the species for use as the basis for NDFs	-Develop/Implement an ongoing science-based population monitoring program that is used in conjunction with an adaptive management program for the species (see harvest management measures and trade controls, below), for use in making NDFs	
Lack of or insufficient harvest management measures	Implement harvest management measures to mitigate impacts of export on the species	-Undertake qualitative monitoring of the scale and trends of all harvest (increasing, stable or decreasing) for use in making NDFs -Develop and implement harvest guidelines (or “best practices”) describing accepted practices	-Develop and implement local management with clearly defined harvest management measures (e.g., harvest seasons, harvest maximums, restrictions to harvest frequency, sites or time of day, control of number of harvesters, types and methods of harvest)	-Develop and implement coordinated national and/or local management plans (that include harvest management considerations) with clear monitoring requirements; management is adaptive (regular review of harvest records, of impact of harvesting, adjustment of harvest instructions as necessary), harvest restrictions based on monitoring results
Lack of or insufficient export controls	Implement export controls to mitigate impacts of export on the species	-Undertake qualitative monitoring of the scale and trends of all export (increasing, stable or decreasing) for use in making NDFs	-Undertake monitoring of export; any established export limits are precautionary	-Undertake regular quantitative surveys of scale and trend of all export; establish/modify export limits according to quantitative data that is reviewed regularly, for example through an adaptive management program for the species

		Recommended action proportionate to perceived risk to the species	
Problem/ concern	Goal	In order of increasing risk 	
		-initiate measures to ensure that permit information is standardized (e.g., export only at a species level, source of specimens is indicated, consistency of conversion factors, standardized units)	
		-Implement/ improve a system to ensure individuals in captive / ranched / artificially propagated production systems are distinguished from wild if both wild specimens and non-wild specimens are in trade	
Inadequate range State capacity	Actions to build range State capacity	<ul style="list-style-type: none"> - clearly designate CITES authorities -provide training for CITES authorities (e.g., CITES Virtual College, NDF workshops in a country or region) -develop identification methods and materials -share information/collaboration with other range States (exchange of NDF information, development and implementation of regional management measures) -provide training of conservation staff in the range State -provide information and guidance to persons and organizations involved in the production and export of specimens of the species concerned; -facilitate information exchange among range States -provide technical equipment and support 	

Table 3. Final Recommendation

Sample text for a “final recommended action” that could be considered for inclusion in the suite of recommendations for each species/country combination.

Final Recommended action	Goal	Recommended Action
	To assist in the evaluation of whether basis for the NDF has improved as a result of the Review of Significant Trade process	-Upon completion of other recommendations, on xx date, the range State should provide the scientific basis by which it has established that exports from their country are not detrimental to the survival of the species and are compliant with Article IV, paragraphs 2(a),3 and 6(a) of the Convention. Particular focus should be given to how the actions the range State has taken or will take address the concerns/problems identified in the Review of Significant Trade process.

Table 4. Other Recommendations

Problem/ concern	Goal	Recommended Action
Problems identified that are not related to the implementation of Article IV paragraph 2(a), 3 or 6(a)	Actions that are not directly related to the making of non-detriment findings.	<p>Recommendations directed to Standing Committee to consider tasking the range State to [for example]:</p> <ul style="list-style-type: none"> -develop and implement adequate control measures and inspection procedures to detect and intercept illegal shipments of specimens, -enact or improve legislation/regulation -rigorously enforce export bans -ensure adequate guidance and controls for captive breeding, ranching or artificially propagated operations

Table 5. Template for drafting recommendations

Complete one table for each species/country combination. Part A provides a template for recommendations directed to range States, and Part B provides a template for recommendations for consideration by the Standing Committee.

A. [Insert name of the species/country combination] shall report to the Secretariat on implementation of the following:

Recommended Action	Time-frame for implementation	Justification for choice of recommended action

B. The Standing Committee shall consider tasking [insert name of the range State] with the following:

Recommended Action	Time-frame for implementation	Justification for choice of recommended action

TENTATIVE BUDGET AND SOURCE OF FUNDING
FOR THE IMPLEMENTATION OF DRAFT RESOLUTIONS OR DECISIONS

According to Resolution Conf. 4.6 (Rev. CoP16) on *Submission of draft resolutions, draft decisions and other documents for meetings of the Conference of the Parties*, the Conference of the Parties decided 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 or permanent committees must contain or be accompanied by a budget for the work involved and an indication of the source of funding.

The Animals and Plants Committee offer these modifications to Resolution Conf. 12.8 (Rev. CoP13) on *Review of Significant Trade in specimens of Appendix-II species* in response to the evaluation of the process requested under Decision 13.67 (Rev. CoP14). There are no new budgetary or workload implications as a result of the proposed amendments to the Resolution.

The Animals and Plants Committee further offer the four Decisions to support the proposed modifications to Resolution Conf. 12.8 (Rev. CoP13) on *Review of Significant Trade in specimens of Appendix-II species*. Funds would be necessary to finish the Review of Significant Trade Tracking and Management database and the comprehensive training manual, as well as the user-friendly guide to the Review of Significant Trade. The Secretariat is better placed to advise on the resources necessary to undertake these activities. Given the importance placed on these activities by the Animals and Plants Committee, it is hoped that a funding proposal to prepare the guide will be given priority.

The activities directed to the Animals and Plants Committee would be undertaken in the course of their regular Committee business and would not have direct financial implications, beyond the overall support to the Committee meetings agreed by the Conference of the Parties.