Table of Contents

Proposal 1

***Capra falconeri heptneri* (markhor) - Transfer of the population of Tajikistan from Appendix I to Appendix II**

Proponent: Tajikistan

Provisional assessment by the Secretariat

CITES background

Capra falconeri was included in CITES Appendix II, except for the subspecies *chialtanensis, jerdoni* and *megaceros* which were included in Appendix I, at the time of entry into force of the Convention on 1 July 1975. Based on a proposal prepared by the United Kingdom at the request of the Animals Committee, Parties decided to transfer *Capra falconeri* (including *cashmirensis*) and *Capra falconeri heptneri* (including *ognevi*) to Appendix I at the eighth meeting of the Conference of the Parties (CoP8, Kyoto, 1992) thus including the whole species in Appendix I.

At the 10th meeting of the Conference of the Parties (CoP10, Harare, 1997), Parties adopted Resolution Conf. 10.15 on *Establishment of quotas for markhor hunting trophies*. Within the framework of this resolution, the Conference of the Parties has approved an annual export quota of hunting trophies of markhor *Capra falconeri* from Pakistan. At the present meeting, Pakistan has submitted document CoP18 Doc. 47 on *Enhancement of quotas for markhor hunting trophies*, which proposes to increase Pakistan's annual export quota for hunting trophies of *Capra falconeri* from 12 to 20.

Purpose and impact of the proposal

The proposal seeks to transfer the population of *Capra falconeri heptneri* of Tajikistan from Appendix I to Appendix II. If the proposal is adopted, trade in all specimens of this taxon will be regulated in accordance with Article IV of the Convention.

Compliance with listing criteria

The geographic range of *Capra falconeri* encompasses Tajikistan, north-eastern Afghanistan, southwestern Turkmenistan, northern India, northern and central Pakistan and southern Uzbekistan, with *C. f. heptneri* reported to occur in three populations in Tajikistan, whose ranges extends into strictly protected reserves. The supporting statement indicates that the subspecies also occurs in Afghanistan and Uzbekistan but does not clarify if all markhor in Tajikistan are considered to belong to the subspecies *C. f. heptneri.*

The supporting statement argues that at CoP8, there was insufficient information to justify the transfer of *Capra falconeri falconeri* (including *cashmirensis*) and *Capra falconeri heptneri* (including *ognevi*) from Appendix II to Appendix I, and that all subspecies of *Capra falconeri* were re-categorized from "endangered" to "near threatened" in the IUCN Red List in 2015. The proposal states that the population of markhor in Tajikistan increased from less than 350 individuals at the end of the 1990s to over 2,500 individuals in 2018, and that no declines have been observed since the 2000s.

The Secretariat notes that the wild population of *C. f. heptneri* in Tajikistan is small (less than 5,000 individuals) according to the definitions, explanations and guidelines contained in Annex 5 of Resolution. Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*. From the information presented, it is not clear if the population meets any of the aggravating characteristics of criterion A i-v) in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17). The supporting statement indicates that main threats to *C. f. heptneri* in Tajikistan include illegal hunting, habitat degradation, competition with livestock and disease transmission, but it reports that regulated trophy hunting does not have direct negative impacts on the species' wild population.

The supporting statement also outlines conservation successes achieved through community-based programmes supported by funds generated through sustainable trophy hunting in Pakistan, and since 2013-2014 in Tajikistan, but here and elsewhere, it is not always made clear if information presented relates to *Capra falconeri* or the sub-species *C. f. heptneri*

Concerning the precautionary measures outlined in Annex 4 of Resolution Conf. 9.24 (Rev. CoP17), the proponent refers to paragraph A. 2, a) iii) [*an integral part of the amendment proposal is an export quota or other*

special measure approved by the Conference of the Parties, based on management measures described in the supporting statement of the amendment proposal, provided that effective enforcement controls are in place]. However, the amendment proposal does not specify an export quota, and no other special measures are an integral part of it. Regarding enforcement, it is stated that "Tajikistan has a legal framework in place and the enforcement measures to manage trophy hunting of *Capra falconeri heptneri* and ensure that potential illegal activities are prevented." But the supporting statement does not provide information about these enforcement measures, the scope or nature of the challenges to enforce CITES, the effectiveness of controls, or what happened in case illegal activities occurred.

Including the population of *C. f. heptneri* of Pakistan in Appendix II, while all other populations and subspecies of *Capra falconeri* remain in Appendix I, would result in a split-listing. Annex 3 of Resolution Conf. 9.24 (Rev. CoP17) states that "*listing of a species in more than one Appendix should be avoided in general in view of the enforcement problems it creates*" and that "*when split-listing does occur, this should generally be on the basis of national or regional populations, rather than subspecies*." It further states that "*Taxonomic names below the species level should not be used in the Appendices unless the taxon in question is highly distinctive and the use of the name would not give rise to enforcement problems*". The current listing proposal does not seem to comply with this guidance, given that it is based on a sub-species, which is not highly distinctive.

Additional considerations (including relevant CoP recommendations)

If the proposal is adopted, identification problems may occur to differentiate between hunting trophies of *Capra falconeri* and those of *Capra falconeri heptneri* from Tajikistan. These matters are not addressed in the supporting statement.

The Secretariat notes that a major objective of the proposal seems to better regulate trade in hunting trophies of Markhor from Tajikistan, possibly through the establishment of export quotas. This can be accomplished whether the population of *Capra falconeri heptneri* from Tajikistan is included in Appendix I or II. Parties may indeed decide to allow trade in hunting trophies of *Capra falconeri* in accordance with other existing provisions, i.e. those outlined in Resolution Conf. 2.11 (Rev.) on *Trade in hunting trophies of species listed in Appendix I,* and Resolution Conf. 17.9 on *Trade in hunting trophies of species listed in Appendix I or II*. *I*. Range States could also apply for export quotas for hunting trophies of *Capra falconeri* under Resolution Conf. 10.15 (Rev. CoP14) on *Establishment of quotas for markhor hunting trophies.* They can furthermore establish voluntary export quotas for hunting trophies in accordance with Resolution Conf. 14.7 (Rev. CoP15) on *Management of nationally established export quotas,* as Uzbekistan has done since 2016 (quota of 2 hunting trophies).

Conclusions

In their assessment of the proposal, IUCN/TRAFFIC clarify that, in Tajikistan. only the subspecies *Capra falconeri heptneri* occurs. There are no other subspecies of Capra falconeri in the country.

Annex 3 of Resolution Conf. 12.8 (Rev. CoP17) states that listing of a species in more than one Appendix should be avoided in general because of the enforcement problems it creates. Since the subspecies *Capra falconeri heptneri* also occurs in Afghanistan, Turkmenistan and Uzbekistan as well as Tajikistan, a split listing in this case could present enforcement challenges.

On the population status of *Capra falconeri heptneri* in Tajikistan, the IUCN/TRAFFIC assessment largely confirms the data provided in the supporting statement but adds that the latest estimations of over 2,500 animals are likely to be over-estimates, and that one sub-population is most likely extinct. The overall population in Tajikistan is recognised to be increasing but may have reached carrying capacity. It concludes that while existing survey data do not cover the whole range of the species in Tajikistan, it is very unlikely that the Tajik population exceeds 5,000 animals and is therefore a small population according to Resolution Conf. 9.24 (Rev CoP17). No information is available that suggests the population of *Capra falconeri heptneri* in Tajikistan would meet any of the aggravating factors i) to v) under criterion A in Annex 1 of Resolution Conf. 9.24. (Rev. CoP17).

Concerning the precautionary measures in Annex 4, the Secretariat observes that the supporting statement does not include an export quota or other special measures as an integral part of the proposal, as recommended in paragraph A 2 iii), and that concerning paragraph A 2 ii), the species is in demand for trade but there is very little

information available on the effectiveness of enforcement controls and compliance with the requirements of the Convention.

Recommendations

The population of *Capra falconeri heptneri* in Tajikistan does not meet the biological criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 1 for its inclusion in Appendix I, but the amendment proposal does not sufficiently address the precautionary measures recommended in Annex 4 of Resolution Conf. 9.24 (Rev. CoP17) for a transfer from Appendix I to II.

The Secretariat recommends that this proposal be **rejected**.

Note to Parties and Proponents

In the context of this proposal, the proponent may wish to consider whether the aim of the proposal can also be achieved under the provisions of Resolution Conf. 10.15 (Rev. CoP14) on *Establishment of quotas for markhor hunting trophies*, possibly to be discussed under agenda item 47 on *Enhancement of quotas for markhor hunting trophies* at the present meeting, or at a future meeting of the Conference of the Parties.

Proposal 2

***Saiga tatarica* (saiga antelope) - Transfer from Appendix II to Appendix I**

Proponents: Mongolia and United States of America

Provisional assessment by the Secretariat

CITES background

Saiga tatarica has been included in CITES Appendix II since 1995. The proposal that was accepted at the time referred to two subspecies, *S. t. tatarica* and *S. t. mongolica*, the latter only occurring in Mongolia. Since 2007 and the adoption at the 14th meeting of the Conference of the Parties (CoP14, The Hague, 2007) of Wilson, D.E. & Reeder, D.M (ed.) (2005) as the principal taxonomic reference for all Mammalia taxa, these former two subspecies have been recognized by the CITES Parties as two distinct species, *Saiga tatarica* and *Saiga borealis*, and they have been listed separately in CITES Appendix II as such since that time. The saiga antelope (*Saiga* spp.) has been the subject of dedicated CoP decisions since the 13th meeting of the Conference of the Parties (CoP13, Bangkok, 2004), and of numerous documents and reports to regular meetings of the Standing Committee and the Conference of the Parties, most recently the 70th meeting of the Standing Committee (SC70, Sochi, October 2018) and the 17th meeting of the Conference of the Parties (CoP17, Johannesburg, 2016).

Purpose and impact of the proposal

If the proposal is adopted, international trade in specimens of *Saiga tatarica* will be regulated in accordance with the provisions of Article III of the Convention. If *Saiga tatarica* were included in Appendix I, breeding operations wishing to commercially export and trade in specimens of this species would need to be registered with the Secretariat in accordance with Resolution Conf. 12.10 (Rev. CoP15) on *Registration of operations that breed Appendix-I animal species in captivity for commercial purposes*.

The proposal is for the transfer from Appendix II to Appendix I of *Saiga tatarica* only, although the supporting statement also includes some information on *Saiga borealis*. The supporting statement claims that "there are two recognized subspecies: *Saiga tatarica tatarica* and *Saiga tatarica mongolica*", but as indicated above, the CITES Parties have recognized these as being two separate full species, *Saiga tatarica* and *Saiga borealis*, for over a decade. The proponents appear to have developed the supporting statement without taking account of the CITES standard taxonomic reference for the species, or the advice of the nomenclature specialist of the Animals Committee. They may have had an intention to cover *Saiga* spp., or *Saiga tatarica* and *Saiga borealis*. However, an extension of the scope of the proposal in such a manner would be against Rule 24, paragraph 2 of the Rules of Procedure of the Conference of the Parties.

Compliance with listing criteria

The supporting statement indicates that the transfer of *Saiga tatarica* from Appendix II to Appendix I is proposed in accordance with Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*, Annex 1, Paragraph C ('*A marked decline in the population size in the wild'*).

Saiga tatarica is stated to occur in four major populations, one in Russia and three others found primarily in Kazakhstan (sometimes reaching Turkmenistan and Uzbekistan during seasonal migrations). The Kazakh/Uzbek/Turkmenistan populations were estimated in 2017 to be at around 152,600 individuals (51,700 in Betpak-Dala; 2,700 in Ustyurt; 98,200 in the Ural population), with an additional 4,000 to 8,000 *Saiga tatarica* in Russia (Kalmykia).

Threats to *Saiga tatarica* are said to be illegal hunting for national and international trade; loss of habitat, including due to grazing livestock and agriculture development; diseases; fences, roads, railways and other infrastructure that act as barriers to migration; and changing climatic conditions that altered food availability. The saiga antelope was categorized in 2002 as 'Critically Endangered' in the IUCN Red List.

The proposal explains that an important characteristic of saiga populations is that they are prone to large die-offs caused by disease, and that several of such mass die-off events occurred 'in the last five years'. In 2015, the Betpak-Dala population of *Saiga tatarica* faced a massive die-off of 211,000 individuals. This represented two-thirds of the global population at the time. These mortality events are indicated to be caused by disease and

certain climatic conditions which, according to the proponents, are projected to increase throughout saiga range in the future. Though large proportions of saiga populations are lost in these die-offs, the proponents point out that saiga antelopes can rebound quickly due to their unusually high birth rate. The supporting statement indicates that while still well below the levels of 2013, the Betpak-Dala population is believed to have increased from 2016 to 2017 by 42.8%, the Ustyurt population by 42.1% and the Ural population by 39.8%. The total number of saiga antelopes in Kazakhstan is believed to have increased by 40.9% compared to 2016.

Section 6 of the supporting statement does not contain much recent information on legal or illegal trade in specimens of *Saiga* spp. and seems at times to confuse data relating to legal trade with information on illegal trade. The section also does not refer to the saiga antelope trade information that was presented in document SC70 Doc. 58 to the CITES Standing Committee in October 2018. While the supporting statement states that "parts and derivatives of the saiga antelope are traded in large numbers", an analysis of CITES trade data for *Saiga* spp. for 2007-2016, presented at SC70, concluded that "legal international trade in saiga part and derivatives seems to decline overall, with a shift towards trade in finished products, and remains largely limited to transactions between a few Asian non-range States"; and an analysis of data on illegal trade for 2015-2017 presented at SC70 concluded that "the number of reported seizures and the amount of saiga specimens involved remain small."

The supporting statement refers to illegal trade whereby "newly hunted saiga are laundered through stockpiles". However, the supporting statement does not provide much information or pertinent evidence to substantiate this claim. It is worth noting that in their reports for SC70, the major saiga consumer and trading countries (China and Hong Kong SAR, Japan, Malaysia, Singapore, and Viet Nam) did not suggest any particular difficulties or challenges in regulating trade in saiga specimens.

The supporting statement provides details of the legal protection that *Saiga tatarica* receives in the four range States, and of the provisions in these countries regarding hunting of and trade in the species. *Saiga tatarica* occurs in several protected areas and is subject to a very comprehensive monitoring programme Kazakhstan across almost the entire range area of the country. There are eight captive breeding centers for *Saiga tatarica* in Kazakhstan, Russia, Uzbekistan and China, and the species is kept and bred in several zoos. The proponents also mention some of the international efforts concerning the conservation and restoration of saiga antelopes, particularly the CMS Memorandum of Understanding (MoU) on the Saiga Antelope. There is no information on CITES Decisions concerning saiga antelopes, or on the related CITES activities that have been undertaken since 2004.

With regard to the biological criteria for Appendix I in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17), the information presented in the supporting statement shows that the population of *Saiga tatarica* is not small (criterion A), and that the wild populations do not have a restricted area of distribution (criterion B). Concerning criterion C, it is not clear from the data presented if *Saiga tatarica* underwent a 'marked decline' in its population size in the wild over the last ten years, noting that sudden reductions due to disease, and quick recoveries thereafter, seem to significantly impact trends. The supporting statement indicates however that *Saiga tatarica* populations are increasing after mass die-offs in 2015, and have grown in Kazakhstan by 40% since 2016, suggesting that the conservation status of the species is improving.

Additional considerations (including relevant CoP recommendations)

Saiga tatarica is listed on Appendix II of the Convention on Migratory Species (CMS), and one of the target species under the CITES-CMS Joint work programme, adopted by both Conventions.

The proponents claim that "inclusion of this species on CITES Appendix I will help ensure that international trade for primarily commercial purposes will not contribute to further declines, and will help range, transit, and importing Parties combat any illegal trade whereby newly hunted saiga are laundered through stockpiles." However, the current listing in Appendix II of *Saiga tatarica* already provides all the necessary measures for addressing each of the quoted concerns, and its implementation seems relatively effective and successful, as was also reported to the Standing Committee at SC70. It is therefore unclear what additional conservation or management benefits the proponents expect from the inclusion of the species in Appendix I.

In document CoP18 Doc. 86 on *Saiga antelope (*Saiga *spp.)*, the Standing Committee recommends a series of decisions on *Saiga* spp., which focus on continuing to support the existing collaboration amongst range and consumer countries on saiga conservation and trade, and endorse the further engagement of CITES in implementing the current and future *5-year Medium-Term International Work Programme for the Saiga Antelope*,

developed in support of the CMS MoU concerning Conservation, Restoration and Sustainable Use of the Saiga Antelope (*Saiga* spp.) and its Saiga Action Plan. The measures proposed by the Standing Committee, including those relating to international trade, sustainable use and stockpile monitoring and management, seem to comprehensively address the concerns expressed by the proponents, and may be proportionate to the anticipated risk to the species.

While it was not clear from section 10 in the supporting statement (Consultations) if the proponents consulted the four range States of *Saiga tatarica* about the proposal, it was clarified at the Vilm workshop in April 2019 (see below) that such a consultation had taken place. Kazakhstan was the only range State that responded within the deadline provided. It had expressed its opposition to the proposal, but this is not reflected in the supporting statement.

Comments from Parties

In response to the CITES provisional assessment, one of the co-proponents of the proposal, the **United States of America**, submitted comments related to the taxonomy of the species and additional information regarding illegal trade in the species. With regard to the taxonomy, the United States states: "In Mongolia's and the US's proposal and justification, including our supporting statement, we clearly described our intention to transfer from Appendix II to Appendix I all populations of Saiga, and clearly described the proposed populations using the best information available. In doing so, however, we mistakenly made reference to the IUCN Red List and the Saiga Conservation Alliance taxonomy that recognizes all populations under one species of saiga (*Saiga tatarica*) with two subspecies (*Saiga tatarica tatarica* and *Saiga tatarica mongolica*), without meaning to propose any change in CITES taxonomy that includes the same populations under two recognized species (*Saiga borealis* and *Saiga tatarica*). Accordingly, pursuant to Rule 24.2 of the Rules of Procedure, we would like to amend our proposal to make it more precise by making reference instead to the CITES accepted nomenclature. Our proposal should be more precisely read as a proposal to "Transfer from Appendix II to Appendix I all populations of *Saiga borealis* and *Saiga tatarica*,"…This would not change the scope of any populations covered under our listing proposal, as under either approach and either taxonomy our proposal is clearly read along with our supporting justification to propose a transfer of all populations of Saiga from Appendix II to Appendix I."

The United States further clarifies: "We understand some have raised concerns over the recommendation in Annex 6, paragraph C (1,4) of Resolution conf. 9.24 (Rev. CoP17) that a proponent "should" use the CITES standard nomenclature for a proposal. We support this recommendation in Resolution Conf. 9.24 (Rev. CoP17) and we are proposing to clarify our proposal to make it more precise by making use of the current standard CITES nomenclature for Saiga as noted above, but we cannot agree that the use of the CITES standard nomenclature is a requirement for a valid proposal. We are concerned that the focus on this technical error has distracted Parties from the merits of the proposal. Therefore, we are seeking to have this amendment made as soon as possible in order to avoid any further confusion on this matter, and so that the merits of the proposal may be fully considered by the Conference of the Parties".

With regard to illegal trade, the United States provided additional information on the results of a project entitled "Strengthening Capacity and Collaboration to Combat Trafficking in Saiga Horn in Kazakhstan" implemented in collaboration with a local partner, Association for the Conservation of Biodiversity in Kazakhstan, working with customs and police. The results of the project activities include information on trade routes, the networks for illegal trade and the prices of saiga horn in source, transit and destination countries. The United States concludes: "The findings suggest that procurement of saiga horn in Kazakhstan is carried out mainly by poaching the animals; rarely are horns collected from animals that died of natural causes. These results reinforce the notion that illegal trade is a primary threat to the conservation of saiga and that action is needed to combat this threat."

Conclusions

Additional information made available to the Secretariat after its provisional assessment, including from the IUCN/TRAFFIC assessment and the Joint CMS-CITES Technical Workshop under the Memorandum of Understanding (MoU) Concerning Conservation, Restoration and Sustainable Use of the Saiga antelope (*Saiga* spp.) (Vilm, Germany 1-4 April 2019), indicate that the overall population of Saiga antelopes increased from an estimated 67,169-72,169 animals in 2006 (when the Saiga MOU came into effect) to 228,100 in 2018, despite major disease outbreaks, particularly in 2015, and to a lesser extent in 2017. The latter affected the population of *S. borealis* in Mongolia in particular. Reported to be at 3,169 animals in 2006, the population had peaked to 14,869 in 2015 thanks to dedicated conservation efforts, after which a disease outbreak in 2016/17, followed by harsh winter conditions, caused a serious decline to 3,000 individuals in 2018. In April 2019, Mongolia reported

at the Vilm workshop that the population was estimated at 6,000 animals, indicating large fluctuations as well as the capacity of recovery.

The range States of *S. tatarica* all prohibit hunting of, and trade in saiga antelopes, and commercial exports of specimens of saiga antelope stopped around 2005. The current legal trade in, and consumption of, saiga specimens is essentially based on saiga horn that was imported before these export suspensions took effect. The very large majority of trade from stockpiles held outside saiga antelope range States is in specimens of *S. tatarica*, as also reported at SC70. IUCN/TRAFFIC indicate that illegally sourced horns of *S. tatarica* from poached animals are laundered into existing legal markets in Asia, although current levels of poaching are not considered to represent a threat to the survival of *S. tatarica*. It also indicates that poaching does not represent a major threat to *S. borealis*, noting that horns and other parts and derivatives of *S. tatarica* and *S. borealis* strongly resemble each other.

Based on available information, it appears that the global population of *S. tatarica*, numbering more than 220,000, is not small; that the area of distribution of the species is extensive; and that the species has not undergone a marked decline in size in the wild, noting that the species has been increasing since 2006, and continues to do so. The additional information related to illegal trade in specimens of *S. tatarica* does not provide evidence that the effective implementation of provisions applicable to it under Appendix II would not suffice to address concerns.

Recommendations

Saiga tatarica does not meet the biological criteria in Resolution Conf. 9.24 (Rev. CoP17), Annex 1 for its inclusion in Appendix I.

The Secretariat recommends that this proposal be **rejected**.

Note to Parties and Proponent

The text of Proposal 2 clearly refers to *Saiga tatarica*, and the Secretariat's assessment and recommendations concern this species only. Should the Conference of the Parties agree to consider the clarifications provided by the co-proponents whereby Proposal 2 should cover *Saiga tatarica* and *S. borealis*, the Secretariat draws attention to Rule 24.2 of the Rules of Procedure of the meeting of the Conference of the Parties.

The Secretariat further observes that from the available information, it seems unclear if *S. borealis* would meet the biological criteria for its inclusion in Appendix I.

The Secretariat finally notes that including *S. tatarica* and *S. borealis* in different Appendices would result in implementation challenges for regulating trade in *S. tatarica*, being the species in trade, because the parts and derivatives of both species are very similar.

Proposal 3

***Vicugna vicugna* (vicuna) - Transfer of the population of the Province of Salta (Argentina) from Appendix I to Appendix II with annotation 1**

Proponent: Argentina

Provisional assessment by the Secretariat

CITES background

Vicugna vicugna is included in the Appendices as follows:

Appendix I	**Appendix II**
Vicugna vicugna [Except the populations of: Argentina (the populations of the Provinces of Jujuy and Catamarca and the semi-captive populations of the Provinces of Jujuy, Salta, Catamarca, La Rioja and San Juan), Chile (population of the Primera Región), Ecuador (the whole population), Peru (the whole population) and the Plurinational State of Bolivia (the whole population), which are included in Appendix II]	***Vicugna vicugna*** [Only the populations of Argentina (the populations of the Provinces of Jujuy and Catamarca and the semi-captive populations of the Provinces of Jujuy, Salta, Catamarca, La Rioja and San Juan), Chile (population of the Primera Región), Ecuador (the whole population), Peru (the whole population) and the Plurinational State of Bolivia (the whole population); all other populations are included in Appendix I][1]

[1] For the exclusive purpose of allowing international trade in fibre from vicuñas (*Vicugna vicugna*) and their derivative products, only if the fibre comes from the shearing of live vicuñas. Trade in products derived from the fibre may only take place in accordance with the following provisions:

a) Any person or entity processing vicuña fibre to manufacture cloth and garments must request authorization from the relevant authorities of the country of origin (Countries of origin: The countries where the species occurs, that is, Argentina, Bolivia, Chile, Ecuador and Peru) to use the "vicuña country of origin" wording, mark or logo adopted by the range States of the species that are signatories to the Convention for the Conservation and Management of the Vicuña.

b) Marketed cloth or garments must be marked or identified in accordance with the following provisions:

i) For international trade in cloth made from live-sheared vicuña fibre, whether the cloth was produced within or outside of the range States of the species, the wording, mark or logo must be used so that the country of origin can be identified. The VICUÑA [COUNTRY OF ORIGIN] wording, mark or logo has the format as detailed below:

This wording, mark or logo must appear on the reverse side of the cloth. In addition, the selvages of the cloth must bear the words VICUÑA [COUNTRY OF ORIGIN].

ii) For international trade in garments made from live-sheared vicuña fibre, whether the garments were produced within or outside of the range States of the species, the wording, mark or logo indicated in paragraph b) i) must be used. This wording, mark or logo must appear on a label on the garment itself. If the garments are produced outside of the country of origin, the name of the country where the garment was produced should also be indicated, in addition to the wording, mark or logo referred to in paragraph b) i).

c) For international trade in handicraft products made from live-sheared vicuña fibre produced within the range States of the species, the VICUÑA [COUNTRY OF ORIGIN] - ARTESANÍA wording, mark or logo must be used as detailed below:

d) If live-sheared vicuña fibre from various countries of origin is used for the production of cloth and garments, the wording, mark or logo of each of the countries of origin of the fibre must be indicated, as detailed in paragraphs b) i) and ii).

e) All other specimens shall be deemed to be specimens of species listed in Appendix I and the trade in them shall be regulated accordingly

Vicugna vicugna was included in Appendix I when CITES entered in force on 1 July 1975 as numbers had been driven to low levels by competition with livestock and poaching. Following its listing in Appendix I, the species has shown a dramatic population recovery. During the late 1980s and 1990s, many populations were moved to Appendix II, latterly for the purposes of live shearing and allowing trade in wool and wool-derived products. The most recent amendment to the listing of *Vicugna vicugna* in Appendix II is reflected in current annotation 1, following the adoption of a proposal submitted by Peru (CoP17 Prop. 3) at the seventeenth meeting of the Conference of the Parties (CoP17, Johannesburg, 2016). Annotation 1 represents, in a consolidated manner, the agreements reached in the context of the *Convenio para la Conservación y Manejo de la Vicuña*, adopted in 1979 by all five range states (Argentina, the Plurinational State of Bolivia, Chile, Ecuador and Peru). Before the adoption of annotation 1, said agreements were reflected in five annotations for *Vicugna vicugna*, one for each range State.

Purpose and impact of the proposal

The proposal seeks to transfer the *Vicugna vicugna* population of the Province of Salta from Appendix I to II, and with annotation 1. Though the proposal does not specify it and considering the semi-captive populations of the Province of Salta are already listed in Appendix II, it is understood that Argentina proposes to transfer the remaining populations (wild and captive bred) to Appendix II.

If this were the case, the following amendment would be warranted in the listing of *Vicugna vicugna* in the Appendices:

Appendix I	**Appendix II**
Vicugna vicugna [Except the populations of: Argentina (the populations of the Provinces of Jujuy, ~~and~~ and Catamarca and Salta, and the semi-captive populations of the Provinces of Jujuy~~, Salta,~~ Catamarca, La Rioja, Salta and San Juan), Chile (population of the Primera Región), Ecuador (the whole population), Peru (the whole population) and the Plurinational State of Bolivia (the whole population), which are included in Appendix II]	***Vicugna vicugna*** [Only the populations of Argentina (the populations of the Provinces of Jujuy, ~~and~~ Catamarca and Salta, and the semi-captive populations of the Provinces of Jujuy, ~~Salta,~~ Catamarca, La Rioja, Salta and San Juan), Chile (population of the Primera Región), Ecuador (the whole population), Peru (the whole population) and the Plurinational State of Bolivia (the whole population); all other populations are included in Appendix I][1]

It is important to note that the proposal entails no changes to annotation 1 of *Vicugna vicugna* under the Appendices.

This amendment will only affect the listings in the Appendices of Argentinian populations of *Vicugna vicugna*, and if adopted, it implies that all specimens of the species from the Province of Salta would be listed in Appendix II.

Compliance with listing criteria

The supporting statement does not specify the Appendix-II listing criteria met for the proposed downlisting.

Vicugna vicugna is the smallest species of camelid and is native to five South American countries: Argentina, Chile, Bolivia (Plurinational State of), Ecuador and Peru. According to the latest assessment of the species under IUCN Red List on threatened species (dated 2018)[1], the species qualifies under the category "Least Concern", and its populations are known to be increasing. According to said assessment, the total South American vicuna population is around 500,494 animals, with 46% in occurring in Peru, 29% in Bolivia, 21% in Argentina, 3% in Chile, and 2% in Ecuador.

According to the supporting statement, the Province of Salta (Argentina) is located within the Natural Reserve of Wild Fauna "Los Andes", where according to a 2018 study, around 58,387 vicunas occur. The supporting statement further notes that between 2013 and 2018 the abundance of vicunas in the Province of Salta nearly doubled.

According to the supporting statement, the main threat faced by vicunas (throughout their range) is poaching. Particularly in the Province of Salta, in addition to a few reported cases of poaching, mining and introduction of exotic livestock species also pose a threat to its vicuna population.

The supporting statement notes that in Argentina, the non-lethal harvest of its fiber is allowed yet regulated, whereas its lethal harvest is prohibited. At the national level, the fiber of vicuna is used to craft artisanal garments. At the international level, the main specimens of vicuna in trade are: fleece, fiber and artisanal garments. According to the supporting statement, the main importers of vicuna specimens are Australia, China, Italy, Germany, the United Kingdom of Great Britain and Northern Ireland, and the United States of America.

The supporting statement lists a strong legal framework in effect relating to the sustainable management and trade of vicunas at several levels: sub-national (Province of Salta); national (Argentina); regional (Convention for the Conservation and Management of Vicunas); and international (CITES).

The supporting statement highlights that the transfer to Appendix II of all remaining populations of vicuna from the Province of Salta with annotation 1 would benefit the livelihoods of local communities in the Province of Salta, who obtain wool from live-sheared vicunas.

The Secretariat further notes that, based on the information provided in the supporting statement, the proposed amendment seems to be in compliance with the precautionary measures outlined in Annex 4 of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*.

Additional considerations (including relevant CoP recommendations

The supporting statement shows extensive internal consultations and strong management measures and safeguards in place to justify the transfer of all remaining populations of vicuna of the Province of Salta (Argentina), to Appendix II with annotation 1.

The Secretariat notes that the language in brackets in the Appendix II listings of Argentinian populations of vicunas is confusing, noting that the Populations of Jujuy are referred to twice: first on an overall basis, and then specifically making reference to "semi-captive" populations.

Similarly, the current annotation 1 (which applies to all vicunas listed in Appendix II), is somewhat complex, and likely to pose a challenge in its interpretation and implementation. Therefore, in future, it would be advisable for range States of vicunas to propose simpler and more straightforward language for this annotation, taking into account the guidance contained in Resolution Conf. 11.21 (Rev. CoP17) on *Use of annotations in Appendices I and II*.

[1] https://www.iucnredlist.org/species/22956/18540534

Conclusions

Vicugna vicugna is the smallest species of camelid and is native to five South American countries: Argentina, Chile, Bolivia (Plurinational State of), Ecuador and Peru. According to the latest assessment of *Vicugna vicugna* under the IUCN Red List of threatened species, the species is of "Least Concern", and its populations are known to be increasing. The *Vicugna vicugna* population of the province of Salta (Argentina) is in trade and, if transferred to Appendix II with annotation 1, is expected to be managed in the same way as the adjacent and contiguous populations of Jujuy and Catamarca provinces, also in Argentina.

The information contained in the proposal suggests that the specimens currently not listed in Appendix II of vicuna of the province of Salta in Argentina no longer meet the biological criteria for Appendix I, as contained in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17). Furthermore, if the remaining populations of vicunas from the province of Salta are transferred to Appendix II with annotation 1, criterion A of Annex 2b of Resolution Conf. 9.24 (Rev. CoP17) would still apply. It also appears that precautionary measures set out in Annex 4 of Resolution Conf. 9.24 (Rev. CoP17) are met.

Recommendations

The *Vicugna vicugna* population of the province of Salta (Argentina) does not meet the biological criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 1 for its inclusion in Appendix I, and can be transferred to Appendix II with annotation 1, in accordance with the precautionary measures in Annex 4 of Resolution Conf. 9.24 (Rev. CoP17).

The Secretariat recommends that this proposal be **adopted.**

Note to Parties and Proponents

Argentina is invited to provide clarification of the term "semi-captive" population in annotation 1.

Proposal 4

***Vicugna vicugna* (vicuna) - Amendment to the name of the population of Chile from "population of the Primera Región" to "populations of the region of Tarapacá and of the region of Arica and Parinacota"**

Proponent: Chile

Provisional assessment by the Secretariat

CITES background

Vicugna is included in the Appendices as follows:

Appendix I	**Appendix II**
Vicugna vicugna [Except the populations of: Argentina (the populations of the Provinces of Jujuy and Catamarca and the semi-captive populations of the Provinces of Jujuy, Salta, Catamarca, La Rioja and San Juan), Chile (population of the Primera Región), Ecuador (the whole population), Peru (the whole population) and the Plurinational State of Bolivia (the whole population), which are included in Appendix II]	***Vicugna vicugna*** [Only the populations of Argentina (the populations of the Provinces of Jujuy and Catamarca and the semi-captive populations of the Provinces of Jujuy, Salta, Catamarca, La Rioja and San Juan), Chile (population of the Primera Región), Ecuador (the whole population), Peru (the whole population) and the Plurinational State of Bolivia (the whole population); all other populations are included in Appendix I][1]

[1] For the exclusive purpose of allowing international trade in fibre from vicuñas (*Vicugna vicugna*) and their derivative products, only if the fibre comes from the shearing of live vicuñas. Trade in products derived from the fibre may only take place in accordance with the following provisions:

a) Any person or entity processing vicuña fibre to manufacture cloth and garments must request authorization from the relevant authorities of the country of origin (Countries of origin: The countries where the species occurs, that is, Argentina, Bolivia, Chile, Ecuador and Peru) to use the "vicuña country of origin" wording, mark or logo adopted by the range States of the species that are signatories to the Convention for the Conservation and Management of the Vicuña.

b) Marketed cloth or garments must be marked or identified in accordance with the following provisions:

i) For international trade in cloth made from live-sheared vicuña fibre, whether the cloth was produced within or outside of the range States of the species, the wording, mark or logo must be used so that the country of origin can be identified. The VICUÑA [COUNTRY OF ORIGIN] wording, mark or logo has the format as detailed below:

This wording, mark or logo must appear on the reverse side of the cloth. In addition, the selvages of the cloth must bear the words VICUÑA [COUNTRY OF ORIGIN].

ii) For international trade in garments made from live-sheared vicuña fibre, whether the garments were produced within or outside of the range States of the species, the wording, mark or logo indicated in paragraph b) i) must be used. This wording, mark or logo must appear on a label on the garment itself. If the garments are produced outside of the country of origin, the name of the country where the garment was produced should also be indicated, in addition to the wording, mark or logo referred to in paragraph b) i).

c) For international trade in handicraft products made from live-sheared vicuña fibre produced within the range States of the species, the VICUÑA [COUNTRY OF ORIGIN] - ARTESANÍA wording, mark or logo must be used as detailed below:

d) If live-sheared vicuña fibre from various countries of origin is used for the production of cloth and garments, the wording, mark or logo of each of the countries of origin of the fibre must be indicated, as detailed in paragraphs b) i) and ii).

e) All other specimens shall be deemed to be specimens of species listed in Appendix I and the trade in them shall be regulated accordingly

Vicugna vicugna was included in Appendix I when CITES entered in force on 1 July 1975 as numbers had been driven to low levels by competition with livestock and poaching. Following its listing in Appendix I, the species has shown a dramatic population recovery. During the late 1980s and 1990s, many populations were moved to Appendix II, latterly for the purposes of live shearing and allowing trade in wool and wool-derived products. The most recent amendment to the listing of *Vicugna vicugna* in Appendix II is reflected in current annotation 1, following the adoption of a proposal submitted by Peru (CoP17 Prop. 3) at the seventeenth meeting of the Conference of the Parties (CoP17, Johannesburg, 2016). Annotation 1 represents, in a consolidated manner, the agreements reached in the context of the *Convenio para la Conservación y Manejo de la Vicuña*, adopted in 1979 by all five range states (Argentina, the Plurinational State of Bolivia, Chile, Ecuador and Peru). Before the adoption of annotation 1, said agreements were reflected in five annotations for Vicugna vicugna, one for each range State.

Purpose and impact of the proposal

The proposal seeks to align the language of the listing of *Vicugna vicugna* in the Appendices, with that of relevant Chilean legislation in effect since 2007 (Ley 20.175, Annex 1 of the proposal). This would entail the following amendment to the language of the brackets in the *Vicugna vicugna* listings in the Appendices (new text underlined, deleted text in ~~strikethrough~~):

Appendix I	**Appendix II**
Vicugna vicugna [Except the populations of: Argentina (the populations of the Provinces of Jujuy and Catamarca and the semi-captive populations of the Provinces of Jujuy, Salta, Catamarca, La Rioja and San Juan), Chile (the populations of the ~~Primera~~ Region of Tarapacá and of the Region of Arica and Paranicota), Ecuador (the whole population), Peru (the whole population) and the Plurinational State of Bolivia (the whole population), which are included in Appendix II]	***Vicugna vicugna*** [Only the populations of Argentina (the populations of the Provinces of Jujuy and Catamarca and the semi-captive populations of the Provinces of Jujuy, Salta, Catamarca, La Rioja and San Juan), Chile (the populations of the ~~Primera~~ Region of Tarapacá and of the Region of Arica and Paranicota), Ecuador (the whole population), Peru (the whole population) and the Plurinational State of Bolivia (the whole population); all other populations are included in Appendix I][1]

It is important to note that the proposal entails no changes to annotation 1 of *Vicugna vicugna* under the Appendices.

This amendment will only affect the listings of Chilean populations of *Vicugna vicugna* in the Appendices.

Compliance with listing criteria

This section is not applicable, since the proposal implies no changes to the current CITES provisions applicable to the populations of *Vicugna vicugna* concerned.

Additional considerations (including relevant CoP recommendations)

In the Annex of the supporting statement, a copy of the first page of the Chilean law cited in the proposal is provided (ley 20.175).

Argentina has also submitted an amendment proposal to the listing of *Vicugna vicugna*, as reflected in CoP18 Prop. 3.

Conclusions

Vicugna vicugna is the smallest species of camelid and is native to five South American countries: Argentina, Chile, Bolivia (Plurinational State of), Ecuador and Peru. According to the latest assessment of *Vicugna vicugna* under the IUCN Red List of threatened species, the species is of “Least Concern”, and its populations are known to be increasing.

The proposal does not entail a change in the listings of the Chilean populations of vicuna in the Appendices. It is intended to correct the text of the annotation where it concerns references to territories in Chile, to better reflect relevant Chilean legislation, which has been in effect since 2007. The proposed amendment could facilitate compliance with the Convention for the regulation of trade of specimens of *Vicugna vicugna* from the populations of Chile.

Recommendations

The amendments proposed to the names of the Chilean populations of *Vicugna vicugna* in the annotation are needed in order to align the provisions of the Convention with the Chilean legislation.

The Secretariat recommends that this proposal be **adopted.**

Proposal 5

***Giraffa camelopardalis* (giraffe) - Inclusion in Appendix II**

Proponents: Central African Republic, Chad, Kenya, Mali, Niger and Senegal

Provisional assessment by the Secretariat

CITES background

Giraffa camelopardalis is currently not included in the CITES Appendices and this is the first time such a proposal has been submitted.

The proponents specifically state that the proposal addresses all giraffe as one species, meaning that all subspecies and geographically separate populations are included. The standard reference for mammal species adopted by the Conference of the Parties also recognizes a single species.

Purpose and impact of the proposal

The proposal seeks to include *Giraffa camelopardalis* in Appendix II, in accordance with Article II, paragraph 2(a) of the Convention. If the proposal is adopted, international trade in specimens of these taxa will be regulated in accordance with the provisions of Article IV of the Convention.

Compliance with listing criteria

The supporting statement suggests that inclusion of *Giraffa camelopardalis* in Appendix II satisfies criterion B in Annex 2a of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*.

The supporting statement indicates the species has a broad distribution range, being found in Angola, Botswana, Cameroon, the Central African Republic, Chad, the Democratic Republic of the Congo, Ethiopia, Kenya, Mozambique, Namibia, Niger, Somalia, South Africa, South Sudan, the United Republic of Tanzania, Uganda, Zambia and Zimbabwe. The supporting statement indicates that range States were consulted in October 2018 and that comments were received from Niger, Kenya, Senegal, Mali, Cameroon and the European Union. In addition, Chad convened a meeting with some of the range States in November to seek additional comments, which have also been incorporated into the proposal.

In 2016, the IUCN Red List of Threatened Species updated its assessment of *Giraffa camelopardalis* to "Vulnerable," citing an ongoing population decline between 36% and 40% over the last 30 years or three generations. Habitat loss and fragmentation are one of the primary causes of giraffe population decline. Expansive habitat is a prerequisite for healthy giraffe populations, given their relatively large home ranges—which average between 68 km^2 and 514 km^2. While exploitation for trade may not be the primary cause of decline in wild giraffe populations, it nevertheless has an additive effect when combined with the main causes of habitat loss, civil unrest, and poaching for wild meat. Giraffes have a low reproductive rate, which makes them susceptible to overexploitation. A listing in Appendix II for the giraffe would put in place monitoring and control measures to ensure that overexploitation for trade does not exacerbate the decline in this species. Giraffe specimens are traded internationally, although the country of origin, the subspecies, and whether the specimens in trade were legally acquired, are not known for all specimens in trade; trade data for the United States of America (USA) are available and presented in the proposal.

The IUCN Species Survival Commission (SSC) Giraffe and Okapi Specialist Group and the Giraffe Conservation Foundation (GCF) estimate that giraffes numbered between 151,702 and 163,452 in the 1980s; with estimates of 141,000 giraffes in the wild in the 1990s; and the most recent IUCN estimate, in 2015, placing the giraffe population at 97,562 individuals. While the overall population is declining, the trends vary significantly at regional and subspecies levels.

Since the species is not in the CITES Appendices, no CITES trade data exist. It is presumed that the United States of America and the European Union are the main importers of giraffe specimens. Based on information from the USA Law Enforcement Management Information System trade database, 39,516 giraffe specimens (giraffes, dead or alive, and their parts and derivatives) were imported to the USA for all purposes between 2006 and 2015. This is the equivalent of at least 3,751 individual giraffes. Wild-sourced specimens accounted for 99.7%

of specimens imported to the United States in this period. The top exporters of giraffe specimens for hunting trophy purposes imported to the United States were: South Africa (3,065 or 60.8%); Zimbabwe (1,346 or 26.7%); and Namibia (575 or 11.4%). These are also the countries where the subspecies populations have increased over the last 40 years.

In terms of illegal trade, giraffes are snared and illegally hunted for their meat and although meat is consumed locally, the proponents indicate that it is also part of cross-border trade in wild meat.

Additional considerations (including relevant CoP recommendations)

In October 2017, giraffe was listed in Appendix II of the Convention on the Conservation of Migratory Species of Wild Animals (species which have an unfavourable conservation status, and which require international agreements for their conservation and management, as well as those which have a conservation status which would significantly benefit from the international cooperation that could be achieved by an international agreement).

Comments from Parties

Niger, as one of the co-proponents of this proposal, reiterated its support for the inclusion of *Giraffa camelopardalis* in Appendix II, and indicated that the populations of Guinea, Senegal, Mali and Burkina Faso are declining.

Conclusions

It appears that the global population of *Giraffa camelopardalis* is not small, with a population estimate of almost 100,000 animals spread over a wide geographic range in Africa. While IUCN notes that the species has experienced population declines of 36-40% over the last three generations, the main drivers of this decline are identified as habitat loss and fragmentation, illegal hunting, civil unrest and ecological changes.

The population trends vary significantly at regional and subspecies levels, and each population is subject to different conservation management strategies, levels of utilisation and pressure by threats that are specific to their local country or region. IUCN/TRAFFIC indicate that some giraffe populations in southern Africa are stable or increasing, such as *G. c. angolensis* (which increased by 95% between 2004 and 2018) and *G. c. giraffa* (which increased by 67% between 1979 and 2016). Other giraffe populations in central and eastern Africa are declining, such as *G. c. reticulata* (which has declined by between 56% and 67% from the 1990s to 2018), *G. c. antiquorum* (which has declined by 85% from 1986 to 2018) and *G. c. camelopardalis* (which has declined by 97% from 1982 to 2018). However, there is little evidence to suggest that international trade is a driver for any population decline.

IUCN/TRAFFIC provide a detailed analysis of available giraffe trade data, which showed that where international trade in specimens of *G. camelopardalis* does occur, it is predominantly in hunting trophies from areas with well managed populations in Namibia, South Africa and Zimbabwe, with small numbers of trophies originating from Botswana and Zambia. While some concerns had been raised about the management of giraffe populations in Zimbabwe, which had declined by 70% from around 26,000 in 1998 to 8,000 in 2016, IUCN/TRAFFIC explained in its analysis that the decline was largely due to land conversion and an increase in poaching for local consumption.

Based on the above, there is little evidence to suggest that regulation of international trade in giraffe is required to ensure that the harvest of specimens from the wild is not reducing the wild population to a level at which its survival might be threatened by continued harvesting or other influence as outlined in criterion B of Annex 2a of Resolution Conf. 9.24 (Rev. CoP17). An Appendix II listing would not address the main threats to the conservation of the species.

Recommendations

Giraffa camelopardalis does not meet the criteria in Resolution Conf. 9.24 (Rev. CoP17) Annexes 2a or b for its inclusion in Appendix II in accordance with Article II, paragraph 2 (a) or 2 (b) of the Convention.

The Secretariat recommends that this proposal be **rejected**.

Proposal 6

***Aonyx cinereus*[2] (small clawed otter) - Transfer from Appendix II to Appendix I**

Proponents: India, Nepal and Philippines

Provisional assessment by the Secretariat

CITES background

The species *Aonyx cinereus* has been listed on CITES Appendix II since 1977. It is currently included under the subfamily listing of *Lutrinae* spp. (of which there are 13 extant species). All species within this subfamily are currently listed in Appendix II, with the following exceptions that are listed in Appendix I: *Aonyx capensis microdon* (only the populations of Cameroon and Nigeria; all other populations are included in Appendix II), *Enhydra lutris nereis, Lontra feline, Lontra longicaudis, Lontra provocax, Lutra lutra, Lutra nippon* and *Pteronura brasiliensis.*

Purpose and impact of the proposal

The proposal seeks to prohibit international commercial trade in specimens of wild origin of *Aonyx cinereus.* If the proposal is adopted, international commercial trade in specimens of *A. cinereus* of wild origin will become prohibited. International trade in specimens of the species will be regulated in accordance with the provisions of Article III of the Convention.

The proponents indicate that *A. cinereus* has been successfully and widely reproduced in captivity. The vast majority of captive-bred specimens come from non-range States, which may raise a concern on the origin of the parental breeding stock. If *A. cinereus* were to be included in Appendix I, breeding operations wishing to commercially export and trade in specimens of this species would need to be registered with the Secretariat in accordance with Resolution Conf. 12.10 (Rev. CoP15) on *Registration of operations that breed Appendix-I animal species in captivity for commercial purposes.*

Compliance with listing criteria

The supporting statement suggests that listing *Aonyx cinereus* on Appendix I satisfies criterion C of Annex 1 of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*. The proponents make specific reference to a marked decline in the population size in the wild that is inferred on the basis of a decrease in area of habitat, a decrease in quality of habitat and a high vulnerability to extrinsic factors (high levels of poaching).

The species is the smallest of all the species of otter in the world and has a broad distribution range, extending from India in South Asia eastwards through Southeast Asia, including the Lao People's Democratic Republic, Malaysia, Myanmar, Cambodia, Bangladesh and Indonesia to Palawan, Philippines and southern China. The proponents do not indicate whether consultations took place with other range States.

The proposal states that the population size is unknown, with no reliable estimates of population size in the wild, so the proponents refer to an IUCN Red List assessment of 2014 to support their argument. That assessment indicates that the population of small-clawed otters was inferred to have declined by greater than 30% over the past 30 years (approximately three generations). The species was also categorized as Vulnerable with a decreasing population trend. However, the levels of decline mentioned remain below the general guidelines provided in Annex 5 of Resolution Conf. 9.24 (Rev. CoP17) that would warrant inclusion in Appendix I. Annex 5 suggests that "a general guideline for a marked recent rate of decline is a percentage decline of 50% or more in the last 10 years or three generations, whichever is the longer".

The supporting statement describes in some detail the threats to otter populations globally, including habitat loss and degradation, depletion of prey base from overfishing, persecution by fishermen, poaching and trade for fur,

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2 *According to the standard nomenclatural reference adopted by the Conference of the Parties, this species is named* Aonyx cinerea*.*

traditional medicine and the pet trade. It suggests that an emerging threat from the international pet trade exists, noting that this takes place predominantly online, making it difficult to control.

The supporting statement presents data from the CITES trade database that shows that since the species was listed in 1977, the vast majority of trade has been in live, captive-bred specimens for non-commercial purposes and there has been limited trade in wild specimens. The only direct exports of specimens recorded as wild-sourced are indicated in table below.

Year	Importer	Exporter	Importer reported quantity	Exporter reported quantity	Specimens	Purpose	Source
1992	JP	ZA*	2		Live	T	W
1992	US	MY		5	Live	Z	W
2008	JP	MY	4	4	Live	Z	W
2010	JP	MY	6	6	Live	Z	W
2012	US	SG	2		specimens	S	W
2015	KR	LA	4		Live	Z	W

* May be an error as exporter is not a range State and therefore could not directly export wild-caught specimens.

The supporting statement does not raise any concerns around look-alikes with extant otter species, noting that most trade is in live animals as pets. However, it is stated in the section on illegal trade that it is very difficult to distinguish between the skins of different otter species once they are in trade.

Additional considerations (including relevant CoP recommendations)

Small clawed otters were originally described as *Lutra cinerea*, *Lutra* being a feminine noun and *cinerea* ending accordingly with an “a”. When they were transferred to the genus *Aonyx*, a masculine noun, the ending of the species name should change accordingly to *cinereus*, but that was apparently overlooked when it was transferred to *Aonyx*. It is noted that the proposal does not propose a standard reference for otters to reflect this.

The proponents use the grammatically correct spelling of *Aonyx cinereus* in this proposal, however, as the species is listed under the name *Aonyx cinerea* in the nomenclatural standard reference adopted by CITES (Wilson & Reeder, 2005), this will be the name used in CITES documentation until the name can be fixed. The nomenclature specialist for fauna proposes in document CoP18 Doc. 99 Annex 6 to address this issue at this meeting by adopting the following nomenclature standard reference:

> Larivière, S., & A.P. Jennings (2009). Species account 37 for Asian Small-clawed Otter *Aonyx cinereus*, p. 647 in Wilson, D.E., & Mittermeier, R.A. (eds.), Handbook of the Mammals of the World. Vol.1. Carnivores. Lynx Edicions, Barcelona. ISBN 978-84-96553-49-1.

Conclusions

The population size of *Aonyx cinereus* is unknown but is unlikely to be small given its broad geographical distribution. The species was categorized in the IUCN Red List as Vulnerable with a decreasing population trend, and the population was inferred to have declined by greater than 30% over the past 30 years (approximately three generations) (IUCN, 2014). This is below the general guideline for a marked recent rate of decline of 50% or more in the last 10 years or three generations, whichever is the longer, as provided in Annex 5 of Resolution Conf. 9.24 (Rev. CoP17) that would warrant inclusion in Appendix I.

The species has been successfully bred in captivity. Although the CITES trade database indicates that small numbers of wild-sourced specimens have been traded, it is evident that most of the international trade in *Aonyx cinereus* is in captive bred specimens for non-commercial purposes, with the vast majority of captive-bred specimens coming from non-range States. There is no evidence to suggest that the demand for the species is not currently being met by existing captive breeding facilities. It is therefore not clear what additional benefits an Appendix-I listing would provide to the conservation of the species.

Recommendations

Aonyx cinereus does not meet the biological criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 1 for its inclusion in Appendix I.

The Secretariat recommends that this proposal be **rejected.**

Proposal 7

***Lutrogale perspicillata* (smooth-coated otter) - Transfer from Appendix II to Appendix I**

Proponents: Bangladesh, India and Nepal

Provisional assessment by the Secretariat

CITES background

The species *Lutrogale perspicillata* has been included in CITES Appendix II since 1977. It is included in the subfamily listing of *Lutrinae* spp. (of which there are 13 extant species). All species within this subfamily are currently listed in Appendix II, with the following exceptions that are listed in Appendix I: *Aonyx capensis microdon* (only the populations of Cameroon and Nigeria; all other populations are included in Appendix II), *Enhydra lutris nereis, Lontra felina, Lontra longicaudis, Lontra provocax, Lutra lutra, Lutra nippon* and *Pteronura brasiliensis*

Purpose and impact of the proposal

The proposal seeks to prohibit international commercial trade in specimens of wild origin of *Lutrogale perspicillata.* If the proposal is adopted, international commercial trade in specimens of *L. perspicilliata* of wild origin will become prohibited. International trade in specimens of the species will be regulated in accordance with the provisions of Article III of the Convention.

The proponents indicate that *L. perspicilliata* has been successfully reproduced in captivity, though mainly by zoos and not for commercial purposes. If *L. perspicilliata* were included in Appendix I, breeding operations wishing to commercially export and trade in specimens of this species would need to be registered with the Secretariat in accordance with Resolution Conf. 12.10 (Rev. CoP15) on *Registration of operations that breed Appendix-I animal species in captivity for commercial purposes.*

Compliance with listing criteria

The supporting statement suggests that listing *Lutrogale perspicillata* on Appendix I satisfies criterion C of Annex 1 of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*. The proponents make specific reference to a marked decline in the population size in the wild that is inferred on the basis of a decrease in area of habitat, a decrease in quality of habitat and a high vulnerability to extrinsic factors (high levels of poaching).

The distribution of *L. perspicillata* overlaps with that of *A. cinereus*, but the latter is more widespread. The supporting statement indicates that *L. perspicillata* has been confirmed from Nepal, India, Bangladesh, Bhutan, southwest China, India, Indonesia, Malaysia, Myanmar, Nepal, Singapore, Thailand and Viet Nam. Noting that the "Species +" database indicates a greater distribution range than is indicated in the proposal for this species, it is not clear whether consultations took place with other range States. Hybridization between these two species has been recorded.

The supporting statement offers no information on the current population size, stating that “because of the secretive and nocturnal behaviour of *L. perspicilliata* reliable estimates of its population are not available”. However, the proponents refer to an IUCN Red List assessment of 2014, which indicates that the population of smooth-coated otters was inferred to have declined by more than 30% over the past 30 years (approximately three generations). The species was categorized as Vulnerable, with a decreasing population trend. However, the levels of decline mentioned remain below the general guidelines provided in Annex 5 of Resolution Conf. 9.24 (Rev. CoP17) that would warrant inclusion of a species in Appendix I. Annex 5 suggests that “a general guideline for a marked recent rate of decline is a percentage decline of 50% or more in the last 10 years or three generations, whichever is the longer”.

The supporting statement describes in some detail the threats to otter populations globally, including habitat loss and degradation, depletion of prey base from overfishing, persecution by fishermen, poaching and trade for fur, traditional medicine and the pet trade. It suggests that there is an emerging threat from the international pet trade, although it does not appear to be as much of a threat for *L. perspicillata* as it is for *A. cinereus*.

Since the species was included in the CITES Appendices in 1977, there has been limited legal trade, with a small number of live wild-sourced specimens being exported for zoological or scientific purposes. The reported trade from range States is summarized in the table below.

Year	Importer	Exporter	Importer reported quantity	Exporter reported quantity	Term	Purpose	Source
1980	DE	BD	350		skins		
	DE	CN	1000		skins		
	GB	BD	98		skins	T	
1983	DE	IN	1100		skins	T	
1985	AU	IN	2		live	Z	C
1986	AU	MY	1		live	Z	C
1987	AU	MY		1	live	Z	
	ID	MY	2		live		
	JP	TH	8		live	T	
	MY	ID		2	live		
	XX	ID		2	live		
1989	JP	SG		1	live	T	
1991	MY	PH		2	live	Q	
	PH	ID	2		live	Q	
	PH	ID		2	live		
1993	JP	CN	3		live	T	C
	JP	CN		3	live	Z	C
1995	ID	XX	4		live		
1997	ID	MY		2	live	Q	C
	ID	MY	2		live	Q	C
	MY	ID		2	live	Q	C
	MY	ID	2		live	T	W
2001	JP	CN	1	1	live	Z	F
2002	JP	CN	1	1	live	Z	C
2010	US	SG	1		specimens	S	W
2012	GB	VN		1	live	Z	C
2013	GB	MY		1	live	Z	C
	GB	MY	1		live	Z	F
	GB	VN	1		live	Z	C
2016	JP	SG		2	specimens	S	W

Reported trade in the species has not triggered any concerns under Resolution Conf. 12.8 (Rev. CoP17) on *Review of Significant Trade in specimens of Appendix-II species*. It remains unclear what additional benefits an Appendix-I listing would provide to improve the conservation status of the species.

The supporting statement does not raise any concerns around look-alikes with extant otter species, but it is stated in the section on illegal trade that it is very difficult to distinguish between the skins of different otter species once they are in trade.

Conclusions

The population size of *Lutrogale perspicillata* is unknown but is unlikely to be small given its broad geographical distribution. The species was categorized in the IUCN Red List as Vulnerable with a decreasing population trend and the population was inferred to have declined by greater than 30% over the past 30 years (approximately

three generations) (IUCN, 2014). This is below the general guideline for a marked recent rate of decline of 50% or more in the last 10 years or three generations, whichever is the longer, as provided in Annex 5 of Resolution Conf. 9.24 (Rev. CoP17) that would warrant inclusion in Appendix I.

Since the species was included in the CITES Appendices in 1977, there has been limited legal trade, with a small number of live wild-sourced specimens being exported for zoological or scientific purposes. There is some anecdotal evidence that the species is traded illegally, but records of seizures are generally not species-specific, particularly where they concern otter pelts. It is therefore not clear what additional benefits an Appendix-I listing would provide to the conservation of the species.

Recommendations

Based on the information available at the time of writing, *Lutrogale perspicillata* does not meet the biological criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 1 for its inclusion in Appendix I.

The Secretariat recommends that this proposal be **rejected.**

Proposal 8

***Ceratotherium simum simum* (southern white rhinoceros) - Removal of the existing annotation for the population of Eswatini in Appendix II [currently referred to as the population of Swaziland]**

Proponent: Eswatini

Provisional assessment by the Secretariat

CITES background

The entire rhinoceros family, Rhinocerotidae, was included in Appendix I in 1977. The South African population of *Ceratotherium simum simum* was transferred to Appendix II in 1995, as agreed at the ninth meeting (Fort Lauderdale, 1994) with the following annotation: "*For the exclusive purpose of allowing international trade in live animals to appropriate and acceptable destinations and hunting trophies. All other specimens shall be deemed to be specimens of species included in Appendix I and the trade in them shall be regulated accordingly*." In 2005, the population of Swaziland (now known as Eswatini) was transferred to Appendix II with the same annotation, as agreed at the 13th meeting of the Conference of the Parties (CoP13, Bangkok, 2004).

At the 17th meeting of the Conference of the Parties (CoP17, Johannesburg, 2016), Parties considered a proposal from Eswatini to amend the existing annotation on the Appendix-II listing of its white rhinoceros population, so as to permit a limited and regulated trade in rhinoceros horn, which had been collected in the past from natural deaths, or recovered from poached rhinoceroses, as well as horn to be harvested in a non-lethal way in the future, from a limited number of white rhinoceroses in Swaziland. The proposal was rejected.

Purpose and impact of the proposal

The proposal seeks to remove the existing annotation to the Appendix-II listing of Eswatini's population of *Ceratotherium simum simum*, so that trade in all specimens of rhinoceros horn from that population may be authorized for primarily commercial purposes, including horns and derivatives thereof. If the proposal is adopted, international trade in these specimens will be regulated in accordance with the provisions of Article IV of the Convention.

The supporting statement indicates that the purpose of the proposal is for Eswatini to export "from existing stock 330 kg of rhino horn to licenced retailers in the Far East, and also up to 20 kg per annum, including harvested horn, to those retailers". These restrictions on the proposed trade in rhinoceros horn are not presented as an annotation and are not specifically proposed as a quota. The Secretariat's understanding is that trade in rhinoceros horn would therefore not necessarily be restricted to the volumes specified in the supporting statement.

Compliance with listing criteria

The proposal submitted by Eswatini is to amend the substantive annotation to the Appendix-II listing of the subspecies *Ceratotherium simum simum* so that it does not apply to the population of Eswatini. Although the population of this subspecies of Eswatini is in Appendix II, the current annotation allows only "international trade in live animals to appropriate and acceptable destinations and hunting trophies. All other specimens shall be deemed to be specimens of species included in Appendix I and the trade in them shall be regulated accordingly." Consequently, elimination of this annotation for the population of *C. s. simum* of Eswatini may be seen as analogous to a transfer of that population from Appendix I to Appendix II of the specimens that are deemed to be included in Appendix I.

In terms of Resolution Conf. 11.21 (Rev. CoP17) on *Use of annotations in Appendices I and II*, substantive annotations used in the context of transferring a species from Appendix I to Appendix II should be in compliance with the precautionary measures contained in Annex 4 of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*. Therefore, although the latter Resolution does not contain guidelines specifically for assessing the present proposal, the substantive annotation is an integral part of the species listing and any changes should be considered in terms of Annex 4 of the Resolution.

Horn from rhinoceroses is in demand for trade and the proponent has included safeguards relating to the regulation of proposed sales of rhinoceros horn in the supporting statement (section 8). These include: restricting sales to licensed retailers; the use of DNA to address traceability; and monitoring and verification by the CITES

Secretariat. The proponent has also included information relating to the national legislation, showing that rhinoceros poaching, and trafficking offences are punishable by mandatory custodial sentences of 5 to 15 years, which is stated to have resulted in no poaching in Eswatini for 20 years.

The volume of horn to be made available for export seems relatively small when the estimated volumes of horn in illegal trade are considered (see document CoP18 Doc 83.1 Annex), and it is not clear what the impact would be on the demand for and trade in rhinoceros' horn, or whether the proposed legal trade would reduce or stimulate illegal trade.

Additional considerations (including relevant CoP recommendations)

As the proponent indicates, the white rhinoceros population of Eswatini declined from 90 animals in 2015 to 66 in 2018, mainly as a result of the severe drought that the country experienced. The population therefore remains small and is managed under intense security. The report prepared by the International Union for the Conservation of Nature (IUCN)/Species Survival Commission (SSC) African Rhino Specialist Group, the Asian Rhino Specialist Group and TRAFFIC, in accordance with paragraphs 7 and 8 of Resolution Conf. 9.14 (Rev. CoP17) on the *Conservation of and trade in African and Asian rhinoceros* (see document CoP18 Doc 83.1 Annex) states that: there is an overall decline in the estimated continental white rhinoceros numbers (from 20,056 in 2015 to 18,067 in 2017); poaching has declined slightly (from 1,349 in 2015 to 1,124 in 2017); and an estimated 4,757 African rhino horns entered illegal trade in the period 2016-2017.

Comments from Parties

Comments were received from **Kenya** and **Burkina Faso**, that state among others that legalising international trade in rhino horn would increase demand, provide opportunities to launder poached rhino horn, undermine enforcement, send conflicting messages to consumers, and risk intensifying rhino poaching throughout their range in Africa and Asia. Reference is also made to a meeting of the African Elephant Coalition that took place in Nairobi, Kenya in February 2019 where the twenty-seven countries in attendance concluded that they did not support this proposal.

Conclusions

The removal of the existing annotation for the population of *Ceratotherium simum simum* of Eswatini may be seen as analogous to a transfer of that population from Appendix I to Appendix II of the specimens that are deemed to be included in Appendix I. Regarding the precautionary measures contained in Annex 4 of Resolution Conf. 9.24 (Rev. CoP17) for such transfers, the population of *Ceratotherium simum simum* of Eswatini is small, and may meet the biological criteria in Annex 1, A of that Resolution. The proponent provides certain precautionary safeguards concerning the management of future trade in rhinoceros horns. However, there are uncertainties relating to the conditions under which the proposed trade in rhino horn would take place; its possible impact on poaching, and on the demand for and illegal trade in rhino horn; and the appropriateness of enforcement controls. It would therefore not be in the best interest of the conservation of the white rhinoceros population of Eswatini to eliminate Appendix-I equivalent controls for trade in rhinoceros horn and other specimens of the species, as is being proposed by Eswatini.

The Secretariat will amend the annotation for *Ceratotherium simum simum* to replace "Swaziland" with "Eswatini".

Recommendations

The Conference of the Parties, through Resolution Conf. 9.24 (Rev. CoP17), resolved that Parties by virtue of the precautionary approach and in case of uncertainty regarding the status of a species or impact of trade on the conservation of a species, shall act in the best interest of the conservation of the species concerned, and the Secretariat recommends taking a precautionary approach for this proposal. The existing annotation for the Appendix-II listing of the population of *Ceratotherium simum simum* of Eswatini should be maintained.

The Secretariat recommends that this proposal be **rejected.**

Proposal 9

***Ceratotherium simum simum* (southern white rhinoceros) - Transfer of the population of Namibia from Appendix I to Appendix II with the following annotation:**

"For the exclusive purpose of allowing international trade in:

a) live animals to appropriate and acceptable destinations; and

b) hunting trophies.

All other specimens shall be deemed to be specimens of species included in Appendix I and the trade in them shall be regulated accordingly."

Proponent: Namibia

Provisional assessment by the Secretariat

CITES background

The entire rhinoceros family, Rhinocerotidae, was included in Appendix I in 1977. The South African population of *Ceratotherium simum simum* was transferred to Appendix II in 1995, as agreed at the ninth meeting (Fort Lauderdale, 1994) with the following annotation: "*For the exclusive purpose of allowing international trade in live animals to appropriate and acceptable destinations and hunting trophies. All other specimens shall be deemed to be specimens of species included in Appendix I and the trade in them shall be regulated accordingly*." In 2005, the population of Swaziland (now known as Eswatini) was transferred to Appendix II with the same annotation, as agreed at the 13th meeting of the Conference of the Parties (CoP13, Bangkok, 2004).

At the 17th meeting of the Conference of the Parties (CoP17, Johannesburg, 2016), Parties considered a proposal from Eswatini to amend the existing annotation on the Appendix II-listing of its white rhinoceros population, so as to permit a limited and regulated trade in rhinoceros horn, which had been collected in the past from natural deaths, or recovered from poached rhinoceroses, as well as horn to be harvested in a non-lethal way in the future from a limited number of white rhinoceroses in the future in Swaziland. The proposal was rejected.

Purpose and impact of the proposal

This proposal seeks to transfer the population of *Ceratotherium simum simum* of Namibia from Appendix I to Appendix II with an annotation that takes into account the precautionary measures of Annex 4 of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*, by restricting trade to hunting trophies and live animals. Trade in 'live animals to appropriate and acceptable destinations' and in hunting trophies would be regulated in accordance with the provisions of Article IV of the Convention, while all other specimens would be deemed to be specimens of species included in Appendix I and trade in them would be regulated in accordance with Article III of the Convention.

In Resolution Conf. 11.20 (Rev. CoP17) on *Definition of the term 'appropriate and acceptable destinations',* the Conference of the Parties has already agreed a definition of this term used in the proposal and in the existing annotation to *C. s. simum* in Appendix II.

Compliance with listing criteria

The supporting statement suggests that Namibia's population of *Ceratotherium simum simum* no longer meets the criteria for inclusion in Appendix I, contained in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17). The proponent also proposes an annotation as a precautionary measure, in accordance with Annex 4 of Resolution Conf. 9.24 (Rev. CoP17) and is therefore of the view that the population can be transferred to Appendix II.

Namibia holds the second largest southern white rhinoceros' population in the world after South Africa, with a stated number of 1,037 animals. According to the report submitted by the International Union for the Conservation of Nature (IUCN) / Species Survival Commission (SSC) African Rhino Specialist Group (see document CoP18 Doc 83.1 Annex) there are 975 southern white rhinoceroses in Namibia and the population has increased since 2015 when there were 822 animals (see document CoP17 Doc. 68 Annex 5). The supporting statement states

that Namibia's population "is not small" and does not meet criterion A in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17), but also that it has a relatively slow rate of reproduction, with a long gestation period. It therefore seems to meet the definition of "small wild population" in Annex 5 of Resolution Conf. 9.24 (Rev. CoP17), although perhaps not characterized by any of the aggravating factors indicated in Annex 1, A i) to v) of that Resolution. [*For some low-productivity species where data exist to make an estimate, a figure of less than 5,000 individuals has been found to be an appropriate guideline (not a threshold) of what constitutes a small wild population*].

The supporting statement shows that the population occurs in more than 1.5 million hectares of suitable habitat in three national parks, and that an additional 0.5 to 1 million hectares of habitat is available in national parks currently without white rhinoceros. The population consists of multiple discrete subpopulations (and is therefore not limited to occurrence at very few locations) and is subject to a metapopulation management strategy. The supporting statement also mentions that the population has grown significantly in recent decades. It would therefore seem that the population does not meet criterion B or C in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17).

With regard to precautionary measures, the proponent has provided information relating to changes in legislation that were introduced in 2017, including an increase in penalties for illegal killing and illegal possession and trade in rhinoceros products. *C. s. simum* is "Specially Protected" under the Nature Conservation Ordinance and permits are required to hunt, capture, transport, possess or trade in live animals and derivatives. Horns and all other parts of a white rhinoceros are classified as "Controlled Wildlife Products". The maximum penalties for contraventions related to trade in Controlled Wildlife Products and hunting of Specially Protected species are NAD 25,000,000 (approx. USD 1,780,000) and/or 25 years imprisonment. Namibia furthermore has a White Rhinoceros Management Strategy (2018) that provides for metapopulation management.

Additional considerations (including relevant CoP recommendations)

The populations of the subspecies *Ceratotherium simum simum* are already divided between Appendices I and II; the populations of Eswatini and South Africa being in Appendix II, while all other country populations (i.e. seven others) are in Appendix I. The proposal would therefore not create a split-listing since that already exists. The proposed annotation for the population of Namibia is the same as the existing annotation for the populations currently in Appendix II. Annex 3 of Resolution Conf. 9.24 (Rev. CoP17) advises that, if split-listing occurs, it should generally be on the basis of national or regional populations. The proposal from Namibia follows this advice.

Because the proposed annotation is the same as for the two other geographically separate populations that are listed in Appendix II, implementation and enforcement should not present new challenges.

The supporting statement contains information relating to the current legal trade, which includes trade in hunting trophies and live animals. Trade in specimens from Appendix-I populations, that is not for primarily commercial purposes, may be authorized in accordance with Article III of the Convention, and specific guidance is provided in Resolution Conf. 2.11 (Rev.) on *Trade in hunting trophies of species listed in Appendix I* and Resolution Conf. 17.9 on *Trade in hunting trophies of species listed in Appendix I or II*.

The report by the IUCN/SSC African Rhino Specialist Group, Asian Rhino Specialist Group and TRAFFIC, prepared in accordance with paragraphs 7 and 8 of Resolution Conf. 9.14 (Rev. CoP17) on the *Conservation of and trade in African and Asian rhinoceros* (see document CoP18 Doc 83.1 Annex) provides further detailed information relating to the conservation status and trends of the species in Namibia.

Comments from Parties

Comments were received from **Kenya** and **Burkina Faso**. Both countries state that given the very small number of southern white rhinoceros and the high vulnerability to poaching and illegal trade, Namibia's population of southern white rhinoceros clearly meets the criteria for inclusion in Appendix I. Reference is also made to a meeting of the African Elephant Coalition that took place in Nairobi, Kenya in February 2019 where the twenty-seven countries in attendance concluded that they did not support this proposal.

Conclusions

Namibia's wild population of *Ceratotherium simum simum* is small and increasing. It does not seem characterized by one of the aggravating factors indicated in subparagraphs i) to v) under criterion A in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17). The majority of the population is not concentrated geographically, and the population

does not have a 'restricted distribution'. There are no large short-term fluctuations in the wild population, which has not undergone a marked decline.

The proposed annotation to the population of *Ceratotherium simum simum* of Namibia is the same as for the two geographically separate populations of *C. s. simum* that are included in Appendix II. It would only allow trade in live animals to appropriate and acceptable destinations and hunting trophies, while other specimens shall be deemed to be specimens of species included in Appendix I and the trade in them shall be regulated accordingly. The annotation thereby seems to address the recommendations regarding precautionary measures in Annex 4 of Resolution Conf. 9.24 (Rev. CoP17), and to be proportionate to the anticipated risks to the species.

Recommendations

The wild population of *Ceratotherium simum simum* of Namibia does not meet the biological criteria in Resolution Conf. 9.24 (Rev. CoP17), Annex 1 for its inclusion in Appendix I, and can be transferred to Appendix II with the proposed annotation that provides the precautionary measures required in Annex 4 of Resolution Conf. 9.24 (Rev. CoP17).

The Secretariat recommends that this proposal be **adopted.**

Proposal 10

***Loxodonta africana* (African elephant) - Transfer of the population of African elephant (*Loxodonta africana*) of Zambia from Appendix I to Appendix II subject to:**

1. **Trade in registered raw ivory (tusks and pieces) for commercial purposes only to CITES approved trading partners who will not re-export;**

2. **Trade in hunting trophies for non-commercial purposes;**

3. **Trade in hides and leather goods.**

All other specimens shall be deemed to be specimens of species in Appendix I and the trade in them shall be regulated accordingly.

Proponent: Zambia

Provisional assessment by the Secretariat

CITES background

Loxodonta africana was included in Appendix III in 1976 at the request of Ghana. It was included in Appendix II in 1977, in accordance with a proposal adopted at the first meeting of the Conference of the Parties (Bern, 1976). Following the seventh meeting (Lausanne,1989), the species was transferred to Appendix I, with a number of Parties entering reservations. Subject to complex and detailed annotations, the populations of Botswana, Namibia and Zimbabwe were transferred to Appendix II at the 10th meeting (CoP10, Harare, 1997), and the population of South Africa at the 11th meeting (CoP11, Gigiri, 2000).

The annotations to these Appendix-II populations were merged and further amended at the 12th meeting of the Conference of the Parties (CoP12, Santiago, 2002), its 13th meeting (CoP13, Bangkok, 2004) and its 14th meeting (CoP14, The Hague, 2007). The text of the current annotation 2 was agreed at CoP14 and has not been amended since. At the 17th meeting of the Conference of the Parties (CoP17, Johannesburg, 2016), proposals by Namibia and Zimbabwe to delete Annotation 2 to the listing of their respective African elephant populations, were considered and both proposals were rejected. A proposal to transfer the populations of *Loxodonta africana* of Botswana, Namibia, South Africa and Zimbabwe from Appendix II to Appendix I, which would equally have removed annotation 2, was also considered at CoP17 and rejected.

At CoP17, the Conference of the Parties discussed the issue of a decision-making mechanism for a process of trade in ivory, which forms part of annotation 2 to the Appendix-II listing, and decided that the mandate to the Standing Committee in Decision 16.55 (development of a decision-making mechanism for a process of trade in ivory under the auspices of the Conference of the Parties) should not be extended; the Decision was therefore not renewed and has been deleted, because it referred to action to be taken at CoP17, and was therefore no longer in effect.

At the same meeting, the Conference of the Parties agreed to incorporate the provisions of Decision 14.78 (Rev. CoP16) on *Elephant conservation* into Resolution Conf. 10.10 (Rev. CoP17) on *Trade in elephant specimens*, and to delete the Decision.

In 2010, at CoP15, Zambia submitted a proposal to transfer the population of *Loxodonta africana* of Zambia from Appendix I to Appendix II, subject to provisions similar to those to be found in annotation 2 for the populations of Botswana, Namibia, South Africa and Zimbabwe, and *inter alia* to allow a one-off sale of 21,692.23 kg of ivory from registered government-owned stocks, originating in Zambia (excluding seized ivory and ivory of unknown origin). This proposal was subject to a review by a Panel of Experts [See document CoP15 Doc. 68, Annex 6b)]. The proposal was rejected.

Purpose and impact of the proposal

The proposal seeks to transfer the African elephant (*Loxodonta africana*) population of Zambia from Appendix I to Appendix II, subject to:

- Trade in registered raw ivory (tusks and pieces) for commercial purposes only to CITES approved trading partners who will not re-export;

- Trade in hunting trophies for non-commercial purposes;

- Trade in hides and leather goods.

- All other specimens shall be deemed to be specimens of species in Appendix I and the trade in them shall be regulated accordingly.

The proposed annotation would allow trade in registered raw ivory, hunting trophies, hides and leather of the population of African elephants of Zambia to be conducted in compliance with Article IV of the Convention, and in all other specimens in compliance with Article III of the Convention.

Compliance with listing criteria

The proposal should be evaluated based on the biological criteria contained in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*, and the precautionary measures stipulated in Annex 4 of the same Resolution.

The proposal notes that the Zambian population of the African elephant (*Loxodonta africana*) no longer meets the biological criteria for listing in Appendix I, because the population has the following characteristics:

- The population is large and estimated to be between 23,000 and 27,000 elephants according to the proponents, and a minimum of 21,967 according to the 2016 African Elephant Status Report (AESR) and therefore does not meet criterion A in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17).

- The population occupies a range in Zambia that exceeds 200,000 km^2 and therefore does not have a restricted area of distribution and does not meet criterion B in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17);

- The population is either stable or increasing according to the reported survey findings. The two main elephant range areas of Zambia, the Luangwa and Kafue Ecosystems, which together hold over 80% of the country's elephant population, have shown a stable to increasing population. According to the AESR 2016, the elephant numbers in Zambia have changed little since the last update in 2007. The African elephant population of Zambia therefore does not meet criterion C in Annex I of Resolution Conf. 9.24 (Rev. CoP17), because there is not a marked decline in the population size in the wild.

The rationale of the proposal is framed around the main threat to the long-term survival of the African elephant in Zambia not being illegal international trade but increasing conflicts with legitimate human interests such as agriculture as shown by the rising number of human-elephant conflict. Unfortunately, information relating to human-elephant conflict has not been updated since 2010. The proponent indicates that the Appendix I listing exacerbates the illegal flow of ivory and that the Zambian government by law owes it to the rural communities to conserve and to benefit from wildlife resources as part of the partnership between them and the government.

The proponent lists the main reasons why the down-listing is requested, and the proposal substantiates each of the reasons. This includes the view that it is in the best interest of sustained elephant conservation and management; it will assist in alleviating poverty of impoverished communities, it will in the long-term support biodiversity conservation and wildlife management, and there are strong political and socio-economic imperatives for transfer.

The proponent indicates that funds generated from the sale of ivory and hides, trophy hunting, and live sales will be used to finance conservation and management of wildlife resources, including enforcement, securing stockpiles, mitigating human-elephant conflict and providing incentives to landowners.

Annex 4 of Resolution Conf. 9.24 (Rev. CoP17) states that a species should not be transferred from Appendix I to II if there is uncertainty about the impact of trade on the species and due to the risks associated with the illegal trade in ivory the proposal should be evaluated against the precautionary measures in Annex 4 of the Resolution. The proponent does not specifically address precautionary measures but refers to the Zambian National Strategy for Elephant Management that was developed in 2005 and its currently under review; control measures such as national legislative provisions that includes deterrent penalties; and regional initiatives that

will assist in ensuring neighbouring States are not negatively affected. The proposed annotation restricts trade in registered raw ivory to CITES approved trading partners but does not include a proposed quota and it is not clear what is meant with "CITES approved trading partners". Resolution Conf. 11.21 (Rev. CoP17) on *Use of annotations in Appendices I and II* recommends that substantive annotations should be clear and unambiguous, and Parties should consider the enforceability of the annotation.

Additional considerations (including relevant CoP recommendations)

The proponent states that the proposal shall be subject to a review by a Panel of Experts nominated by the Standing Committee. Indeed, proposal CoP18 Prop. 10 is subject to Resolution Conf. 10.9 on *Consideration of proposals for the transfer of African elephant populations from Appendix I to Appendix II*, which resolves that such proposals shall be subject to a review by a Panel of Experts, to be convened by the Secretariat, as directed by the Standing Committee. However, there are no finances in the approved regular budget of the CITES Secretariat to finance the Panel of Experts or funds assigned for this purpose by Parties, as envisaged in Resolution Conf. 10.9. The Secretariat is on this occasion therefore unable to convene a Panel of Experts, as directed in paragraph 1 f) of Resolution Conf. 10.9.

The Secretariat notes that Resolution Conf. 10.10 (Rev. CoP17) contains significant recommendations concerning trade in ivory, including paragraph 19 *Regarding trade in raw ivory for commercial purposes*, which "recommends that trade in raw ivory for commercial purposes from elephant populations not included in Appendix I be authorized only in accordance with the provisions agreed by the Conference of the Parties". The Conference of the Parties would need to agree on the provisions to authorize trade in raw ivory for commercial purposes from Zambia, be it through an annotation or otherwise.

Comments from Parties

Comments were submitted by **Benin**, **Burkina Faso**, **Kenya** and **Niger**, opposing the proposal by Zambia to transfer its population of African elephant from Appendix I to Appendix II. Reasons stated by the aforementioned countries include that the population continues to meet the criteria in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17) for listing in Appendix I (Zambia's elephant population is small and fragmented and there has been little, if any, increase in the population since it was included in Appendix I). Concerns are also raised about the threat posed by poaching and ivory trafficking, and according to these four Parties, the proposal does not meet the precautionary measures in Annex 4 of Resolution Conf. 9.24 (Rev. CoP17). Reference is also made to a meeting of the African Elephant Coalition that took place in Nairobi, Kenya in February 2019 where the twenty-seven countries in attendance concluded that they did not support this proposal.

Conclusions

The population of *Loxodonta africana* of Zambia does not seem to meet the biological criteria contained in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17) for its inclusion in Appendix I. Information relating to the precautionary measures stipulated in Annex 4 of the same Resolution is limited, especially relating to how the proposed trade in raw ivory would be conducted, regulated and enforced.

Recommendations

The population of *Loxodonta africana* of Zambia does not meet the biological criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 1 for its inclusion in Appendix I, but the precautionary measures in Annex 4 of Resolution Conf. 9.24 (Rev. CoP17) are not met.

The Secretariat recommends that this proposal be **rejected.**

Proposal 11

***Loxodonta africana* (African elephant) - Amendment to annotation 2 pertaining to the elephant populations of Botswana, Namibia, South Africa and Zimbabwe**

Proponents: Botswana, Namibia and Zimbabwe

Provisional assessment by the Secretariat

CITES background

Loxodonta africana was included in Appendix III in 1976 at the request of Ghana. It was included in Appendix II in 1977, in accordance with a proposal adopted at the first meeting of the Conference of the Parties (Bern, 1976). Following the seventh meeting (Lausanne,1989), the species was transferred to Appendix I, with a number of Parties entering reservations. Subject to complex and detailed annotations, the populations of Botswana, Namibia and Zimbabwe were transferred to Appendix II at the 10th meeting (CoP10, Harare, 1997), and the population of South Africa at the 11th meeting (CoP11, Gigiri, 2000).

The annotations to these Appendix-II populations were merged and further amended at the 12th meeting of the Conference of the Parties (CoP12, Santiago, 2002), its 13th meeting (CoP13, Bangkok, 2004) and its 14th meeting (CoP14, The Hague, 2007). The text of the current annotation 2 was agreed at CoP14 and has not been amended since. At the 17th meeting of the Conference of the Parties (CoP17, Johannesburg, 2016), proposals by Namibia and Zimbabwe to delete Annotation 2 to the listing of their respective African elephant populations, were considered and both proposals were rejected. A proposal to transfer the populations of *Loxodonta africana* of Botswana, Namibia, South Africa and Zimbabwe from Appendix II to Appendix I, which would equally have removed annotation 2, was also considered at CoP17 and rejected.

At CoP17, the Conference of the Parties discussed the issue of a decision-making mechanism for a process of trade in ivory, which forms part of annotation 2 to the Appendix-II listing, and decided that the mandate to the Standing Committee in Decision 16.55 (development of a decision-making mechanism for a process of trade in ivory under the auspices of the Conference of the Parties) should not be extended; the Decision was therefore not renewed and has been deleted, because it referred to action to be taken at CoP17, and was therefore no longer in effect.

At the same meeting, the Conference of the Parties agreed to incorporate the provisions of Decision 14.78 (Rev. CoP16) on *Elephant conservation* into Resolution Conf. 10.10 (Rev. CoP17) on *Trade in elephant specimens*, and to delete the Decision.

Purpose and impact of the proposal

This proposal seeks to amend the annotation by deleting subparagraphs iv), v) and vii) of paragraph g), and also paragraph h), of annotation 2 to the Appendix-II listing of the African elephant (*Loxodonta africana*) populations of Botswana, Namibia, South Africa and Zimbabwe.

This means that the following provisions in the annotation 2 are proposed to be deleted:

- In paragraph g): the quantities of raw ivory authorized to be sold in a single sale that took place in 2008, as specified in subparagraphs iv), v) and vii); and

- In paragraph h): the nine-year moratorium – following the single sale – on the submission of proposals to allow for trade in elephant ivory from populations already in Appendix II, and references to Decisions 14.78 (Rev. CoP16) and 16.55, relating to the development of a decision-making mechanism for a process of trade under the auspices of the Conference of Parties.

The other provisions in paragraph g) of annotation 2, relating to trade in registered raw ivory, would not be deleted. They specify in subparagraphs i) to iii) and vi) the following conditions concerning trade in registered raw ivory from Botswana, Namibia, South Africa and Zimbabwe (whole tusks and pieces):

i) only registered government-owned stocks (excluding seized ivory and ivory of unknown origin);

ii) only to trading partners that have been verified by the Secretariat, in consultation with the Standing Committee, to have sufficient national legislation and domestic trade controls to ensure that the imported ivory will not be re-exported, and will be managed in accordance with all requirements of Resolution Conf. 10.10 (Rev. CoP17) concerning domestic manufacturing and trade;

iii) not before the Secretariat has verified the prospective importing countries and the registered government-owned stocks; and

vi) the proceeds of the trade are used exclusively for elephant conservation and community conservation and development programmes within or adjacent to the elephant range.

The consequence of the adoption of the proposal would be to allow trade for primarily commercial purposes in specimens specified in the annotation, paragraphs a) to f), as well as registered government-owned stocks of raw ivory from Botswana, Namibia, South Africa and Zimbabwe, subject to Article IV of the Convention and the restrictions agreed at CoP14, contained in subparagraphs i), ii), iii), and vi) of paragraph g). In accordance with the last sentence of the annotation, all other specimens, would continue to "be deemed to be specimens of species included in Appendix I and the trade in them … regulated accordingly", i.e. in accordance with Article III. The penultimate paragraph of annotation 2 would also remain in effect, stating that "On a proposal from the Secretariat, the Standing Committee can decide to cause this trade to cease partially or completely in the event of non-compliance by exporting or importing countries, or in the case of proven detrimental impacts of the trade on other elephant populations."

Compliance with listing criteria

The populations of Botswana, Namibia and Zimbabwe were transferred to Appendix II at CoP10, and that of South Africa at CoP11, following an assessment by a Panel of Experts. However, as mentioned above, the current annotation 2 states that trade in all specimens not covered by paragraphs a) to g) of the annotation remains subject to the provisions relating to species included in Appendix I, and the trade in them shall be regulated accordingly.

The annotation to the Appendix-II listing of the African elephant populations of Botswana, Namibia, South Africa and Zimbabwe is considered a substantive annotation and an integral part of the species listing in terms of Resolution Conf. 11.21 (Rev. CoP17) on *Use of Annotations in Appendices I and II.* Parties agreed in this Resolution that substantive annotations may be amended only by the Conference of Parties in accordance with Article XV of the Convention.

If adopted, the proposal would have the effect of reducing the quantity of ivory specimens of *Loxodonta africana* from the populations of Botswana, Namibia, South Africa and Zimbabwe deemed to be specimens of species of Appendix I. The proposal should therefore be evaluated with reference to the criteria in Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II* and in particular with the precautionary measures stipulated in Annex 4 of that Resolution.

In this regard, it is noted that the African elephant populations of Botswana, Namibia, South Africa and Zimbabwe are not small, do not have a restricted area of distribution and the population sizes have not experienced a marked decline. The African elephant populations of these respective countries therefore do not meet the biological criteria for listing in Appendix I [Annex 1 of Resolution Conf. 9.24 (Rev. CoP17].

In terms of precautionary measures [Annex 4 of Resolution Conf. 9.24 (Rev. CoP17)], the information in the supporting statement mentions the legal frameworks in place at national level (section 7.1 of the proposal) and subregional (Southern African Development Community) initiatives and agreements. Information relating to the potential risks associated with a legal trade in registered government-owned raw ivory stocks and measures to address these risks are not elaborated upon. Annex 4 of Resolution Conf. 9.24 (Rev. CoP17) states in the chapeau that "*When considering proposals to amend Appendix I or II";* Parties – by virtue of the precautionary approach – should adopt measures that are proportionate to the anticipated risks to the species when considering the possible impact of trade in ivory from registered government-owned raw ivory stocks on the conservation of the species. Although the proponents do not discuss findings by the Elephant Trade Information System (ETIS) relating to the levels and trends in illegal trade in ivory in detail, it is acknowledged that the growing demand for ivory, particularly in Asia, has been linked to the surge in poaching in those range areas where law enforcement is neither strong nor effective. As mentioned above, the proponents do not specifically address precautionary safeguards concerning the trade in registered raw ivory but propose to retain the main restrictions in the

annotation to the Appendix-II listing adopted at CoP14. Considering the recent closure of domestic markets in Asia and elsewhere, it is not clear which country (or countries) might be a possible trading partner.

It would be helpful to understand how any future trade in registered government-owned raw ivory would be conducted, regulated and enforced, if the proposal is adopted. This would allow the Conference of the Parties to determine whether the precautionary measures are adequate to address the anticipated risks to the species.

Additional considerations (including relevant CoP recommendations)

The supporting statement notes that the elements of annotation 2 that the proposal seeks to remove are no longer relevant or appropriate. These elements are referred to above: specifics of stockpiles of registered raw ivory detained by Botswana, Namibia, South Africa and Zimbabwe that were exported in 2008; and references to Decisions 16.55 and 14.78 (Rev. CoP16), which were both deleted at CoP17.

The Secretariat notes that Resolution Conf. 10.10 (Rev. CoP17) contains recommendations concerning trade in ivory, including paragraph 19 *Regarding trade in raw ivory for commercial purposes*, which "recommends that trade in raw ivory for commercial purposes from elephant populations not included in Appendix I be authorized only in accordance with the provisions agreed by the Conference of the Parties". The Conference of the Parties would need to agree on the provisions to authorize trade in raw ivory for commercial purposes from Botswana, Namibia, South Africa and Zimbabwe, be it through the adoption of an annotation or otherwise.

The rationale of the proposal is framed around the funding challenges faced by most state agencies responsible for conservation in Africa. The proponents are of the view that the sale of legally sourced, registered ivory to responsible markets could generate revenue to fund implementation of national elephant management plans and anti-poaching strategies, as well as supporting community-based initiatives to secure elephant habitat, dispersal areas and corridors. The important role that people, who have to co-exist with elephants, play in the future of elephants is also emphasized.

The proponents regard CITES as an inhibitor and not an enabler of progress towards the continued protection of large African elephant populations, and that CITES decisions remove rather than create incentives for conservation. The proponents furthermore reflect on the lack of scientific evidence to support the view that a complete ban on ivory trade results in elephant population recovery.

Comments from Parties

Comments were submitted by **Burkina Faso** and **Kenya**; they oppose the proposal by Botswana, Namibia and Zimbabwe and consider the proposal to be in contravention with the recommendation in Resolution Conf.10.10 (Rev. CoP17) on *Trade in elephant specimens* that calls for the closure of domestic ivory markets for commercial trade in raw and worked ivory "as a matter of urgency". Reference is made to the ETIS analysis and the fact that South Africa and Zimbabwe have been identified as Parties affected by the illegal trade in ivory. Further concerns are expressed that this proposal will undermine the efforts of countries to reduce demand for ivory. Reference is also made to a meeting of the African Elephant Coalition that took place in Nairobi, Kenya in February 2019 where the twenty-seven countries in attendance concluded that they do not support this proposal.

Conclusions

The African elephant populations of Botswana, Namibia, South Africa and Zimbabwe do not meet the criteria for their inclusion in Appendix I. The deletion of paragraph h) of annotation 2 is logical as it has become obsolete, and this would be a helpful amendment.

However, in relation to the proposed amendments to paragraph g) of annotation 2, it is unclear whether the precautionary safeguards in Annex 4 of Resolution Conf. 9.24 (Rev. CoP17) have been fully addressed. If adopted, the proposed amendments would have the effect of reducing the quantity of registered government-owned raw ivory of *Loxodonta africana* from the populations of Botswana, Namibia, South Africa and Zimbabwe deemed to be specimens of species of Appendix I. The potential risks of increased poaching or illegal trade in ivory associated with a legal trade in registered government-owned raw ivory stocks, or measures to address these risks, are not elaborated upon. The proponents propose to retain the main restrictions in the annotation to the Appendix-II listing adopted at CoP14, but it remains unclear how any future trade in registered government-owned raw ivory would be conducted, regulated and enforced, if the proposal were adopted. It is therefore difficult to determine whether the precautionary measures are adequate to address the anticipated risks to the species.

Recommendations

The populations of *Loxodonta africana* of Botswana, Namibia, South Africa and Zimbabwe do not meet the criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 1 for their inclusion in Appendix I, but the proposed amendments to annotation 2, paragraph g), where they concern trade in registered raw ivory, do not sufficiently address the precautionary measures in Annex 4 of Resolution Conf. 9.24 (Rev. CoP17).

The Secretariat recommends that this proposal be **rejected.**

Proposal 12

***Loxodonta africana* (African elephant) - Transfer of populations of Botswana, Namibia, South Africa and Zimbabwe from Appendix II to Appendix I**

Proponents: Benin, Burkina Faso, Kenya, Liberia, Niger and Togo

Provisional assessment by the Secretariat

CITES background

Loxodonta africana was included in Appendix III in 1976 at the request of Ghana. It was included in Appendix II in 1977, in accordance with a proposal adopted at the first meeting of the Conference of the Parties (Bern, 1976). Following the seventh meeting (Lausanne,1989), the species was transferred to Appendix I, with a number of Parties entering reservations. Subject to complex and detailed annotations, the populations of Botswana, Namibia and Zimbabwe were transferred to Appendix II at the 10th meeting (CoP10, Harare, 1997), and the population of South Africa at the 11th meeting (CoP11, Gigiri, 2000).

The annotations to these Appendix-II populations were merged and further amended at the 12th meeting of the Conference of the Parties (CoP12, Santiago, 2002), its 13th meeting (CoP13, Bangkok, 2004) and its 14th meeting (CoP14, The Hague, 2007). The text of the current annotation 2 was agreed at CoP14 and has not been amended since. At the 17th meeting of the Conference of the Parties (CoP17, Johannesburg, 2016), proposals by Namibia and Zimbabwe to delete Annotation 2 to the listing of their respective African elephant populations, were considered and both proposals were rejected. A proposal to transfer the populations of *Loxodonta africana* of Botswana, Namibia, South Africa and Zimbabwe from Appendix II to Appendix I, which would equally have removed annotation 2, was also considered at CoP17 and rejected.

At CoP17, the Conference of the Parties discussed the issue of a decision-making mechanism for a process of trade in ivory, which forms part of annotation 2 to the Appendix-II listing, and decided that the mandate to the Standing Committee in Decision 16.55 (development of a decision-making mechanism for a process of trade in ivory under the auspices of the Conference of the Parties) should not be extended; the Decision was therefore not renewed and has been deleted, because it referred to action to be taken at CoP17, and was therefore no longer in effect.

At the same meeting, the Conference of the Parties agreed to incorporate the provisions of Decision 14.78 (Rev. CoP16) on *Elephant conservation* into Resolution Conf. 10.10 (Rev. CoP17) on *Trade in elephant specimens*, and to delete the Decision.

Purpose and impact of the proposal

The proposal seeks to transfer the populations of African elephant (*Loxodonta africana*) of Botswana, Namibia, South Africa and Zimbabwe from Appendix II to Appendix I. This would result in the prohibition of international trade for primarily commercial purposes in African elephant specimens of wild origin, including from the four range States concerned. The proposal correctly points out that an Appendix-I listing does not preclude the trade in hunting trophies of *L. africana*, as recognized in Resolution Conf. 2.11 (Rev.) on *Trade in hunting trophies of species listed in Appendix I*.

The impact of the adoption of the proposal on the current regulations for trade in ivory would be minimal, because international trade in ivory for primary commercial purposes has been prohibited since 2008, as also indicated in annotation #2. If adopted, trade ivory would continue to be subject to provisions in Article III of the Convention, as has been the case since 2008.

Compliance with listing criteria

The proposal is submitted in accordance with the biological criteria in Annex 1, paragraph C, i) and ii) of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*. The proponents are of the view that there has been a marked decline in the population size of *Loxodonta africana* in the wild that has been observed as ongoing; and has been inferred or projected on the basis of levels or patterns of exploitation.

The proponents indicate that the biological criteria as contained in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17) are met if all African elephant populations are considered as a whole. Reference is made to the 2016 African Elephant Status Report (2016 AESR) that estimates the number of elephants as 415,428. This latest estimate suggests that a 68% decline may have occurred over 36 years. The proponents furthermore emphasize that Resolution Conf. 9.24 (Rev. CoP17) cautions against split-listing in view of the enforcement problems it creates.

The proposal relates to the transfer of four geographically separate populations of African elephant from Appendix II to Appendix I. In Annex 5 of Resolution Conf. 9.24 (Rev. CoP17), the term 'geographically separate populations' is explained, and the Conference of the Parties has interpreted 'geographically separate populations' as '*populations delimited by geopolitical boundaries'*. The available information does not seem to indicate that the geographically separate populations of African elephant of Botswana, Namibia, South Africa and Zimbabwe underwent marked declines, and therefore, they may not meet the criteria for their inclusion in Appendix I that is mentioned in paragraph C of Annex 1 of Resolution Conf. 9.24 (Rev. CoP17).

The following observations regarding the populations to which this proposal relates were documented by the International Union for Conservation of Nature (IUCN) / Species Survival Commission (SSC) African Elephant Specialist Group in the report to the 69th meeting of the Standing Committee (see document SC69 Doc. 51.1 Annex) based on the 2016 AESR: Botswana had by far the largest elephant population of any country in Africa, with over 99% of these in the northern part of the country. The reported decline between 2006 and 2015 seemed ambiguous and may be the result of uncounted elephants, range expansion, seasonal movements into and out of the surveyed area, increased poaching or methodological differences between surveys. Range expansion had been observed into the west towards Namibia and into central Botswana, with notable numbers of elephants observed for the first time in a survey in 2015 in the Central Kalahari Game Reserve. Elephant populations in Namibia and South Africa had increased. Zimbabwe's elephant population declined due to reductions in the Sebungwe and Lower Zambezi populations because of poaching, partially compensated by increases in populations in the south-east of the country. Based on this information, it seems unlikely that the populations concerned underwent a marked decline.

With regard to the concerns raised by the proponents relating to the split-listing, Annex 3 of the Resolution states that the '*listing of a species in more than one Appendix should be avoided in general in view of the enforcement problems it creates'*, but provides further guidance by stating that '*when split-listing does occur, this should generally be on the basis of national or regional populations*', as is the case with the listing of the populations of African elephant of Botswana, Namibia, South Africa and Zimbabwe.

Other considerations (including relevant CoP recommendations)

The proponents refer to the Proportion of Illegally Killed Elephants (PIKE levels) reported to various CITES meetings, including in document SC70 Doc. 49.1, showing an analysis of data from Monitoring the Illegal Killing of Elephants (MIKE) programme up to 2017. The PIKE levels for the four range States subject to this proposal are lower than the overall sub-regional trend.

In section 6.2 (Legal trade), the proponents refer to "exemptions" that allow international trade in ivory for commercial purposes. The current annotation 2 to the Appendix II listing of the African elephant populations of Botswana, Namibia, South Africa and Zimbabwe does not allow for trade in ivory for commercial purposes since the single sale of register raw ivory stocks from these range States that took place in 2008. Since then, international trade in raw ivory for primary commercial purposes has been prohibited, and trade in ivory has been subject to Article III of the Convention.

In section 10 (Consultations), the supporting statement indicates that when consulted, Botswana, Namibia, South Africa and Zimbabwe did not support the proposal.

Comments from Parties

Comments were submitted by **Niger** and **Japan**. Niger supports the proposal to transfer of populations of Botswana, Namibia, South Africa and Zimbabwe from Appendix II to Appendix I for the reasons indicated in the supporting statement by the proponents (Niger is one of the proponents). Japan opposes the proposal; indicating that a species should be included in Appendix I only if it meets biological and trade criteria for such an inclusion, considering the fundamental principles under Article II paragraph 1 of the Convention.

Conclusions

The information provided in the supporting statement does not indicate that any of the four African elephant populations that are the subject of this proposal underwent marked declines. The wild populations of *Loxodonta africana* of Botswana, Namibia, South Africa or Zimbabwe are not small, and the area of distribution of the species in the four range States is not small or restricted. Criteria A, B or C in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17) are therefore not met by the populations of African elephants from these four range States.

Recommendations

The populations of *Loxodonta africana* of Botswana, Namibia, South Africa and Zimbabwe do not meet the biological criteria in Resolution Conf. 9.24 (Rev. CoP17), Annex 1, for their inclusion in Appendix I.

The Secretariat recommends that this proposal be **rejected**.

Proposal 13

***Mammuthus primigenius* (woolly mammoth) - Inclusion in Appendix II**

Proponent: Israel

CITES background

Mammuthus primigenius is not included in the CITES Appendices. The species is believed to have been extinct for at least four thousand years.

The current proposal represents the first time that a species that is long extinct is under consideration for inclusion in the CITES Appendices. Although historically there are several instances where species that were thought to be "possibly extinct" have been included in the Appendices, these were either included in the original lists adopted in 1975 or subsequently included as part of a higher taxon listing.

At CoP17, Israel submitted a document entitled "Identification of elephant and mammoth ivory in trade" (see document CoP17 Doc. 38), which presented a draft resolution on "Trade in mammoth ivory and the implementation of CITES" and a set of decisions focusing on improved identification of mammoth and elephant ivory. Based on the comments by the Secretariat, Israel replaced the document with an addendum that, as an alternative, proposed revisions to Resolution Conf. 10.10 (Rev. CoP16) on *Trade in elephant specimens* and two draft decisions, which were adopted with amendments [Decisions 17.162 and 17.163 on *Identification (ivory)*].

Purpose and impact of the proposal

The proposal seeks to include *Mammuthus primigenius* in Appendix II, in accordance with Article II, paragraph 2(b) of the Convention. If the proposal is adopted, international trade in specimens of woolly mammoth will be regulated in accordance with the provisions of Article IV of the Convention.

The proponents argue that regulation of trade of *M. primigenius* is required in order to bring under effective control trade in specimens of *Loxodonta africana* (African elephant).

Compliance with listing criteria

The supporting statement refers to Article II, paragraph 2(b) of the Convention and Annex 2b of Resolution Conf. 9.24 (Rev CoP17) on *Criteria for amendment of Appendices I and II*. It does not specify whether the proposal to include *Mammuthus primigenius* in Appendix II satisfies criterion A or B of Annex 2b of the Resolution.

The supporting statement states that "Article II, subparagraph 2 in the Convention provides the basis for the inclusion of extinct woolly mammoth, under criteria 2 and 3 of Annex 4, paragraph D in Resolution Conf. 9.24 (Rev. CoP17) due to the resemblance of woolly mammoth ivory to elephant ivory and the implementation problems woolly mammoth ivory is causing in curbing elephant ivory trafficking".

Data obtained from Comtrade (http://comtrade.un.org) shows that the volume of international trade in mammoth ivory rose between the late 1990s and 2007. It then dropped sharply in 2008 and 2009, before recovering and continued to rise in subsequent years. Virtually all mammoth ivory in international trade originates from the Siberian tundra and is therefore exported by the Russian Federation.

M. primigenius was the last of the species of the genus to become extinct. Other recorded species of mammoth include *M. africanus, M. columbi, M. creticus, M. exilis, M. imperator, M. lamarmorai, M. meridionalis, M. rumanus, M. subplanifrons* and *M. trogontherii.* Most species of mammoth are traded as fossilized specimens and it is thought that *M. primigenius* is the only extinct species of the family Proboscidea that consistently provides high quality ivory that can be carved.

The Secretariat recalls that the purpose of the Convention is to protect certain species against over-exploitation through international trade. It also recalls that the Convention regulates trade in species that are threatened with extinction (Appendix I); that may become threatened unless trade in specimens of such species is strictly regulated to avoid utilization incompatible with their survival; or that must be subject to regulation in order that trade in specimens of other listed species may be brought under effective control (Appendix II); and that are protected in at least one CITES Party, which is seeking cooperation of other Parties in controlling the trade (Appendix III).

Mammuthus primigenius is considered to be long extinct. Under CITES, trade in extinct species is normally not regulated. Parties have also recognized that fossilized species are not covered by the provisions of the Convention [see Resolution Conf. 11.10 (Rev. CoP15) on *Trade in stony corals*].

The supporting statement evokes Annex 3 (Special cases) of Resolution Conf. 9.24 (Rev. CoP17) and Annex 4 (Precautionary measures), paragraph D to support the inclusion of an extinct species in the Appendices.

Extinct species are mentioned in two parts of Annex 3 of the Resolution. The first reference is under the heading "Higher taxa", which states that "When preparing a proposal to include a higher taxon in the Appendices, Parties are encouraged to note any extinct species in the higher taxon and to clarify whether these are included or excluded from the proposed listing". In the present case, the extinct species is not proposed to be included as part of a higher taxon and therefore this provision is not applicable.

In the last paragraph of Annex 3, concerning extinct species, it is explicitly stated that, "Extinct species should not normally be proposed for inclusion in the Appendices. Extinct species already included in the Appendices should be retained in the Appendices if they meet one of the precautionary criteria included in Annex 4.D."

The Secretariat recalls that this paragraph was added to the Resolution at CoP17 in the context of a specific discussion related to the development of broad general principles for treatment of extinct or possibly extinct species already included in the Appendices (CoP17 Doc. 85). In the background for this proposal (paragraph 6) of document CoP17 Doc. 85, it is stated that "Extinct species should not normally be included in the Appendices, but extinct species already listed may be retained where one of the conditions outlined in paragraph d) below are met." This indicates that the objective and scope of this amendment was not related to the possibility of adding an extinct species to the Appendices of the Convention but provides for extinct species already listed in the Appendices to be retained in certain circumstances.

The Secretariat notes that Annex 4 of the Resolution concerns the precautionary approach that Parties shall take when considering proposals to amend Appendix I or II "in case of uncertainty either as regards the status of a species or the impact of trade on the conservation of a species". Paragraph D of that Annex specifies the circumstances under which "Species that are regarded as possibly extinct should not be deleted from the Appendices". It therefore applies to species that are already included in the Appendices and that are "possibly extinct". *M. primigenius* is not included in the Appendices and there is no uncertainty that the species is extinct. For these reasons, Annex 4, including paragraph D, is not applicable in this case.

Based on these observations, the Secretariat disagrees with the authors that Annex 3 and Annex 4, paragraph D, of Resolution Conf. 9.24 (Rev. CoP17) provide the basis for including an extinct species in Appendix II.

The proponent sought the views of all Parties on this proposal through Notification No. 2018/088 and received four responses by the deadline for submission. It would be important to obtain the view of the Russian Federation as the main exporter of woolly mammoth ivory and therefore the main Party concerned with the implementation of Article IV, paragraphs 2 and 3 of the Convention.

Additional considerations (including relevant CoP recommendations)

The proponent states that they expect that the listing of woolly mammoth in Appendix II would reduce the number of cases of "laundering" of elephant ivory. However, the supporting statement offers limited evidence to demonstrate that "laundering" of elephant ivory as mammoth ivory is occurring at a scale that would suggest that trade in mammoth ivory needs to be regulated. The supporting statement refers to a recent study published by TRAFFIC on the ivory market United States of America (Kramer et al., 2017) that it claims provides examples of actual cases in the USA where elephant ivory was sold under the claim that it was mammoth ivory. However, as only two individual cases are mentioned in this report, this does not seem to support the claim that there is a significant problem.

The supporting statement provides some anecdotal evidence on the potential for misidentification but says little on the scale of the problem. It also notes that according to some commentators the trade in mammoth ivory – and potentially other types of elephant ivory substitutes – can relieve the poaching pressure on elephants; although it states this is "based on the erroneous claim" that elephant and mammoth ivory are easily distinguishable.

It is the view of the Secretariat that the risk of misidentification concerns mainly carved items, and especially smaller painted ones. Larger pieces of raw ivory are relatively easy to identify with training and experience. It

would be useful to seek the views of enforcement agents to determine how difficult it is to distinguish between elephant and mammoth ivory.

There are several identification kits and guides to assist enforcement officers in differentiating between elephant ivory and other types of ivory, some of which are presented in Section 9 of the supporting statement. In addition, in the implementation of CoP Decisions 17.162 and 17.163, the CITES Secretariat has commissioned TRAFFIC, which is working with the author of the *Identification Guide of Ivory and Ivory Substitutes* (1999) and the United States Fish and Wildlife Service Forensics Laboratory, to produce an updated version of the ivory identification guide. The updated guide will include: updated text and images of ivory specimens in trade; overview of forensic tools and protocols available for the identification of ivory in addition to morphological means; information materials of use for law enforcement agencies for *in-situ* visual identification of elephant ivory, particularly in order to distinguish it from other ivories and ivory substitutes; and forensic options available for identifying ivory specimens, including their origins and age.

Further, the Secretariat notes that the implementation of the Convention with regard to mammoth raises some questions implying that the Convention is not an adequate venue for regulating trade in this species. For instance, it is not clear how Parties are expected to make a non-detriment finding for a species that is already extinct or how the exemption provided for in Article VII, paragraph 2, related to so-called pre-Convention specimens, is expected to be applied to an extinct species. If the proposal is adopted, Parties would be expected to ensure that their national legislation regulating trade specimens of species included in the CITES Appendices applies to specimens of mammoth; this could prove challenging for Parties that need to revise their legislation.

Finally, the Secretariat draws the attention to the fact that current levels of, and trends in, illegal killing of elephants in Africa are discussed in document CoP18 Doc. 69.2. In summary, the estimated trend in poaching rates for all African sites combined, under a 3% annual natural mortality scenario, were above 5% between 2010 and 2014, dropping subsequently to converge towards 5% by 2015. In 2016, the estimate probably fell below 5% for the first time in six years and this downward trend continued in the 2017 estimate.

Document CoP18 Doc. 69.2 also presents a covariate analysis relating to factors associated with levels of illegal killing of elephants, where annual mammoth ivory price was used as one of the associated factors. It was assumed that mammoth ivory prices are correlated with black market ivory prices. The model used in the covariate analysis predicts a strong positive correlation between Proportion of Illegally Killed Elephants (PIKE) and mammoth ivory price. The analysis showed that mammoth ivory prices increased until 2012, reached a peak in 2014, followed by a substantial decrease and slight increase in 2017.

Comments from Parties

Comments were received from **Niger** supporting the inclusion of *Mammuthus primigenius* in Appendix II for the reasons indicated by the proponent in the supporting statement.

Conclusions

The CITES Convention seeks to regulate trade in species that are or may become threatened with extinction (Article II of the Convention). However, *Mammuthus primigenius* is considered to be long extinct, and Annex 3 of Resolution 9.24 (Rev. CoP17) on Special cases states that extinct species should not normally be proposed for inclusion in the Appendices, citing extinct species already included in the Appendices as a possible exception, when they meet one of the precautionary criteria included in Annex 4 D. The Secretariat understands that the special cases of extinct species referred to in Annexes 3 and 4 concern the deletion of species from the Appendices, not their inclusion.

Paragraph 2 of Resolution Conf. 9.24 (Rev. CoP17) states that "*Parties shall act in the best interest of the species concerned and, when considering proposals to amend Appendix I or II, adopt measures that are proportionate to the anticipated risks to the species*". The supporting statement seeks to regulate trade in mammoth ivory for 'look-alike reasons', in order to reduce the number of cases of "laundering" or mislabelling of elephant ivory. However, while a limited number of examples are presented in the supporting statement, there is no strong body of evidence to suggest that such "laundering" at a significant scale is happening. Moreover, no clear link has been shown between trade in mammoth ivory and levels of elephant poaching. MIKE reports actually indicate an overall downward trend in poaching levels since 2011. It remains unclear whether trade in mammoth ivory is having any impact on the wild populations of *Loxodonta africana* or whether regulation of trade in mammoth ivory or any other ivory substitutes is required to bring under more effective control trade in specimens of *L. africana* as outlined in paragraph 2 (b) of Article II of the Convention.

Concerning the potential problem of misidentification of specimens, it is acknowledged that tusks and larger pieces of raw ivory are relatively easy to identify. However, there is some concern that smaller carved items of elephant ivory and mammoth ivory, especially painted ones, are harder to distinguish. The development of improved guidance for enforcement officers on the identification of ivory and ivory substitutes should address this problem and this work is ongoing through implementation of CoP Decisions 17.162 and 17.163.

Finally, the inclusion of *M. primigenius* in Appendix II of CITES could cause a number of implementation challenges, in particular how the inclusion of an extinct species would be transposed into national legislation by Parties.

Based on the above arguments, it appears that the regulation of trade in *M. primigenius* is not required to bring under effective control trade in specimens of *L. africana*.

Recommendations

The criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 2 b for including *Mammuthus primigenius* in Appendix II in accordance with Article II, paragraph 2 (b) of the Convention are not met.

The Secretariat recommends that this proposal be **rejected**.

Proposal 14

***Leporillus conditor* (greater stick-nest rat) - Transfer from Appendix I to Appendix II**

Proponent: Australia

Provisional assessment by the Secretariat

CITES background

Leporillus conditor was listed in Appendix I on 1 July 1975.

After the 17th meeting of the Conference of the Parties (CoP17, Johannesburg, 2016), *L. conditor* was selected for review under Resolution Conf. 14.8 (Rev. CoP17) on *Periodic Review of species included in Appendices I and II* during the period from CoP17 to CoP19. Australia offered to conduct the review, and provided it at the 30th meeting of the Animals Committee as document AC30 Doc. 29.2.3.

Based on the information available, the Committee determined that the species reviewed met the criteria for transfer from Appendix I to Appendix II in Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*. The Committee did not provide details concerning its determination, but noted that it was made in accordance with subparagraphs 2 g) and h) of Resolution Conf. 14.8 (Rev. CoP17). At the request of the Committee, the Secretariat invited Australia to submit its proposal for consideration at CoP18.

Purpose and impact of the proposal

The proposal seeks to transfer *Leporillus conditor* from Appendix I to II. As it appears that there is no international trade in, or demand for this species, it is indicated that it no longer meets the biological criteria in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17) for inclusion in Appendix I. In accordance with the *Precautionary measures* in Annex 4 of Resolution Conf. 9.24 (Rev. CoP17), *L. conditor* may not be deleted from the Appendices until it has first been transferred to Appendix II, with monitoring of any impact of trade for at least two intervals between meetings of the Conference of the Parties.

Compliance with listing criteria

This proposal was prepared in the context of Resolution Conf. 14.8 (Rev. CoP17).

Leporillus conditor is native to Australia. It became extinct on the mainland in the 1930s, remaining only on the Franklin Islands, South Australia. Despite having undergone a significant reduction in extent of occurrence and area of occupancy, the species has since been introduced in a number of other islands and fenced mainland locations. Where these introductions have been successful, the subpopulations are considered stable.

The species is categorized as Near Threatened by IUCN. Introduced predators are thought to be the greatest threat to this species highly susceptible to predation. There have been difficulties in monitoring and making overall population trend assessments for this species. Nevertheless, the proponent indicates that the estimated number of mature individuals across all islands and mainland sanctuary populations is over 3,000. According to the proponent, declines have been noted at some sites, while at other sites numbers appear to be increasing consistently. Despite the increase in extent of occurrence and area of occupancy since the species' original decline, its total area of occurrence is said to remain only a small proportion of the former range.

Under Article II, paragraph 1 of the Convention, Appendix I shall include *species threatened with extinction which are or may be affected by trade*. The proponent states that there is no known incidence of trade in this species. Trade is therefore not considered to have had a detrimental impact on its status, and not to have been a factor in its decline. It is also stated that there is no suspected or demonstrable potential demand for this species. There is no evidence of trade threatening the survival of the species in the future. Some trade for scientific or conservation purposes may arise, but the proponent notes that there are national control measures in place to control any potential impact to the species, although details are not specified. The proponent concludes that *L. conditor* does not meet the basic criteria for inclusion in Appendix I and is therefore eligible for transfer to Appendix II.

The proponent notes that, regardless of its CITES listing, the conservation of the species will continue to be regulated by national and state environmental legislation, with any take from the wild being regulated, and having only been permitted only for reintroduction projects.

The supporting statement indicates that the proposal is made in accordance with the *Precautionary measures* in Resolution Conf. 9.24 (Rev. CoP17), Annex 4, paragraph A. 2. a) i), as the species appears not to satisfy the relevant criteria for inclusion in Appendix I, is not in demand for international trade, and its transfer to Appendix II is not likely to stimulate trade in, or cause enforcement problems for any other species included in Appendix I.

Conclusions

Information in the supporting statements suggests that the size of the wild population of *Leporillus conditor*, endemic to Australia, is over 3,000 mature individuals, and that its distribution is fragmented and restricted to a number of islands and small fenced areas on the mainland. It appears that it could meet the biological criteria for inclusion in Appendix I. However, international trade is not considered a threat to the species and has not been a factor in its historic decline. The species is not in demand for international trade, nor is its transfer to Appendix II likely to stimulate trade in, or cause enforcement problems for, any other species included in Appendix I. The species does not meet paragraph 3 a) of Resolution Conf. 9.24 (Rev. CoP17) or the definition of affected by trade in Annex 5 of the same Resolution.

This proposal was prepared in the context of Resolution Conf. 14.8 (Rev. CoP17) on *Periodic Review of the Appendices*. The Animals Committee, at its 30th meeting (AC30, Geneva, July 2018) agreed with the recommendation from this Periodic Review that it would be appropriate to transfer *L. conditor* to Appendix II.

Recommendations

Leporillus conditor does meet the biological criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 1 for inclusion in Appendix I, but is – or may – not be affected by trade, and can be transferred to Appendix II in accordance with the precautionary measure in paragraph A. 2. a) i) in Annex 4 of Resolution Conf. 9.24 (Rev. CoP17).

The Secretariat recommends that this proposal be **adopted**.

Proposal 15

***Pseudomys fieldi praeconis* (Shark Bay mouse) - Transfer from Appendix I to Appendix II, and change to *Pseudomys fieldi* (Waite, 1896)**

Proponent: Australia

Provisional assessment by the Secretariat

CITES background

The genus *Pseudomys* (family Muridae) comprises several rodent species that are found across Australia, including one species that extends to New Guinea. It appears that *Pseudomys fieldi* was only known from one specimen captured in 1985 in the Northern Territory, Australia, and that the name *Pseudomys praeconis* would have mainly referred to a population on Bernier Island, Western Australia.

Pseudomys fieldi and *Pseudomys praeconis* were included as separate species in Appendix I at the time of entry into force of the Convention on 1 July 1975. At the second meeting of the Conference of the Parties (San José, 1979), *P. fieldi* was deleted from the Appendices following a proposal which stated that the species was presumed extinct and that it no longer met the criteria for inclusion in Appendix I (CoP2 Prop. 15).

P. praeconis and *P. fieldi* were synonymized in 1995[3], and *P. fieldi* then became the accepted name for both the extinct mainland population and the extant population on Bernier Island. Both names would now refer to the commonly known Shark Bay mouse.

At the 14th meeting of the Conference of the Parties (CoP14, The Hague, 2007), the listing of *Pseudomys praeconis* was changed to *Pseudomys fieldi praeconis,* following the adoption of a new standard nomenclature for mammals (Wilson and Reeder, *Mammal species of the world*, 3rd edition). The taxon currently referred to as *Pseudomys fieldi praeconis* has therefore been included in Appendix I since 1 July 1975**.** It is currently the only member of the genus *Pseudomys* that is listed in the Appendices.

After CoP17 (Johannesburg, 2016), *P. f. praeconis* was selected for review under Resolution Conf. 14.8 (Rev. CoP17) on *Periodic Review of species included in Appendices I and II* during the period from CoP17 to CoP19. Australia offered to conduct the review, and it was provided at the 30th meeting of the Animals Committee (AC30, Geneva, July 2018) as document AC30 Doc. 29.2.4.

Based on the information available, the Committee determined that the taxon reviewed met the criteria for transfer from Appendix I to Appendix II in Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*. The Committee did not provide details concerning its determination, but noted that it was made in accordance with subparagraphs 2 g) and h) of Resolution Conf. 14.8 (Rev. CoP17). At the request of the Committee, the Secretariat invited Australia to submit its proposal for consideration at CoP18.

Purpose and impact of the proposal

The proposal seeks to transfer *Pseudomys fieldi praeconis* from Appendix I to Appendix II. As it is stated that there is no international trade in, or demand for this species, the supporting statement indicates that it no longer meets the biological criteria in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17) for inclusion in Appendix I. In accordance with the precautionary measures in Annex 4 of Resolution Conf. 9.24 (Rev. CoP17), *P. f. praeconis* may not be deleted from the Appendices until it has first been transferred to Appendix II, with monitoring of any impact of trade for at least two intervals between meetings of the Conference of the Parties.

The proposal also proposes that the listing of *Pseudomys fieldi praeconis* be changed to *Pseudomys fieldi* (Waite, 1896), asserting that this is in compliance with Resolution Conf. 12.11 (Rev. CoP17) on *Standard nomenclature*, and that *P. f. praeconis* is not a recognized taxon.

[3] *Wilson, D.E., Lacher, T.E., Jr & Mittermeier, R.A. eds. (2017). Handbook of the Mammals of the World. Vol. 7. Rodents II. Lynx Edicions, Barcelona.*

Compliance with listing criteria

This proposal was prepared in the context of Resolution Conf. 14.8 (Rev. CoP17).

The proposal is in accordance with Resolution Conf. 9.24 (Rev. CoP17), paragraphs 3 a) and i), as available data indicate that the taxon: is not, and is unlikely to be, affected by trade; does not meet the criteria in Annex 1 of the Resolution for inclusion in Appendix I; and should therefore be transferred to Appendix II in accordance with the relevant *Precautionary measures* listed in Annex 4.

Regarding the proposal that the name of the subspecies be changed to *Pseudomys fieldi* (Waite,1896), this appears to be in accordance with Resolution Conf. 12.11 (Rev. CoP17), in that paragraph 2 a) recommends that "a subspecies be proposed for inclusion in the Appendices only if it is generally recognized as a valid taxon". At the time of adoption of the current standard nomenclature for mammals, at CoP14, the Nomenclature Committee had provided a list of all consequential changes that would be required to the Appendices, including that *Pseudomys praeconis* would become listed as *Pseudomys fieldi praeconis* [see document NC2006 (fauna) Doc. 9].

Conclusions

Pseudomys fieldi praeconis, endemic to Australia, does not appear to be in international trade and does not meet the criteria in Resolution Conf. 9.24 (Rev. CoP17), Annex 1 for its inclusion in Appendix I.

According to the proponent, the listing of *Pseudomys fieldi praeconis* should be changed to *Pseudomys fieldi* (Waite, 1896), asserting that this is in compliance with Resolution Conf. 12.11 (Rev. CoP17) on *Standard nomenclature*, and that *P. f. praeconis* is not a recognized taxon.

This proposal was prepared in the context of Resolution Conf. 14.8 (Rev. CoP17) on *Periodic Review of the Appendices*. The Animals Committee, at its 30th meeting (AC30, Geneva, July 2018) agreed with the recommendation from this Periodic Review that it would be appropriate to transfer *Pseudomys fieldi praecornis* to Appendix II and that the proposal to change the subspecies' name should be submitted for consideration at the present meeting.

Recommendations

Pseudomys fieldi praecornis does not meet the biological criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 1 for its inclusion in Appendix I and can be transferred to Appendix II in accordance with the precautionary measure in paragraph A. 2. a) i) in Annex 4 of Resolution Conf. 9.24 (Rev. CoP17). If the proposed nomenclature change is adopted, *Pseudomys fieldi praecornis* would be replaced with *Pseudomys fieldi*.

The Secretariat recommends that this proposal be **adopted**.

Proposal 16

***Xeromys myoides* (false swamp rat) - Transfer from Appendix I to Appendix II**

Proponent: Australia

Provisional assessment by the Secretariat

CITES background

Xeromys myoides was included in Appendix I at the time of entry into force of the Convention on 1 July 1975.

After the 17th meeting of the Conference of the Parties (CoP17, Johannesburg, 2016), *X. myoides* was selected for review under Resolution Conf. 14.8 (Rev. CoP17) on *Periodic Review of species included in Appendices I and II,* during the period from CoP17 to CoP19. Australia offered to conduct the review, and provided the result at the 30th meeting of the Animals Committee (AC30, Geneva, July 2018) as document AC30 Doc. 29.2.5.

Based on the information available, the Committee determined that the species met the criteria for transfer from Appendix I to Appendix II in Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*. The Committee did not provide details concerning its determination, but noted that it was made in accordance with subparagraphs 2 g) and h) of Resolution Conf. 14.8 (Rev. CoP17). At the request of the Committee, the Secretariat invited Australia to submit its proposal for consideration at CoP18.

Purpose and impact of the proposal

The proposal seeks to transfer *Xeromys myoides* from Appendix I to Appendix II. As it appears that there is no international trade in, or demand for this species, it is indicated that it no longer meets the biological criteria in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17) for inclusion in Appendix I. In accordance with the *Precautionary measures* in Annex 4 of Resolution Conf. 9.24 (Rev. CoP17), *X. myoides* may not be deleted from the Appendices until it has first been transferred to Appendix II, with monitoring of any impact of trade for at least two intervals between meetings of the Conference of the Parties.

Compliance with listing criteria

This proposal was prepared in the context of Resolution Conf. 14.8 (Rev. CoP17).

Xeromys myoides is native to northern Australia and Papua New Guinea. The species is categorized as Vulnerable by IUCN[4].

In Australia, it has a patchy, poorly understood distribution and its major threats appear to be the loss, degradation and fragmentation of habitat. The threats in the New Guinean portion of the species' range appear not to be well defined.

The proponent states that there is no robust assessment of the species' population size. Estimates suggest that 5,000 to 50,000 mature individuals may exist across its entire range. The Australian part of its range may comprise 10,000 mature individuals, potentially undergoing decline. It appears that there is no record of the population size for Papua New Guinea, where the species is not considered threatened or in decline. However, the proponent notes that *X. myoides* has not been re-sampled in this latter part of its range since its original discovery.

Under Article II, paragraph 1, of the Convention, Appendix I shall include *species threatened with extinction which are or may be affected by trade*. The proponent states that there is no known incidence of trade in this species within Australia or Papua New Guinea. Trade is therefore not considered to have had a detrimental impact on the species' status, and not to have been a factor in its decline. It is also stated that there is no suspected or demonstrable potential demand for this species. There is also no evidence that trade might threaten the survival of this species in the future. Some trade for scientific or conservation purposes may arise, but the proponent notes that there are measures in place in Australia to control any potential impact to the species, although details

[4] *Woinarski, J. & Burbidge, A.A. 2016. Xeromys myoides. The IUCN Red List of Threatened Species 2016: e.T23141A22454469. http://dx.doi.org/10.2305/IUCN.UK.2016-2.RLTS.T23141A22454469.en. Downloaded on 21 January 2019.*

are not specified. The proponent concludes that *X. myoides* does not meet the basic criteria for inclusion in Appendix I and is therefore eligible for transfer to Appendix II.

The proponent notes that, regardless of any CITES listing, the conservation of the species will continue to be regulated in Australia by national and state environmental legislation, with take from the wild being regulated in this part of its range. The proponent does not provide comparable safeguards applicable to the Papua New Guinean part of the species' range.

The proponent consulted with the Management Authority of Papua New Guinea, as the only other known range State of *X. myoides*. However, the results of this consultation are not specified.

The supporting statement indicates that the proposal is made in accordance with the *Precautionary measures* in Resolution Conf. 9.24 (Rev. CoP17), Annex 4, paragraph A. 2 a) i), as the species appears not to satisfy the relevant criteria for inclusion in Appendix I, is not in demand for international trade, and its transfer to Appendix II is not likely to stimulate trade in, or cause enforcement problems for any other species included in Appendix I.

Additional considerations (including relevant CoP recommendations)

The proponent indicates that the species superficially resembles a number of other native rodents, particularly *Hydromys chrysogaster* (water rat, not a CITES-listed species). Additionally, it resembles several New Guinean rodents, but this is not indicated in the supporting statement.

Conclusions

There is limited information on the size of the wild population of *Xeromys myoides* (estimated to be between 5,000 and 50,000 mature individuals), or to determine whether its distribution is restricted. Concerning precautionary measures, the species is not in demand for international trade, nor is its transfer to Appendix II likely to stimulate trade in, or cause enforcement problems for, any other species included in Appendix I.

This proposal was prepared in the context of Resolution Conf. 14.8 (Rev. CoP17) on *Periodic Review of the Appendices*. The Animals Committee, at its 30th meeting (AC30, Geneva, July 2018) agreed with the recommendation from this Periodic Review that it would be appropriate to transfer *X. myoides* to Appendix II.

Recommendations

Xeromys myoides does not meet the biological criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 1 for its inclusion in Appendix I and can be transferred to Appendix II in accordance with the precautionary measure in paragraph A. 2. a) i) in Annex 4 of Resolution Conf. 9.24 (Rev. CoP17).

The Secretariat recommends that this proposal be **adopted**.

Proposal 17

***Zyzomys pedunculatus* (central rock rat) - Transfer from Appendix I to Appendix II**

Proponent: Australia

Provisional assessment by the Secretariat

CITES background

Zyzomys pedunculatus was included in Appendix I at the time of entry into force of the Convention on 1 July 1975.

After the 17th meeting of the Conference of the Parties (CoP17, Johannesburg, 2016), *Z. pedunculatus* was selected for review under Resolution Conf. 14.8 (Rev. CoP17) on *Periodic Review of species included in Appendices I and II* during the period from CoP17 to CoP19. Australia offered to conduct the review, and provided the result at the 30th meeting of the Animals Committee (AC30, Geneva, July 2018) in document AC30 Doc. 29.2.6.

Based on the information available, the Committee determined that the species met the criteria for transfer from Appendix I to Appendix II in Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*. The Committee did not provide details concerning its determination, but noted that it was made in accordance with subparagraphs 2 g) and h) of Resolution Conf. 14.8 (Rev. CoP17). At the request of the Committee, the Secretariat invited Australia to submit its proposal for consideration at CoP18.

Purpose and impact of the proposal

The proposal seeks to transfer *Zyzomys pedunculatus* from Appendix I to Appendix II. As it appears that there is no international trade in, or demand for this species, it is indicated that it no longer meets the biological criteria in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17) for inclusion in Appendix I. In accordance with the *Precautionary measures* in Annex 4 of Resolution Conf. 9.24 (Rev. CoP17), *Z. pedunculatus* may not be deleted from the Appendices until it has first been transferred to Appendix II, with monitoring of any impact of trade for at least two intervals between meetings of the Conference of the Parties.

Compliance with listing criteria

This proposal was prepared in the context of Resolution Conf. 14.8 (Rev. CoP17).

Zyzomys pedunculatus is endemic to Australia. According to the proponent, this species has exhibited a marked decline in range from the time of European settlement in Australia. It was thought to be extinct in the early 1990s but was rediscovered in 1996 in the West MacDonnell Ranges in the Northern Territory, where it is known only from a number of disjunct sites.

The main threats to *Z. pedunculatus* include extensive fires and predation by feral cats. The species is known for undergoing population fluctuations in response to climatic conditions, and its range is expected to continue to decline as a result of shifting habitat quality led by multiple factors.

The proponent indicates that the species' population size has been estimated at less than 800 mature individuals, noting however that robust estimates are not available. It notes also that the population is estimated to have declined by at least 81% from 2000/2001 to 2010/2011, and that this decline rate may still be ongoing. The species is categorized as Critically Endangered by IUCN, and its population is decreasing.

Under Article II, paragraph 1 of the Convention, Appendix I shall include *species threatened with extinction which are or may be affected by trade*. The proponent states that there is no known incidence of trade in this species. Trade is therefore not considered to have had a detrimental impact on its status, and not to have been a factor in its decline. It is also stated that there is no suspected or demonstrable potential demand for the species. There is no evidence that trade might threaten the survival of this species in the future. Some trade for scientific or conservation purposes may arise, but the proponent noted that there are national control measures in place to control any potential impact to the species, although details are not specified. The proponent concludes that *Z. pedunculatus* does not meet the basic criteria for inclusion in Appendix I and is therefore eligible for transfer to Appendix II.

The proponent further notes that, regardless of any CITES listing, the conservation of the species will continue to be regulated by national and state environmental legislation, with any take from the wild being regulated.

The supporting statement indicates that the proposal is made in accordance with the *Precautionary measures* in Resolution Conf. 9.24 (Rev. CoP17), Annex 4, paragraph A 2 a) i), as the species appears not to satisfy the relevant criteria for inclusion in Appendix I, is not in demand for international trade, and its transfer to Appendix II is not likely to stimulate trade in, or cause enforcement problems for any other species included in Appendix I.

Conclusions

The supporting statement suggests that the size of the wild population of *Zyzomys pedunculatus*, endemic to Australia, is small (estimated to be less than 800 mature individuals). According to IUCN, the population declined by at least 81% from 2000/2001 to 2010/2011, and this decline rate may still be ongoing. The species is categorized as Critically Endangered. It therefore appears to meet the biological criteria for inclusion in Appendix I. However, paragraph 3 a) of Resolution Conf. 9.24 (Rev. CoP17) and the definition of affected by trade in Annex 5 of the same Resolution are not met, as international trade is not considered a threat to the species and does not appear to have been a factor in its historic decline.

This proposal was prepared in the context of Resolution Conf. 14.8 (Rev. CoP17) on *Periodic Review of the Appendices*. The Animals Committee, at its 30th meeting (AC30, Geneva, July 2018) agreed with the recommendation from this Periodic Review that it would be appropriate to transfer *Z. pedunculatus* to Appendix II.

Recommendations

Zyzomys pedunculatus does meet the biological criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 1 for its inclusion in Appendix I, but is or may not be affected by trade, and can be transferred to Appendix II in accordance with the precautionary measure in paragraph A. 2. a) i) in Annex 4 of Resolution Conf. 9.24 (Rev. CoP17).

The Secretariat recommends that this proposal be **adopted**.

Proposal 18

***Syrmaticus reevesii* (Reeves's pheasant) - Inclusion in Appendix II**

Proponent: China

Provisional assessment by the Secretariat

CITES background

Syrmaticus reevesii is currently not included in the CITES Appendices and this is the first time that a proposal to include it has been submitted to the Conference of the Parties.

Of the five species in the genus *Syrmaticus*, *S. ellioti*, *S. humiae*, and *S. mikado* have been included in CITES Appendix I since 1975.

Purpose and impact of the proposal

The proposal seeks to include *Syrmaticus reevesii* in Appendix II, in accordance with Article II, paragraph 2(a) of the Convention. If the proposal is adopted, international trade in specimens of this species will be regulated in accordance with the provisions of Article IV of the Convention.

Compliance with listing criteria

The proponent states that the inclusion of *Syrmaticus reevesii* in Appendix II satisfies criterion B in Annex 2a of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*.

S. reevesii is endemic to central China, occurring in mountain forests between 200 m and 2,600 m altitude. The tail feathers of adult males can be up to 2.4 metres long and are in demand for trade. Populations in the wild have decreased significantly in recent decades because of habitat destruction and illegal hunting, and its range has been reduced and become highly fragmented. In 2018, the species was categorized as 'Vulnerable' in the IUCN Red List, with a wild population estimated to be between 3,500 and 15,000 individuals, and the number is reportedly decreasing. The species has been introduced in Europe and North America, and feral populations exist in several countries. It is well-established and common in zoos and aviculture and bred in captivity in China and many countries around the world.

Measures have been taken by China to protect Reeves's pheasant habitat through the creation of reserves and forest parks, and by imposing forest conservation actions, including bans on logging in sensitive areas. *In situ* captive breeding for research purposes takes place in Dongzhai National Nature Reserve, a protected area. The wild population is reportedly monitored continuously, and the subject of long-term studies.

The supporting statement shows that there is international trade in, and demand for feathers and for live birds and eggs (the latter presumably associated with aviculture). Regarding illegal international trade, it states that the European Union (EU), between 2002 and 2015, reported the importation of several thousands of tail feathers from China of wild origin, although no exports were authorized by China. However, the supporting statement indicates that these reported cases may have come from introduced populations with false source information. International trade in feathers and live specimens of captive-bred origins is also recorded in EU import data (including exports from China). China, in its supporting statement, reports a few cases of illegal domestic trade since 2013 (11 for food and one for 'trade'). The supporting statement mentions, under section 6.5, "the eggs collecting and capturing chicks and even adult birds that occur in many areas to meet the demand for recruits for zoos or breeding centres", but the references provided suggest that this situation may pre-date 1989, when the species received full protection in China.

Hunting, killing, selling, buying and utilisation of *S. reevesii* and its products has been strictly prohibited in China since 1989. Permit systems for authorizing research, breeding or exhibition are in place.

The wild population of *S. reevesii* is not small but is threatened by habitat destruction and domestic illegal hunting. The information in the supporting statement does not provide much evidence that the actual or potential impacts from international trade in *S. reevesii* require that it be regulated to ensure that harvest from the wild is not reducing the wild population to levels that would threaten its survival. The species is fully and actively protected

in China, and there are no clear indications that specimens of China's endemic wild population continue to enter international trade. The species is widespread in captivity outside of China; and captive or feral populations may be the origin of many of the specimens in international trade, which seems overall limited.

Conclusions

It appears that the wild population of *Syrmaticus reevesii*, endemic to China, is not small (maximum 15,000 individuals), but according to the IUCN/TRAFFIC analysis declined by at least 50% in the last ten years (two generations), and is decreasing through loss of habitat, as well as illegal hunting and poisoning, thereby showing a marked decline as defined in Annex 5 of Resolution Conf. 9.24 (Rev. CoP17).

S. reevesii is fully and actively protected in China, and there is little indication that wild specimens from China are entering international trade. The species is well established in captivity outside China, and feral populations in Europe and North America exist. International trade in *S. reevesii* seems limited, involving feathers, eggs and live animals, with an unknown but probably large portion coming from captive-bred animals. However, the Conference of the Parties, through Resolution Conf. 9.24 (Rev. CoP17), may consider the precautionary approach in case of uncertainty regarding the status of a species or the impact of trade on the conservation of a species, shall act in the best interest of the species concerned. In this case, in view of the rapid decline of the population in the wild, the Secretariat recommends a precautionary approach. The species may also meet criterion B in Annex 2a of Resolution Conf. 9.24 (Rev. CoP17) for inclusion in Appendix II.

Recommendations

Syrmaticus reevesii meets the criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 2a criterion B for its inclusion in Appendix II, in accordance with Article II, paragraph 2 (a) or 2 (b) of the Convention.

The Secretariat recommends that this proposal be **adopted**.

Proposal 19

***Balearica pavonina* (black-crowned crane) - Transfer from Appendix II to Appendix I**

Proponents: Burkina Faso, Côte d'Ivoire and Senegal

Provisional assessment by the Secretariat

CITES background

The family Gruidae includes the genera *Balearica* and *Grus.* Eight *Grus* species were included in Appendix I in 1975 and in 1985 all Gruidae species were included in Appendix II as part of a higher taxon listing at the family level. Trade in the species *Balearica pavonina* (including the two sub-species: *B. p. pavonina* and *B. p. ceciliae)* is therefore subject to Article IV of the Convention since 1985.

There is a long history of this species in the Review of Significant Trade (RST). In 2009, the Animals Committee, at its 24th meeting (see AC24 summary record), decided to include two African cranes, *Balearica regulorum* and *B. pavonina* in the review as urgent cases. In 2011, the Animals Committee, at its 25th meeting (see AC25 summary record), retained all range States for *B. pavonina* in the review. In 2012, the Animals Committee, at its 26th record (see AC26 summary record), made recommendations on actions to be taken by the following range States of *B. pavonina:* Guinea (urgent concern), Nigeria (possible concern), Sudan (possible concern) and South Sudan (possible concern). In 2013, the Standing Committee, at its 63rd meeting (see SC63 summary record) noted that Nigeria complied with all the recommendations concerning *B. pavonina* and recommended that all Parties suspend trade covered by Article IV of the Convention for *B. pavonina* from Guinea, Sudan and South Sudan. These trade suspensions remain in place (see Notification to the Parties No. 2018/006).

Trade in *Balearica pavonina* from Mali was subsequently selected for review at AC29 and retained in the review at AC30. The recommendations developed by the Animals Committee are outlined in document AC30 Com. 11 (Rev by Sec).

Purpose and impact of the proposal

The proposal seeks to prohibit international commercial trade in specimens of wild origin of *Balearica pavonina*. If it is adopted, international commercial trade in specimens of *B. pavonina* of wild origin will be prohibited. All ongoing actions related to the Review of Significant Trade would cease immediately.

International trade in specimens of the species will be regulated in accordance with the provisions of Article III of the Convention. In addition, captive-breeding operations wishing to commercially export and trade in specimens of *B. pavonina* would need to be registered with the Secretariat in accordance with Resolution Conf. 12.10 (Rev. CoP15) on *Registration of operations that breed Appendix-I animal species in captivity for commercial purposes*.

Compliance with listing criteria

The supporting statement suggests that the proposal is made in accordance with Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*, Annex 1, paragraph C i) and ii), as there is a marked decline in the population size in the wild that has been observed as ongoing; and has been inferred or projected on the basis of levels of exploitation and a decrease in area of habitat.

Balearica pavonina is native to Cameroon, Chad, Ethiopia, Gambia, Guinea, Guinea-Bissau, Kenya, Mali, Mauritania, Niger, Senegal, South Sudan and Sudan (Birdlife 2016). The proposal indicates that consultations were held during a regional meeting of representatives from the Economic Community of West African States (ECOWAS) member States which took place in Abuja, Nigeria, on 2-4 July 2018, and during a meeting of representatives from the African Union which took place in Luanda, Angola on 19-20 December 2018. The proposal was also sent out to range States representatives by email in English and in French on 7 December 2018. The proponents state that feedback received during these consultations was supportive of the proposal.

Balearica pavonina was re-categorized in the IUCN Red List from Near Threatened to Vulnerable in 2010, and the Vulnerable designation has remained in effect after subsequent assessments were conducted in 2012 and 2016. The justification for the classification is *"primarily due to habitat loss and trapping for domestication or illegal international trade"* (Birdlife 2016).

Williams *et al.* (2003) identified 226 sites that supported black crowned cranes. Approximately 21% or 48 of these sites have some degree of official habitat protection. Seventy-nine percent of the sites are unprotected. Of these numbers, only 17% of the protected sites occur in the range of *B. p. ceciliae,* while 41% occur in the range of *B. p. pavonina.*

The decrease in area of habitat available to the species is addressed by the proponents and it is indicated that the range of the species in West Africa has become severely fragmented and large gaps exist between subpopulations. Cranes have a low reproductive capacity; and loss and fragmentation of habitat, a decrease in food supplies and optimal breeding sites, a decreasing population trend and continued human disturbance significantly affect breeding success of the cranes. These cranes are possibly extinct in Nigeria and Mali and have not been recorded in Sierra Leone since the mid-1930s.

The information in the proposal, based on the IUCN Red List assessment, indicates that there has been a marked decline in the population size in the wild. The Red List assessment states that "the western sub-population (*B. p. pavonina*) is estimated to have declined from 15,000-20,000 individuals in 1985 to 15,000 individuals in 2004. Although the eastern sub-population may have undergone a more substantial decline (50,000-70,000 individuals in 1985 to 28,000-55,000 individuals in 2004), the accuracy of initial and current counts is questionable, hence a trend based on these data is not advisable. Therefore, based on data from *B. p. pavonina* populations alone, the species is estimated to have declined between 0-25% from 1985-2004. Given the uncertainty around these estimates, we provisionally estimate a worst-case decline of 30-49% over 45 years (three generations), though the true figure may be higher depending on the status of *B. p. ceciliae*". The most recent population estimate by IUCN in 2016 was between 28,000 and 47,000 mature individuals in 2016. The levels of decline mentioned in the worst-case scenario come close to the 50% marked decline threshold mentioned in the general guidelines provided in Annex 5 of Resolution Conf. 9.24 (Rev. CoP17) and could provide justification for inclusion of the species in Appendix I.

Trade in black crowned cranes has been recorded in the CITES trade database, including live specimens, along with bodies, skulls, skins, specimens and feathers that were traded as derivatives. Trade records include trade in live birds are mainly wild sourced. Recorded trade levels from Mali in wild specimens of this species were very high (90 birds between 2015 and 2016) considering that the population was estimated to be 100 birds in 2004. The proponents indicate that this species is moderately difficult to keep in captivity, but trade in captive-bred specimens is reported.

The supporting statement summarises the reported trade in *B. pavonina* between 1986 and 2016. Over this twenty-year period, the proposal states that a total of 8,916 live birds were exported by 47 countries, only 12 of which were range States. The data that was used to produce this figure are based on gross exports as reported by the exporter. However, many exporters report on permits issued rather than on trade, so this may not give a very accurate picture of the actual trade. An analysis of the trade reported by importing countries can be more accurate as it reflects trade that is confirmed to have taken place. Such an analysis of the trade database reveals that a total of 3,385 specimens were reported by the importing Parties, with the breakdown of the main exports as follows:

	1986-90	1991-95	1996-00	2001-05	2006-10	2011-15	2016-17	Total
United Republic of Tanzania	961	120	4	0	0	0	0	1085
Guinea	6	315	133	85	32	20	0	591
Mali	20	12	417	15	0	90	30	584
Sudan	0	0	60	330	70	10	0	470
Netherlands	62	29	14	14	0	56	2	177*
Belgium	0	1	0	28	8	7	0	44*
								2951

** All captive- bred or pre-Convention specimens*

Therefore, the trade data presented in the proposal should be viewed with some caution, as the actual trade may not be as significant as indicated.

The proponents indicate that both the legal and illegal trade in *B. pavonina* is having significant effects on the population and depleting the species in the wild and that an Appendix I listing is a priority conservation need. International trade for primarily commercial purposes in specimens of wild origin will be therefore be prohibited

and the illegal trade aspects referred to in the proposal will require enforcement actions from range States and CITES Parties.

Additional considerations (including relevant CoP recommendations)

The supporting statement notes that in 1999, the "Black Crowned Crane programme" was launched by the International Crane Foundation and Wetlands International to identify key areas where effective projects could be conducted to help in the conservation of the cranes and their habitat. As part of this effort, a black crowned crane network was established across 20 nations in West, Central and East Africa to identify key areas where effective projects could be established for conservation of the species and their habitat. However, no information on the implementation of this programme is provided.

Comments from Parties

Sierra Leone, as a range State for *Balearica pavonina*, indicated its support for this proposal on the basis of its Vulnerable status, fragmented populations and decreasing population trend. It highlights that this is a low productivity species and is difficult to breed in captivity. It states that the level of trade occurring at present is unsustainable and that the uplisting of the species to Appendix I will contribute to national efforts led for the protection of this species throughout its range.

Conclusions

The total population of *Balearica pavonina* is not considered small and the species has a widespread but fragmented distribution across central Africa. In 2004, the population was estimated by IUCN to be between 43,000 and 70,000 individuals (with 28,000 to 47,000 mature individuals), although it is acknowledged that there is a high degree of uncertainty with these estimates. The species was classified as Vulnerable by IUCN, based on surveys that had "shown a rapid population decline which is predicted to continue into the future, primarily due to habitat loss and trapping for domestication or illegal international trade". The IUCN Red List indicates that the population is estimated to have declined by 30-49% over three generations (45 years), however, the figures used to determine this decline are not very robust, with the maximum estimates for the eastern and western populations in 2004 falling within the ranges estimated in 1985.

There has been very little trade recorded in wild specimens of the species since 2005, and the species is protected in most range States. Concerns raised over unsustainable levels of trade in this species have been addressed under Resolution Conf. 12.8 (Rev. CoP17) on *Review of Significant Trade in specimens of Appendix-II species*. This has resulted in several recommendations to suspend trade, while trade in *B. pavonina* from Mali is currently under review. The effective implementation of the current Appendix-II listing seems adequate to address concerns about illegal trade in the species. It is therefore not clear what additional benefit an Appendix-I listing would provide to the conservation of the species.

Recommendations

Balearica pavonina does not meet the biological criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 1 for its inclusion in Appendix I.

The Secretariat recommends that this proposal be **rejected**.

Proposal 20

***Dasyornis broadbenti litoralis* (lesser rufous bristlebird) - Transfer from Appendix I to Appendix II**

Proponent: Australia

Provisional assessment by the Secretariat

CITES background

The genus *Dasyornis* (family Muscicapidae, as per the Convention's standard nomenclature references; family Dasyornithidae, as per the proposal) is composed of three species – *D. brachypterus, D. longirostris* and *D. broadbenti*, all endemic to Australia. There are three subspecies of *D. broadbenti*, and *Dasyornis broadbenti litoralis* is the only one considered extinct[5]. It was endemic to the south-western coast of Western Australia. *D. b. litoralis* was included in Appendix I at the time of entry into force of the Convention on 1 July 1975. *D. longirostris* is the only other member of the genus *Dasyornis* that is listed in the Appendices (also in Appendix I since 1 July 1975 and proposed for downlisting at the present meeting).

After the 17th meeting of the Conference of the Parties (CoP17, Johannesburg, 2016), *D. b. litoralis* was selected for review under Resolution Conf. 14.8 (Rev. CoP17) on *Periodic Review of species included in Appendices I and II* during the period from CoP17 to CoP19. Australia offered to conduct the review, and provided the result at the 30th meeting of the Animals Committee (AC30, Geneva, July 2018) as document AC30 Doc. 29.2.1.

Based on the information available, the Committee determined that the subspecies met the criteria for transfer from Appendix I to Appendix II in Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*. The Committee did not provide details concerning its determination, but noted that it was made in accordance with subparagraphs 2 g) and h) of Resolution Conf. 14.8 (Rev. CoP17). At the request of the Committee, the Secretariat invited Australia to submit its proposal for consideration at CoP18.

Purpose and impact of the proposal

The proposal seeks to transfer *Dasyornis broadbenti litoralis* from Appendix I to Appendix II. Although this subspecies is considered extinct and it is indicated that there is no international demand for, or trade in it, it is proposed that *D. b. litoralis* be transferred to Appendix II and not deleted from the Appendices because of its resemblance with *D. longirostris,* which is also in Appendix I. Proposal CoP18 Prop. 21 proposes that *D. longirostris* be transferred to Appendix II, but this should have no impact on the present proposal.

Compliance with listing criteria

This proposal was prepared in the context of Resolution Conf. 14.8 (Rev. CoP17).

Dasyornis broadbenti litoralis is conventionally accepted as a subspecies of *Dasyornis broadbenti*. The proponent states that *D. b. litoralis* resembles another CITES-listed species, *D. longirostris*, but provides no details on how the two may be distinguished.

The proponent states that *D. b. litoralis* was last reliably recorded in 1906, although the Secretariat notes that some records suggest recording in 1908 (Department of the Environment, 2019; and references therein[6]). According to the proponent, the subspecies was formerly considered 'moderately common', but is considered to have become extinct after its habitat was repeatedly burnt for conversion to pasture in the early 20th century. Predation by feral cats appears also to have potentially adversely affected the population of this bird. The proponent states that illegal trade is not considered to have been a factor in its decline.

Although *D. broadbenti* is categorized as of Least Concern by IUCN, the subspecies *D. b. litoralis* has not been separately categorized. Searches for the subspecies within its former range have been unsuccessful. The proponent notes that no captive population exists, and that no specimens have been reintroduced into the wild.

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[5] *Gregory, P. (2019). Rufous Bristlebird (*Dasyornis broadbenti*). In: del Hoyo, J., Elliott, A., Sargatal, J., Christie, D.A. & de Juana, E. (eds.). Handbook of the Birds of the World Alive. Lynx Edicions, Barcelona. (retrieved from https://www.hbw.com/node/62334 on 14 January 2019).*

[6] *Department of the Environment (2019).* Dasyornis broadbenti litoralis *in Species Profile and Threats Database, Department of the Environment, Canberra. Available from: http://www.environment.gov.au/sprat. Accessed Fri, 18 Jan 2019.*

D. b. litoralis is therefore listed as 'extinct' under Australia's *Environment Protection and Biodiversity Conservation Act 1999,* and as 'presumed extinct' under the *Western Australian Wildlife Conservation Act 1950*.

According to the proponent, there is no suspected or demonstrable potential demand for the subspecies. There is no known incidence of trade in this subspecies, and future commercial trade is thought to be unlikely even if the subspecies were rediscovered, as there is also no recorded trade in any other subspecies of *D. broadbenti*. No reference to evidence of trade in *D. longirostris* – the species stated to resemble *D. b. broadbenti* - is made in the supporting statement (but none is recorded in the CITES trade database). The proponent notes that some trade for scientific purposes may arise in remaining specimens, but no reference is made to any known existing ones. The proponent does not provide information concerning whether such arising trade could potentially threaten the survival of other subspecies or species (including *D. longirostris*).

The proponent states that the deletion from the Appendices would not cause difficulties implementing the Convention or interpreting its Appendices. However, as the subspecies somewhat resembles *Dasyornis longirostris,* which is also listed in the Appendices, the subspecies considered extinct should not be deleted from the Appendices. Therefore, it is proposed that it be transferred from Appendix I to Appendix II.

The supporting statement indicates that the proposal is made in accordance with the *Precautionary measures* in Resolution Conf. 9.24 (Rev. CoP17), Annex 4, paragraph A.1. and D.2., whereby *species that are regarded as possibly extinct should not be deleted from the Appendices if they resemble extant species included in the Appendices.* As indicated above, this provision applies in this case in view of the similarity to *D. longirostris,* currently in Appendix I, and proposed to be transferred to Appendix II.

The supporting statement also indicates that the proposal is made in accordance with Annex 4, paragraph A.2 a) i) of Resolution Conf. 9.24 (Rev. CoP17), as the subspecies appears not to satisfy the relevant criteria for inclusion in Appendix I, is not in demand for international trade, and its transfer to Appendix II is not likely to stimulate trade in, or cause enforcement problems for any other species included in Appendix I.

Additional considerations (including relevant CoP recommendations)

Annex 3 of Resolution Conf. 9.24 (Rev. CoP17) states that "Extinct species should not normally be proposed for inclusion in the Appendices. Extinct species already included in the Appendices should be retained in the Appendices if they meet one of the precautionary criteria included in Annex 4 D".

The subspecies *Dasyornis broadbenti litoralis* is considered extinct for more than 100 years. As it somewhat resembles *D. longirostris,* which is included in the Appendices, *D. b. litoralis* should be transferred from Appendix I to Appendix II in accordance with Annex 3 and Annex 4, paragraph D of Resolution Conf. 9.24 (Rev. CoP17).

Conclusions

The subspecies *Dasyornis broadbenti litoralis*, endemic to Australia, is considered extinct for more than 100 years. As it somewhat resembles *D. longirostris,* which is included in Appendix I, *D. b. litoralis* should be transferred from Appendix I to Appendix II in accordance with Annex 3 and Annex 4, paragraph D of Resolution Conf. 9.24 (Rev. CoP17).

There is no known incidence of trade in this subspecies, and future commercial trade is thought to be unlikely, even if the subspecies is rediscovered, as there is also no recorded trade in any other subspecies of *D. broadbenti*.

This proposal was prepared in the context of Resolution Conf. 14.8 (Rev. CoP17) on *Periodic Review of the Appendices*. The Animals Committee, at its 30th meeting (AC30, Geneva, July 2018) agreed with the recommendation from this Periodic Review that it would be appropriate to transfer *D. broadbenti litoralis* to Appendix II.

Recommendations

Dasyornis broadbenti litoralis does not meet the biological criteria in Resolution Conf. 9.24 (Rev. CoP17), Annex 1 for its inclusion in Appendix I, and can be transferred to Appendix II in accordance with the precautionary measures in paragraph D 2 in Annex 4 of Resolution Conf. 9.24 (Rev. CoP17).

The Secretariat recommends that this proposal be **adopted**.

Proposal 21

***Dasyornis longirostris* (long-billed bristlebird) – Transfer from Appendix I to Appendix II**

Proponent: Australia

Provisional assessment by the Secretariat

CITES background

The genus *Dasyornis* (family Muscicapidae, as per the Convention's standard nomenclature references; family Dasyornithidae, as per the proposal) is composed of three species – *D. brachypterus, D. broadbenti,* and *D. longirostris,* all endemic to Australia. *Dasyornis longirostris* was included in Appendix I at the time of entry into force of the Convention on 1 July 1975. *D. broadbenti litoralis* is the only other taxon in the genus *Dasyornis* that is listed in the CITES Appendices (also in Appendix I since 1 July 1975 and proposed for downlisting at the present meeting).

After CoP17 (Johannesburg, 2016), *D. longirostris* was selected for review under Resolution Conf. 14.8 (Rev. CoP17) on *Periodic Review of species included in Appendices I and II* during the period from CoP17 to CoP19. Australia offered to conduct the review, and provided the result at the 30th meeting of the Animals Committee (AC30, Geneva, July 2018) as document AC30 Doc. 29.2.2.

Based on the information available, the Committee determined that the species met the criteria for transfer from Appendix I to Appendix II in Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*. The Committee did not provide details concerning its determination, but noted that it was made in accordance with subparagraphs 2 g) and h) of Resolution Conf. 14.8 (Rev. CoP17). At the request of the Committee, the Secretariat invited Australia to submit its proposal for consideration at CoP18.

Purpose and impact of the proposal

The proposal seeks to transfer *Dasyornis longirostris* from Appendix I to Appendix II. As it appears that there is no international trade in, or demand for this species, it is indicated that it no longer meets the biological criteria in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17) for inclusion in Appendix I. In accordance with the *Precautionary measures* in Annex 4 of Resolution Conf. 9.24 (Rev. CoP17), *D. longirostris* may not be deleted from the Appendices until it has first been transferred to Appendix II, with monitoring of any impact of trade for at least two intervals between meetings of the Conference of the Parties.

As long as *D. longirostris* is listed in the Appendices, in accordance with Annex 4, paragraph D of the mentioned Resolution, *D. broadbenti litoralis*, an Appendix I-listed species considered extinct, should also not be deleted from the Appendices, as it somewhat resembles *D. longirostris*.

Compliance with listing criteria

This proposal was prepared in the context of Resolution Conf. 14.8 (Rev. CoP17).

Dasyornis longirostris is commonly referred to as picocerdas occidental in Spanish. The proposal incorrectly refers to 'Picocerdas Oriental', which typically refers to the eastern bristlebird, *D. brachypterus*). *D. longirostris* is endemic to south-western Western Australia, where it appears to have an uneven distribution, restricted to three coastal areas.

Currently, the main threat to *D. longirostris* is thought to be habitat destruction and modification, particularly associated with increasing fire events. Between 2000 and 2015, the total population of *D. longirostris* is likely to have declined by at least 63%. In 2015, the total population was conservatively estimated at approximately 230 pairs. *D. longirostris* is categorized as Endangered by IUCN and is considered among the 20 Australian bird taxa most likely to become extinct in the next 20 years.

Under Article II, paragraph 1 of the Convention, Appendix I shall include *species threatened with extinction which are or may be affected by trade*. The proponent states that there is no known incidence of trade in *D. longirostris*. Trade is therefore considered not to have had a detrimental impact on the species' status, and not to have been a factor in its decline. The supporting statement states that there is no suspected or demonstrable potential demand for the species, and that there is also no evidence that this will threaten the survival of the species in the

future. Some trade for scientific or conservation purposes may arise, but the proponent notes that there are national control measures in place to control any potential impact to the species, although details are not specified. The proponent concludes that *D. longirostris* does not meet the basic criteria for inclusion in Appendix I and is therefore eligible for transfer to Appendix II.

The proponent notes that, regardless of any CITES listing, the conservation of the species will continue to be regulated by national and state environmental legislation, with any take from the wild being regulated.

The supporting statement indicates that the proposal is made in accordance with the *Precautionary measures* in Resolution Conf. 9.24 (Rev. CoP17), Annex 4, paragraph A 2 a) i), as the species appears not to satisfy the relevant criteria for inclusion in Appendix I, is not in demand for international trade, and its transfer to Appendix II is not likely to stimulate trade in, or cause enforcement problems for any other species included in Appendix I.

Conclusions

The size of the wild population of *Dasyornis longirostris*, endemic to Australia, appears to be small (estimated conservatively at approximately 230 pairs). According to IUCN, the species is categorized as Endangered and the population is estimated to have declined by at least 63% between 2000 and 2015. The species therefore appears to meet the biological criteria for inclusion in Appendix I. However, paragraph 3 a) of Resolution Conf. 9.24 (Rev. CoP17) and the definition of affected by trade in Annex 5 of the same Resolution are not met, as international trade is not considered a threat to the species and does not appear to have been a factor in its historic decline.

This proposal was prepared in the context of Resolution Conf. 14.8 (Rev. CoP17) on *Periodic Review of the Appendices*. The Animals Committee, at its 30th meeting (AC30, Geneva, July 2018) with the recommendation from this Periodic Review that it would be appropriate to transfer *D. longirostris* to Appendix II.

Recommendations

Dasyornis longirostris does meet the biological criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 1 for its inclusion in Appendix I, but is or may not be affected by trade, and can be transferred to Appendix II in accordance with the precautionary measure in paragraph A. 2. a) i) in Annex 4 of Resolution Conf. 9.24 (Rev. CoP17).

The Secretariat recommends that this proposal be **adopted**.

Proposal 22

***Crocodylus acutus* (American crocodile) - Transfer of the population of Mexico from Appendix I to Appendix II**

Proponent: Mexico

Provisional assessment by the Secretariat

CITES background

The species *Crocodylus acutus* was included in CITES Appendix II at the time of entry into force of the Convention on 1 July 1975.

The population of *C. acutus* of the United States of America was transferred to Appendix I in June 1979, following the second meeting of the Conference of the Parties (CoP2, San José, 1979). All other populations of the species were transferred to Appendix I in June 1981, following the third meeting of the Conference of the Parties (CoP3, New Delhi, 1981).

The population of Cuba was transferred from Appendix I to Appendix II in January 2005, following the 13th meeting of the Conference of the Parties (CoP13, Bangkok, 2004). In January 2017, following the 17th meeting of the Conference of the Parties (CoP17, Johannesburg, 2016), "the population of the Integrated Management District of Mangroves of the Bay of Cispata, Tinajones, La Balsa and Surrounding Areas, Department of Cordoba, Colombia" was also transferred to Appendix II. These transfers to Appendix II were both in accordance with the Resolution on *Ranching and trade in ranched specimens of species transferred from Appendix I to Appendix II*, Resolution Conf. 11.16 and Resolution Conf. 11.16 (Rev. CoP15) respectively.

Consequently, all populations of *Crocodylus acutus* are currently listed in Appendix I, with the exception of the population of Cuba and the population of the Integrated Management District of Mangroves of the Bay of Cispata, Tinajones, La Balsa and Surrounding Areas, Department of Córdoba, Colombia.

Purpose and impact of the proposal

This proposal seeks to transfer the population of *Crocodylus acutus* of Mexico to Appendix II. If the proposal is adopted, international trade in specimens of the population of this species will be regulated in accordance with the provisions of Article IV of the Convention.

Compliance with listing criteria

The supporting statement does not indicate which criterion of Annex 2a of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II Crocodylus acutus* would satisfy. The proponents merely indicate that the species no longer meets the criteria for inclusion in Appendix I.

This supporting statement indicates that the species has a distribution covering 18 countries and territories of the American continent and the Caribbean: Belize, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, Guatemala, Haiti, Honduras, Cayman Islands, Jamaica, Nicaragua, Mexico, Panama, Peru, the Dominican Republic, the United States of America (USA) and the Bolivarian Republic of Venezuela. The proponent indicates that it has consulted with range States and that responses had been received from the Cayman Islands and Jamaica, but it does not indicate whether these responses were supportive. The document also indicates that the International Union for Conservation of Nature (IUCN) / Species Survival Commission (SSC) Crocodile Specialist Group was consulted and that its recommendations have been addressed in the supporting statement.

The most recent IUCN Red List assessment of *C. actus* was in 2009 when the global population was categorized as Vulnerable with an increasing population trend. The assessment noted that overexploitation from the 1930s to the 1960s led to a severe decline in the abundance of this species. In the USA, the population was noted to be recovering, now inhabiting a larger area in southern Florida than in 1978 when it was protected. In the other countries in its range, protection has resulted in some recovery, but overall numbers are still depleted in some countries. However, it was also noted that substantial recovery has taken place in other areas, including Mexico. The supporting statement states that IUCN estimates a global distribution area of 2,533,582 km^2, of which Mexico accounts for 726,120 km^2. Recently, experts in Mexico have produced an updated and more conservative estimate of 199,765 km^2, the equivalent of 10.2% of the national territory, while the species is thought to occupy

almost 40% of the Mexican coastline in addition to some inland water bodies. The conclusion is that the distribution range is not restricted.

The supporting statement does not provide information on the population size or trends but concludes that the population size is not small, based on an analysis of studies of *C. acutus* conducted over the past 30 years. The proponent estimates that about 50% of the studies reported 'encounter rates' (ER) greater than or equal to 5 individuals per kilometre. This is significantly higher than the encounter rate of 3.2 individuals per kilometre for *Crocodylus moreletii*, a species that is considered to have healthy populations.

The supporting statement outlines the legal instruments used to regulate the conservation and sustainable use of *C. acutus* populations, noting that there are 47 Protected Natural Areas within its distribution area. The species has been included in Mexico's national list of species at risk as a species "Subject to Special Protection" since 2001, which means that it can be used under certain conditions stipulated in the General Law of Wildlife and its Regulations. Mexico has 58 Management Units for the Conservation of Wildlife, which help to conserve and manage the species through *in-situ* and *ex-situ* programmes. There are also 24 Facilities that Manage Confined Wildlife, which breed American crocodiles for commercial purposes.

The legal exports of *C. acutus* that were recorded between 2000 and 2017 were mostly (93%) specimens traded for scientific purposes (blood samples, tissue, etc.), and in a much smaller proportion, pieces of bone, bodies, skulls, and skins for personal purposes. Data on direct exports of *C. acutus* from Mexico was extracted from the CITES trade database and is summarized in the following table:

Year	App.	Importer	Importer reported quantity	Exporter reported quantity	Term	Purpose	Source
2001	I	PA		6	Specimens	S	C
2002	I	PA		35	Specimens	S	C
	I	US	415	445	Specimens	S	W
2004	I	US	5	40	Specimens	S	W/I
2006	I	ES		1	Skulls	Q	U
	I	ES		1	Specimens	Q	U
	I	US	1		Bodies	P	O
	I	US		90	Specimens	S	W
2007	I	FR		210	Specimens	S	W
	I	US	3		Bodies/skins	P	W
	I	US	90		Specimens	S	W
2009	I	US	2		leather products (small)	P	I
2011	I	US	68	2	Bones/bone pieces/skulls	E	O/W
	I	US	81	2	Specimens	S/E	W/O
2017	I	US	2		Skulls	P	I

The supporting statement indicates that the objective of the proposal is "to set the basis to replicate the successful management scheme implemented with *C. moreletii* (monitoring programme and habitat conservation in combination with ranching of eggs from the wild for subsequent captive breeding) and sustain a trade that benefits local communities, the species and its habitat".

It would nevertheless be useful for the proponent to provide additional information on: its control of harvest and trade (particularly with regard to quotas for wild specimens and the proposed ranching); and the differentiation between specimens of wild origin and those originating from the existing captive-breeding facilities in Mexico (as these captive-breeding operations would no longer fall under the purview of Resolution Conf. 11.12 (Rev. CoP15) if the proposal is adopted).

Additional considerations (including relevant CoP recommendations)

The proponents indicate that, in 2010, Mexico created its own Crocodilians Specialists Group (GEC-Mexico), to support decision-making regarding the conservation and sustainable management of Mexican crocodilian species. In 2018, the "Programme of Action for the Conservation of Species: Crocodylia (*Crocodylus acutus, Crocodylus moreletii* and *Caiman crocodilus chiapasius*)" was published and the GEC-Mexico is preparing the "Monitoring Programme of American crocodile" which will monitor the status and trends of the main wild populations of the species throughout its Mexican distribution; and is due to start at the national level in 2019.

It is unclear from the supporting statement whether or not Mexico intends to authorize export of ranched specimens, as it clearly states that "ranching will be limited to sites where monitoring indicates that there are healthy and stable populations, in local communities committed to the conservation and sustainable use of the species and its habitat, with the endorsement of the GEC-Mexico and the CITES Authorities of Mexico". However, it is noted that the proponent did not submit this proposal in accordance with Resolution Conf. 11.6 (Rev. CoP15) on *Ranching and trade in ranched specimens of species transferred from Appendix I to Appendix II.*

Conclusions

Although there is no detailed information available on the population size or trends of *Crocodylus acutus* in Mexico, it is inferred that the population is not small, based on an analysis of studies conducted over the past 30 years in Mexico. The most recent IUCN Red List assessment of *C. acutus* was in 2009 when the global population was categorized as Vulnerable with an increasing population trend, noting that while the population had been severely depleted historically, substantial recovery has taken place in some areas, including in Mexico.

Mexico plans to replicate the management scheme it developed for *Crocodylus moreletii*, involving a combination of captive breeding and ranching, where egg collection from the wild will only be authorised from areas where monitoring has established that populations are healthy.

The Secretariat notes that transferring the population of Mexico of *C. acutus* from Appendix I to Appendix II may allow for the implementation of management and conservation strategies of the species that promote the conservation of its ecosystems, and simultaneously have a positive effect on the livelihoods of local communities by generating sustainable economic activities. Transferring the population to Appendix II could further encourage the monitoring of other populations of the species with a view to implementing similar strategies of sustainable use in other parts of the species' range.

Recommendations

The population of *Crocodylus acutus* in Mexico does not meet the biological criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 1 for its inclusion in Appendix I. Subject to confirmation of the precautionary measures and safeguards as outlined in Annex 4, paragraph A. 2. a) of Resolution Conf. 9.24 (Rev. CoP17) that are to be put in place by Mexico, including a zero quota for exports of wild specimens, the population can be transferred to Appendix II.

The Secretariat recommends that this proposal be **adopted**.

Proposal 23

***Calotes nigrilabris* and *Calotes pethiyagodai* (garden lizards) – Inclusion in Appendix I**

Proponent: Sri Lanka

Provisional assessment by the Secretariat

CITES background

This is the first time that these species have been proposed for inclusion in the Appendices.

Purpose and impact of the proposal

The proposal seeks to include *Calotes nigrilabris* and *Calotes pethiyagodai* in Appendix I. If the proposal is adopted, trade in all specimens of these species will be regulated in accordance with Article III of the Convention.

Compliance with listing criteria

Calotes nigrilabris and *Calotes pethiyagodai* are endemic to Sri Lanka. According to the proponent, the populations of *C. nigrilabris* are highly fragmented and were recorded at around 220 individuals per hectare by 1998. No information is provided on the area of occupancy of this species, or on the size of its wild population. *C. pethiyagodai* is stated to have an area of occupancy of less than 25 km^2, with an extent of occurrence of less than 180 km^2. No information on its population size is provided.

The proponent indicates that *C. nigrilabris* is categorized as Endangered in the National Red List of Sri Lanka. *C. pethiyagodai* was discovered in 2014 and has not yet been included in this list. Neither of the species has yet been assessed by IUCN. However, the proponent indicates that it has been recommended in the literature (Amarasinghe *et al*., 2014) that *C. pethiyagodai* be categorized as Endangered in the IUCN Red List of Threatened Species.

According to the proponent, the main threats to these species include habitat destruction and fragmentation. Poaching for international trade appears to be an additional, relatively new, threat to the survival of these species. The proponent notes that an alarming abundance of adult Sri Lankan lizards, including *C. nigrilabris* and *C. pethiyagodai*, has recently been showing up in international pet markets. According to the proponent, *C. nigrilabris* has been available in international trade since at least 2011, selling for prices of up to USD 1,000 per pair. While most online advertisements encountered appear to be for C*. nigrilabris*, *C. pethiyagodai* has also recently been recorded. The proponent states that it is possible that Europe be a main market destination for these species.

Based on the frequent availability of adult individuals offered via online trade, the proponent notes that specimens traded are probably wild-sourced. Although *C. pethiyagodai* was discovered only in 2014, it was encountered in trade for the first time in 2016, being advertised as captive-bred. According to the proponent, this declared source seems unlikely to be accurate given the species' low reproductive rate.

According to the proponent, although total numbers in trade are not very high, offtake, even of small numbers, and especially of gravid females, may severely damage remaining populations, potentially irreversibly.

Trade in the species has been strictly prohibited in Sri Lanka since 1993. However, national conservation and protection measures are insufficient to inhibit unlawful collection and smuggling to exotic pet markets in Europe and the United States of America. Listing in Appendix I is therefore considered necessary to involve importing Parties in enforcement for the protection of these species.

The proponent notes that consultations were held with the European Union and the United States of America, but the results of these consultations are not specified.

The Secretariat notes that the supporting statement does not include sufficient information to justify that the wild population of *C. nigrilabris* is small, and it is therefore unclear whether the biological criteria in Annex 1 paragraph A of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II* may apply. Since the supporting statement does not include sufficient information on the size of the wild population, or on its decline, it is also unclear whether paragraph C of the biological criteria in Annex 1 applies.

The information contained in the supporting statement is not sufficient to determine whether the area of distribution of *C. nigrilabris* can be considered restricted, and not enough information is provided to justify that the species has a fragmented distribution. *C. nigrilabris* nevertheless appears to be vulnerable to intrinsic and extrinsic factors, as it is habitat-specialized, has low reproductive rates, and is affected by deforestation and pollution. The supporting statement does include information that indicates that there is an inferred decrease in the area and quality of habitat of this species. Taking these aspects into consideration, it is not clear whether the biological criteria in Annex 1, paragraphs B iii) and iv) may apply to *C. nigrilabris*.

Concerning *C. pethiyagodai,* the supporting statement does not include sufficient information to justify that the wild population is small, suggesting that it is also unclear whether the biological criteria in Annex 1, paragraph A applies to this species. The information contained in the supporting statement indicates that *C. pethiyagodai* has a restricted area of distribution, and that it is vulnerable to intrinsic and extrinsic factors, as it is habitat-specialized, has low reproductive rates, and is affected by deforestation and pollution. As for *C. nigrilabris*, the supporting statement includes information that indicates that there is an inferred decrease in the area and quality of habitat. For these reasons, paragraphs B iii) and iv) in Annex 1 seem to apply to *C. pethiyagodai*.

Conclusions

The supporting statement and additional information contained in the IUCN/TRAFFIC assessment indicate that there is demand for, and trade in *Calotes nigrilabris* and *Calotes pethiyagodai*, both endemic to Sri Lanka. According to IUCN/TRAFFIC, captive breeding of the species is reportedly possible, but difficult, and they conclude that it is probable that the specimens in trade are sourced from the wild despite national protection.

C. nigrilabris is classified as Endangered in the National Red List of Sri Lanka. From the information available, it is unclear whether its wild population is small, or whether it shows an observed marked decline. The criteria in paragraphs A and C of Annex 1 of Resolution Conf. 9.24 (Rev. CoP17) are therefore not met by *C. nigrilabris*. The supporting statement indicates that the species population is highly fragmented, and additional information available by IUCN/TRAFFIC, while limited, seems to support this statement and that the species has a restricted area of distribution. The information available at the time of writing also indicates that the species is vulnerable to intrinsic and extrinsic factors, as it is habitat-specialized, has low reproductive rates, and is affected by deforestation and pollution.

As *C. pethiyagodai* has only recently been described, information on its population size and trends is not yet available. However, the species has a restricted area of distribution, and is vulnerable to intrinsic and extrinsic factors. It is habitat-specialized, has low reproductive rates, and is affected by deforestation and pollution. A decrease in the area and quality of its habitat is inferred.

Recommendations

Calotes nigrilabris and *Calotes pethiyagodai* meet the biological criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 1, criterion B, for their inclusion in Appendix I.

The Secretariat recommends that this proposal be **adopted**.

Proposal 24

***Ceratophora* spp. (horned lizards) – Inclusion in Appendix I**

Proponent: Sri Lanka

Provisional assessment by the Secretariat

CITES background

This is the first time that the species of the genus *Ceratophora* have been proposed for inclusion in the Appendices.

Purpose and impact of the proposal

The proposal seeks to include in Appendix I the five species of the genus *Ceratophora* (*C. aspera, C. erdeleni, C. karu, C. stoddartii,* and *C. tennentii*). If the proposal is adopted, trade in all specimens of these species will be regulated in accordance with Article III of the Convention.

Compliance with listing criteria

The genus *Ceratophora* is composed of five species that are endemic to Sri Lanka. All five are included in the National Red List of Sri Lanka, where they are categorized either as Endangered or Critically Endangered. IUCN has only assessed two of the species: *C. tennentii* is considered Endangered and *C. aspera* Vulnerable.

The supporting statement indicates that *C. erdeleni* and *C. karu* have an extent of occurrence of less than 10 km^2; *C. tennenti* is restricted to an area of about 130 km^2; *C. stoddartii* is distributed over less than 200 km^2; and *C. aspera* has an extent of occurrence of approximately 700 km^2, over an area of 10,300 km^2. No information is provided concerning the size of the wild populations of the five species.

The proponent states that the primary threat to *Ceratophora* species is habitat loss due to expanding agriculture. The international pet trade is an additional, relatively new, risk factor. The proponent notes that specimens of *Ceratophora* species have increasingly appeared in trade in European and North American pet markets since 2011, and that all species of the genus have been observed in international trade. It appears that *C. stoddartii* first appeared in trade in 2011, *C. aspera* and *C. tennentii* in 2014, and *C. erdeleni* and *C. karu* in 2017. Based on online offers, it seems that *C. stoddartii* may be the most heavily targeted of the *Ceratophora* species. While, in the 1990s, *Ceratophora* specimens were sold for approximately EUR 176 each, according to the proponent, trading is now a highly profitable activity with pairs selling up to EUR 2,200. Reports on successful captive breeding of these species are scarce.

According to the proponent, although the volume of trade may not be high, since the species face ongoing habitat loss, even moderate offtake levels may accelerate their extinction, particularly as gravid females are commonly targeted for trade. The threat posed by trade is further enhanced by the species' low reproductive rates, small populations, limited range, and habitat specialization.

Trade in *Ceratophora* species has been strictly prohibited in Sri Lanka since 1993. However, national conservation and protection measures appear to be insufficient to inhibit unlawful collection and smuggling of these species for trade in markets in Asia, Europe and the United States of America. According to the proponent, listing in Appendix I is therefore necessary to involve importing Parties in enforcement efforts.

The Secretariat notes that the supporting statement does not include sufficient information to justify that the wild populations of the species of *Ceratophora* are small, and it is therefore unclear whether the biological criteria in Annex 1 paragraph A of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II* may apply.

The information included in the supporting statement suggests that some of the species (*C. erdeleni* and *C. karu*) have an area of distribution more restricted than others (*C. stoddartii*, *C. tennentii*, and *C. aspera*). Not enough information is provided to determine whether the distribution of all five species of the genus is fragmented, or if it can be considered that they only occur at very few locations. The information available does suggest that the species are vulnerable to intrinsic and extrinsic factors, as they are habitat-specialized, have low reproductive rates, and are affected by habitat loss. The information contained in the supporting statement indicates that there

is an inferred decline in the area and quality of habitat of the species and, at least for *C. aspera* and *C. tennentii*, it appears that this has also been observed. Taking these aspects into consideration, it is not clear whether paragraphs B iii) and iv) in Annex 1 may apply to all five *Ceratophora* species.

Conclusions

All five species of *Ceratophora* are endemic to Sri Lanka and considered either Endangered or Critically Endangered in the National Red List of Sri Lanka. IUCN has assessed *C. tennentii* as Endangered and *C. aspera* as Vulnerable.

The information available in the supporting statement and the IUCN/TRAFFIC assessment indicate that *C. tennentti*, *C. stoddartti, C. erdeleni* and *C. karu* are distributed in restricted and fragmented areas. *C. erdeleni* and *C. karu* have an area of distribution much more restricted than *C. tennentii* and *C. stoddartii*. *C. aspera* has the least restricted area of distribution of the five species.

According to IUCN/TRAFFIC, the distribution area of *C. tennenti* was possibly as low as less than 10 km^2 in 2012 (estimates of area of occupancy in 2005 were approximately 130 km^2). As indicated in the supporting statement, *C. stoddartti* is thought to have an area of occupancy of around 200 km^2. *C. erdeleni* and *C. karu* are the two species for which available information suggests the smallest area of occupancy (less than 10km^2 as referred in the supporting statement, and an extent of occurrence of less than 100 km^2 as per IUCN/TRAFFIC). This suggests that *C. tennentti*, *C. stoddartti, C. erdeleni* and *C. karu* meet criterion B of Annex 1 of Resolution Conf. 9.24 (Rev. CoP17).

C. aspera is the most widely distributed of the five species, but it remains unclear if it could be considered to have a restricted distribution that would qualify for Appendix I. Additional information made available by IUCN/TRAFFIC indicates that the area of occupancy of *C. aspera* indicated in the supporting statement (approximately 700 km^2 in 2005) has more recently (2012) been assessed at less than 500 km^2 due to, among other factors, a decline in the quality and extent of habitat.

While information on population sizes and trends is very limited, IUCN/TRAFFIC quote anecdotal information, suggesting that the absence of sightings of species during field surveys could reveal a decline in the populations of *C. karu, C. erdeleni*, and *C. aspera*.

The supporting statement indicates that there is demand for, and trade in live specimens of *Ceratophora* spp*.,* mainly driven by the pet trade. As successful reports of captive breeding of *Ceratophora* species are scarce, this source of specimens in trade is unlikely to be significant. Offtake from the wild is therefore likely taking place despite national protection.

Information available suggests that most trade in the five *Ceratophora* species appears to involve adults, which can be relatively easily distinguished.

Based on the information contained in the supporting statement, even at low volumes, it is possible that trade may be detrimental to the survival of the species in the wild, as the species of *Ceratophora* spp. are vulnerable to intrinsic and extrinsic factors, due to habitat-specialization, low reproductive rates, and habitat loss.

While *C. asper* may not currently meet the criteria for its inclusion in Appendix I, should the other four species be listed in Appendix I, the focus of trade could shift to this species, which would not be regulated by CITES. Under such circumstances, the Conference of the Parties, through Resolution Conf. 9.24 (Rev. CoP17), may consider taking a precautionary approach and act in the best interest of the species concerned by including all five species of *Ceratophora* in Appendix I.

Recommendations

Ceratophora spp. meet the criteria in Resolution Conf. 9.24 (Rev. CoP17), Annex 1 criterion B for its inclusion in Appendix I.

The Secretariat recommends that this proposal be **adopted**.

Proposal 25

***Cophotis ceylanica* (pygmy lizard) and *Cophotis dumbara* (knuckles pygmy lizard) - Inclusion in Appendix I**

Proponent: Sri Lanka

Provisional assessment by the Secretariat

CITES background

Cophotis ceylanica and *Cophotis dumbara* are currently not included in the CITES Appendices and this is the first time such a proposal has been submitted. There are no other species in the genus *Cophotis*.

Purpose and impact of the proposal

The proposal seeks to include *Cophotis ceylanica and Cophotis dumbara* in Appendix I, in accordance with Article II of the Convention. If the proposal is adopted, international commercial trade in specimens of these species of wild origin will become prohibited. International trade in specimens of the species will be regulated in accordance with the provisions of Article III of the Convention.

Should the proposal be adopted, breeding operations wishing to commercially export and trade in specimens of this species would need to be registered with the Secretariat in accordance with Resolution Conf. 12.10 (Rev. CoP15) on *Registration of operations that breed Appendix-I animal species in captivity for commercial purposes.*

Compliance with listing criteria

The supporting statement initially suggests that inclusion of *Cophotis ceylanica* and *Cophotis dumbara* in Appendix I satisfies criterion B (i), (iii) and (iv) of Annex 1 of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*, while listing *C. dumbara* on Appendix I also satisfies criterion A (i) and (iv) of Annex 1 of the Resolution. However, it subsequently suggests that inclusion of both species in Appendix I satisfies criterion A (i), (ii) and (v), criterion B (i), (iii) and (iv), and criterion C (ii).

These are two endemic species to Sri Lanka, one of which (*C. dumbara*) was only discovered in 2006. They both occur in restricted areas with highly fragmented habitats. It is estimated that *C. ceylonica* has an extent of occurrence of less than 5,000 km^2 and an area of occupancy of less than 500km^2. It is nationally classified as Endangered. By comparison, *C. dumbara* has an even more restricted distribution, with an extent of occurrence of less than 100 km^2 and an area of occupancy of less than 10km^2. It is nationally and globally classified as Critically Endangered.

The supporting statement presents little or no information on the biology of the species or the population size and geographic trends (though historic declines have been recorded for *C. ceylanica*) and there do not appear to be any targeted conservation measures in place. However, the proponents do point out that populations of both species occur in the World Heritage Site in the Central Highlands of Sri Lanka.

The main threats appear to be from deforestation, forestry management and illegal collection from the wild for the international pet trade.

Both *C. ceylanica* and *C. dumbara* are classified as “strictly protected species” in Sri Lanka and are legally protected. It is illegal to harm them deliberately or to collect them from the wild. It is also not permitted to ranch or breed any reptile species, nor to export any reptile, whether dead or alive, or the eggs or skin or any other part of a reptile without a permit. Exceptions are only possible for scientific reasons. Despite this, there does appear to be a demand for them in international trade, as evidenced in the supporting statement and the examples of internet advertisements for the species presented in Annex 1.

Conclusions

Little is known about the population size of *Cophotis ceylanica* and *Cophotis dumbara*, two endemic lizards from Sri Lanka, but they both appear to occur in restricted areas with highly fragmented habitats. It is estimated that *C. ceylonica* has an area of occupancy of less than 500 km^2. *C. dumbara*, which was only discovered in 2006 and is classified as Critically Endangered by IUCN, has an even more restricted distribution, with an area of

occupancy of less than 10 km^2, suggesting that it meets the biological criteria for inclusion in Appendix I. Due to the fact that *C. ceylanica* underwent a marked decline in the 1990s, has a relatively restricted distribution and is highly vulnerable to extrinsic factors such as drought, it may also meet criteria B and C in Annex I of Resolution Conf. 9.24 (Rev. CoP17) for inclusion in Appendix I.

There appears to be international demand for both species, particularly for *C. dumbara* as it has been recently discovered.

Recommendations

Cophotis ceylanica and *Cophotis dumbara* both meet the biological criteria in Resolution Conf. 9.24 (Rev. CoP17), Annex 1 for their inclusion in Appendix I.

The Secretariat recommends that this proposal be **adopted**.

Proposal 26

***Lyriocephalus scutatus* (hump-nosed lizard) - Inclusion in Appendix I**

Proponent: Sri Lanka

Provisional assessment by the Secretariat

CITES background

This is the first time that the species has been proposed for inclusion in the Appendices.

Purpose and impact of the proposal

The proposal seeks to include *Lyriocephalus scutatus* in Appendix I. If the proposal is adopted, trade in all specimens of the species will be regulated in accordance with Article III of the Convention.

Compliance with listing criteria

Lyriocephalus scutatus is endemic to Sri Lanka. The proponent indicates that anecdotal and opportunistic observations suggest that the species is not uncommon, but the population is considered severely fragmented and its trend is unknown. No information on the size of the wild population of the species is provided, but it is indicated that it has an extent of occurrence of less than 5,000 km^2 and an estimated range of less than 17,400 km^2.

Live specimens of *L. scutatus* possess several features that make them highly desirable for the pet trade, some of which are unique and therefore enable a relatively easy identification. *L. scutatus* is categorized as Near Threatened by IUCN, and as Vulnerable in Sri Lanka's National Red List.

The proponent indicates that the main threat to *L. scutatus* is habitat loss. Collection of individuals from the wild for the international pet trade is a relatively new, additional threat. It is stated that this potentially poses a serious threat to the species' long-term survival. The proponent notes that, although the volume of trade in the species may not be very high, the removal of animals from the wild may lead to an absence of mating partners because the species has high site-fidelity. Additionally, the proponent notes that gravid females are typically targeted for collection, affecting recruitment levels in subsequent generations.

According to the proponent, the popularity of this species in Asian, European and North American markets has been increasing since 2011. This information appears to be based on the availability of online sale advertisements and on a limited number of reports of sales in pet markets and shops. The proponent indicates that the fact that most specimens traded online are adults could suggest that most individuals are sourced illegally from the wild. In some online advertisements, wild origin is even stated. The sale of lizards of this species is reported to be highly profitable, with pairs being sold for up to EUR 2,500 in the European market and up to USD 5,500 in the United States of America.

The proponent indicates that collection is reducing population numbers and infers that a considerable number of adult specimens have already been illegally collected from the wild. However, the proponent does not provide a quantification of this decline, nor of how many animals are being harvested.

Trade in the species has been prohibited in Sri Lanka since 1993, but national conservation and protection measures are insufficient to inhibit unlawful collection, export and trade. Listing in Appendix I is therefore considered necessary to ensure the cooperation of countries of destination in the protection of the species.

The proponent notes that it consulted the European Union and the United States of America, but the details from these consultations are not specified.

The Secretariat notes that the information contained in the supporting statement suggests that the species' area of distribution cannot be considered restricted. In comparison to the information provided for other Sri Lankan endemic lizards (e.g. *Ceratophora* spp., CoP18 Prop. 24), *L. scutatus* does appear to have a significantly wider area of extent of occurrence. For this reason, it is unclear whether the species meets the biological criteria in paragraph B of Annex 1 of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*. The information contained in the supporting statement indicates that the species is vulnerable to intrinsic and

extrinsic factors, as it is affected by deforestation, displays site fidelity and territorial behaviour, and its population is considered fragmented. The information contained in the supporting statement also indicates that there is an observed, and inferred, decreased in area and quality of habitat of the species.

Conclusions

The information in the supporting statement indicates that there is demand for, and trade in the *Lyriocephalus scutatus*, a species endemic to Sri Lanka. Reportedly, captive breeding is challenging, which makes specimens in trade likely to be sourced from the wild, despite national protection. However, *L. scutatus* is not threatened with extinction, neither according to the National Red List of Sri Lanka, nor to IUCN's Red List of Threatened Species. Anecdotal information and opportunistic observations suggest that the species is not uncommon in its range. The information available indicates that the wild population of the species cannot be considered to have a restricted area of distribution. The species therefore does not seem to meet any of the criteria in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17) for its inclusion in Appendix I.

Recommendations

Lyriocephalus scutatus does not meet the criteria in Resolution Conf. 9.24 (Rev. CoP17) for inclusion in Appendix I, but it may meet the criteria for its inclusion in Appendix II.

The Secretariat recommends that this proposal be **rejected**.

Note to Parties and Proponents

Sri Lanka may wish to consider listing the species in Appendix II.

Proposal 27

***Goniurosaurus* spp. (tiger geckos) all species from China and Viet Nam - Inclusion in Appendix II**

Proponents: China, European Union and Viet Nam

Provisional assessment by the Secretariat

CITES background

Goniurosaurus spp. is currently not included in the CITES Appendices and this is the first time such a proposal has been submitted.

Purpose and impact of the proposal

The proposal seeks to include all species of *Goniurosaurus* from China and Viet Nam in Appendix II in accordance with Article II, paragraph 2(a) of the Convention. The proponents specify that the proposal addresses all species of the genus *Goniurosaurus* "occurring within the national boundaries of China and Viet Nam", and that "it is herein proposed to include all 13 species as well as potential further cryptic species of the genus *Goniurosaurus* distributed in China and Viet Nam in Appendix II of CITES." If the proposal is adopted, international trade in specimens of these taxa will be regulated in accordance with the provisions of Article IV of the Convention.

The proponents indicate that the genus *Goniurosaurus* comprises 19 species, 13 of which are endemic to China and Viet Nam and proposed for inclusion in Appendix II. They indicate that given the high diversity and narrow distributions of species within this genus, "the discovery of further cryptic taxa is likely". It is not entirely clear how Parties would know if a newly described species in the genus *Goniurosaurus* is distributed in China or Viet Nam, and hence included or not in Appendix II.

The proposal explicitly excludes 6 species of *Goniurosaurus* that are endemic to Japan (*G. kuroiwae, G. orientalis, G. sengokui, G. splendens, G. toyamai* and G*. yamashinae*). It does not explain how difficult it might be to distinguish listed from non-CITES listed *Goniurosaurus* species in case the proposal was to be accepted. But it indicates that "species identification in the genus *Goniurosaurus* by non-specialists is rather difficult, especially if location data is not provided or wrongly given" and that "molecular analyses are necessary to determine species designations and population differentiation in this genus".

Compliance with listing criteria

The supporting statement suggests that the inclusion of the 13 species of *Goniurosaurus* in Appendix II satisfies criteria A and B in Annex 2a of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*.

Tiger geckos are nocturnal lizards that occur in granitic or limestone rock habitats in primary or old secondary forests. They have a disjunct distribution in south-eastern and eastern Asia, characterized by a high level of local endemism, and many species are recorded from a single locality, mountain range or archipelago. Of the 19 described species, eight are endemic to China, three endemic to Viet Nam, and two occur in both countries. Only two of the species in the proposal are well known to science and were described over a century ago (*G. hainanensis* and *G. lichtenfelderi*). All others were discovered after 1999 (and six species after 2010).

Tiger geckos are reportedly threatened through habitat loss and over-harvesting for local use and the pet trade, which also affects newly described species. *Goniurosaurus* species occur in low densities in the wild and reproduce slowly (two to three eggs per year). Most species have highly restricted ranges, making wild populations vulnerable to harvest. The impact of trade is exacerbated by habitat loss due to e.g. quarrying, hydropower plants and roads, forest clearance for agriculture, illegal timber logging, and impacts from tourism infrastructure and tourist activities.

Recent IUCN Red List evaluations categorized two species that are subject of this proposal as 'Critically endangered' (*G. huuliensis* and *G. zhelongi*); six as 'Endangered' (*G. catbaensis, G. bawanglingensis, G. kadoorieorum, G. kwangsiensis, G. liboensis* and *G. luii*); and two as 'Vulnerable' (*G. hainanensis* and *G. lichtenfelderi)*. The three remaining species (*G. araneus, G. yingdeensis* and *G. zhoui*) do not fall under one of these categories. The proposal indicates that several species are known to be declining, and that it is likely that

populations of *Goniurosaurus* will decline in future, associated with decrease, fragmentation and degradation of their habitats.

The supporting statement notes that the genus is currently not protected, and trade not monitored, but it documents evidence of international trade in, and demand for *Goniurosaurus*, with many examples of trade in live animals for the pet trade in Asia, Europe and North America, including via internet. Tiger geckos are said to be attractive for collectors and in high demand. Recently described species are reportedly rapidly overexploited to the point of local extirpation, and as a result, the authors describing *G. kadoorieorum* and *G. kwangsiensis* in 2015 and *G. zhoui* in 2018 kept type localities confidential.

In China, two species of *Goniurosaurus* have been protected since 2000, and the supporting statement indicates that 'logically the newly described species of *Goniurosaurus* in China should be considered as cryptic species and also under protection'. In Viet Nam, none of the species in the genus *Goniurosaurus* is protected. No specific measures exist to protect the habitat of *Goniurosaurus* species, although some species occur in protected areas or national parks.

Several *Goniurosaurus* species are kept in zoos and are reported to breed in captivity.

Based on the information provided, the *Goniurosaurus* species from China and Viet Nam seem to meet the criteria in Annex 2(a) of Resolution Conf. 9.24 (Rev. CoP17), showing that for some species (*G. catbaensis, G. luii, G. huuliensis, G. zhelongi* and perhaps others), regulation of trade is necessary to avoid them becoming eligible for inclusion in Appendix I in the near future, and for all species that regulation of trade is required to ensure that the harvest of specimens from the wild is not reducing wild populations to a level at which their survival might be threatened by continued harvesting or other influences.

Additional considerations (including relevant CoP recommendations)

If the proposal is adopted, consideration should be given to the enforcement and implementation challenges caused by having some species of the genus *Goniurosaurus* included in Appendix II, and others not listed in CITES, recognizing that the taxonomy and number of species in the genus is evolving; that new species may be discovered in or outside China and Viet Nam; and that the distinction between species is stated not to be easy. Furthermore, if a new species of *Goniurosaurus* were to be described, it is unclear how Parties would know whether it is a species "distributed in China and Viet Nam" and hence included in Appendix II, or not.

To minimize the problems that the proposed 'split-listing' of the genus *Goniurosaurus* may create, and make the wording of the proposal less ambiguous, the proponents could consider modifying it as follows: "Inclusion in Appendix II of *Goniurosaurus* spp., except *G. kuroiwae, G. orientalis, G. sengokui, G. splendens, G. toyamai* and G*. yamashinae*". Presumably, this would not extend the scope of the proposal because the 13 other species in the genus *Goniurosaurus* that are currently described and would be included in Appendix II, are only know from China and Viet Nam.

Conclusions

Based on the information provided in the supporting statement, it appears that the *Goniurosaurus* species from China and Viet Nam have very limited ranges and presumably limited populations, linked to special habitat requirements. Eleven of the 13 species mentioned in the proposal were described only recently. All seem threatened to some extent by habitat destruction and collection for trade, with eight species categorized as 'Critically endangered' or 'Endangered' in the IUCN Red List (2018). There is evidence that wild sourced *Goniurosaurus* species are in local and international demand, and that unregulated and excessive international trade in live animals may be a threat to *Goniurosaurus* species from China and Viet Nam, including species recently discovered.

Recommendations

The *Goniurosaurus* species from China and Viet Nam meet the criteria in Resolution Conf. 9.24 (Rev. CoP17), Annex 2 a, criterion A or criterion B, for their inclusion in Appendix II in accordance with Article II paragraph 2 a) of the Convention.

The Secretariat recommends that this proposal be **adopted**.

Note to Parties and Proponents

Should this proposal be adopted, Parties are requested to provide advice on how "*Goniurosaurus* spp. - all species from China and Viet Nam" would have to be presented in the Appendices.

Proposal 28

***Gekko gecko* (tokay gecko) - Inclusion in Appendix II**

Proponents: European Union, India, Philippines and United States of America

Provisional assessment by the Secretariat

CITES background

Gekko gecko is currently not included in the CITES Appendices, and this is the first time that a proposal to include it has been submitted for consideration by the Conference of the Parties.

Purpose and impact of the proposal

This proposal seeks to include *Gekko gecko* in Appendix II, in accordance with Article II, paragraph 2(a), of the Convention. If the proposal is adopted, international trade in specimens of this species will be regulated in accordance with the provisions of Article IV of the Convention.

Compliance with listing criteria

The proponents state that the inclusion of *Gekko gecko* in Appendix II satisfies criterion B in Annex 2a of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*.

The supporting statement indicates that the species is widely distributed in south and south-east Asia (range States are Bangladesh, Cambodia, China, India, Indonesia, the Lao People's Democratic Republic, Malaysia, Myanmar, Nepal, Philippines, Singapore, Thailand and Viet Nam), and that introduced populations exist outside Asia. The species is said to be common and thriving in human-modified landscapes, including houses in suburbia. The conservation and population status of *G. gecko* is unknown; it has not been assessed by IUCN. Declines in some range States have been reported, although the scale of these is not known. According to the supporting statement, overharvesting for trade was considered the principal cause of these declines and is indicated to be the main threat to the species. Habitat destruction seems to play a role in the decline of the species in China and possibly some other range States.

G. gecko is used in Chinese traditional medicine and is traded throughout south-east Asia in dried form or preserved in alcohol. The supporting statement provides examples of frequent and high levels of international trade in dried tokay geckos, involving tens or hundreds of thousands of specimens per year, the vast majority of which is of wild origin. The species is reportedly also bred in captivity for trade, including in Indonesia.

The major exporters are said to be Indonesia (Java) and Thailand, and, according to the proponents, to a lesser extent (and presumably in decreasing order of importance): the Lao People's Democratic Republic, Myanmar, Malaysia, Cambodia and the Philippines. The major destinations are reported to be China and Viet Nam, with Viet Nam indicating to also harvest substantial numbers for its domestic market. Trade in live animals as pets is also recorded, including to the European Union and the United States of America (where imports declined by over 50% between 2007 and 2016). Thailand reported that export volumes had decreased in response to declining demand in destination countries, but no trends are provided, and levels of export seem to remain high (for example, the supporting statement indicates that in 2017-18, Thailand exported 1,455,362 “live and dried” specimens).

G. gecko has various degrees of legal protection across most of its range, but apparently not in Indonesia, Myanmar or Thailand, although the proponents state that the export of dead, dried specimens of *G. gecko* from Indonesia is not permitted. It was suspected that registered captive-breeding centres in Indonesia, which were legally allowed to export live specimens under a quota system, were laundering large amounts of wild-caught, dried specimens. The supporting statement cites a relatively small number of incidents of seizures or illegal trade in the species, perhaps because of the lack of regulation in this regard.

The information in the supporting statement shows that *G. gecko* remains common across most of its range and has broad ecological tolerance for human-modified environments. There is significant international trade in the species, and this may have impacted its status in some parts of its range, although the species seems able to withstand significant levels of offtake. In Thailand, one of the major countries of export, the species is said to be

'abundant' 'in most countrywide areas', with perhaps declines in the north-east, one of the country's main harvesting areas.

Additional considerations (including relevant CoP recommendations)

The proponents consulted all the range States of *G. gecko* in October 2018. Five range States supported the proposal, five were opposed (including Indonesia, a major country of export, and China and Viet Nam, major destinations), and three were undecided or did not respond.

Conclusions

The information presented in the supporting statement shows that *Gekko gecko* is traded internationally in very large numbers, mainly for medicinal purposes. According to the IUCN/TRAFFIC analysis, this trade peaked in 2010/2011 and declined since. Trade in live specimens is said to be decreasing. The species is common in much of its extensive range in Asia and adapts well to human-made environments, including cities. A recent IUCN Red List assessment (2019) classifies the species as Least Concern. Population declines, said to result from overharvesting for trade, have been reported in some parts of the range. There is however a large degree of uncertainty regarding the impact of international trade on the species.

Recommendations

Gekko gecko does not meet the criteria in Resolution Conf. 9.24 (Rev. CoP17), Annex 2a, criterion B, for its inclusion in Appendix II.

The Secretariat recommends that this proposal be **rejected**.

Proposal 29

***Gonatodes daudini* (Grenadines clawed gecko) - Inclusion in Appendix I**

Proponents: Saint Vincent and the Grenadines

Provisional assessment by the Secretariat

CITES background

This is the first that time that this species has been proposed for inclusion in the Appendices.

Purpose and impact of the proposal

The proposal seeks to include *Gonatodes daudini* in Appendix I. If the proposal is adopted, trade in all specimens of the species will be regulated in accordance with Article III of the Convention.

Compliance with listing criteria

Gonatodes daudini is endemic to Union Island, in Saint Vincent and the Grenadines, where its single known population occupies a restricted area. The proponent notes that the species has an area of occupancy of 0,5 km^2 and an extent of occurrence of approximately 1 km^2. This species was unknown before 2005, and little appears to be known about its survival in the wild, reproductive biology and role in the ecosystem. Owing to its characteristic markings, the species can easily be differentiated from other lizards. Given its restricted abundance and distribution, *G. daudini* is especially vulnerable to environmental change and intrinsic factors such as inbreeding depression.

The species is categorized as Critically Endangered by IUCN. In 2018, the population size of *G. daudini* was tentatively estimated at 9,957 individuals and, in the most accessible parts of its range, population density was found to have fallen by almost 80% since 2010. According to the proponent, this is most likely due to collection of animals from the wild.

The proponent notes that illegal trade in this species was first reported just after the species was described, and exploitation driven by the international pet trade appears to have accelerated in recent years. The proponent states that little is known about the volume of trade in this species but suggests that significant numbers may be taken from the wild.

According to the proponent, desk-based research in 2016 and 2017 identified over 12 dealers offering live specimens from locations in North America and Europe. The specimens' origin was either not identified or stated to be from the wild. It appears that shipments may have been available weekly from one of the dealers. Additionally, the proponent notes that numerous references to possession of, or desire to acquire the species are made in social media networks commonly used by collectors in Europe. No quantification of these references is provided.

While there are other threats to *G. daudini,* on the basis of the 2016 Conservation Action Plan, the proponent states that overharvesting for commercial purposes is inferred to be the single most important threat to the survival of this species.

The proponent adds that trade is having a detrimental impact on the status of the species, not only by removing valuable individuals from its small population, but also by damaging its habitat during extraction (collectors displace rocks and dismantle logs and termite mounds), exposing remaining individuals to increased risk of predation and desiccation.

The proponent states that no authorized captive-breeding programme exists, but that it is possible that private collectors outside of the range State may be breeding the species for sale.

The proponent states that stricter regulation of trade is imperative to reduce poaching and for ensuring the species' survival. If it were included in CITES Appendix I, importing countries would assist in preventing commercial exploitation from threatening this species. The proponent adds that listing in Appendix I is proposed in the species' national Conservation Action Plan of 2016.

The Secretariat notes that the information contained in the supporting statement indicates that the wild population of *G. daudini* has a restricted area of distribution, occurring only at one location. The information available indicates that the species is vulnerable to intrinsic and extrinsic factors, as collection makes it susceptible to inbreeding depression, desiccation and predation, and it is affected by invasive species, and habitat loss and degradation. The information available also indicates that there is an observed decrease in the number of individuals of the wild population, and an observed and projected decrease in the area and quality of the species' habitat. For these reasons, it appears that the biological criteria in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and I,* paragraphs B i), iii) and iv), and C i) may apply to *G. daudini.*

Conclusions

Gonatodes daudini is endemic to Union Island, in Saint Vincent and the Grenadines, where its single known population occupies an area of approximately 0,5 km^2. It is considered Critically Endangered by IUCN. The species was only discovered in 2005, and the most recent population estimate (2018) totals 9,957 individuals (including mature adults and juveniles). In the most accessible parts of its range, population density was found to have fallen by almost 80% since 2010. Given its restricted abundance and distribution, *G. daudini* is especially vulnerable to environmental change and intrinsic factors such as inbreeding depression. Based on an analysis of online adverts in 2016 and 2017, there appears to be demand for the species in international trade.

Recommendations

Gonatodes daudini meets the biological criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 1 for its inclusion in Appendix I.

The Secretariat recommends that this proposal be **adopted**.

Proposal 30

***Paroedura androyensis* (Grandidier's Madagascar ground gecko) - Inclusion in Appendix II**

Proponents: European Union and Madagascar

Provisional assessment by the Secretariat

CITES background

Paroedura androyensis is currently not included in the CITES Appendices.

Another species within the genus, *Paroedura masobe*, was included in CITES Appendix II at the 17th meeting of the Conference of the Parties (CoP17). The proposal to include that species (proposal 31) indicated that there were 15 species within the genus, while the current proposal indicates that there are 18 according to Glaw et al. (2014).

Purpose and impact of the proposal

The proposal seeks to include *Paroedura androyensis* in Appendix II, in accordance with Article II of the Convention. If the proposal is adopted, international trade in specimens of this species will be regulated in accordance with the provisions of Article IV of the Convention.

Compliance with listing criteria

The supporting statement suggests that inclusion of *Paroedura androyensis* on Appendix II satisfies criterion B of Annex 2a of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*.

Paroedura androyensis is a nocturnal gecko, regionally endemic to southern, south-western and south-eastern Madagascar, where it is found in undisturbed forests, gallery forests, shrublands, dry coastal rocks and riparian habitats. It is said to be severely fragmented over its range, with an estimated extent of occurrence of 17,970km^2. The species is reported to be confined to intact forests and is said to disappear when the habitat is modified. The dry forest habitat that it favours is reported to be patchy and declining.

P. androyensis has a small and fragmented area of distribution. There is no information on the size or structure of the population, but it appears to be declining as a result of the continuing decline in the quality and extent of its habitat. The species was most recently categorized as Vulnerable in the IUCN Red List in 2011.

The most important threats to *P. androyensis* are habitat loss and degradation, resulting from forest conversion and timber extraction. The species is in trade for the international pet market and the available information indicates that regulation of trade in the species is necessary to ensure that the harvest of specimens from the wild does not reduce the wild population to a level at which its survival might be threatened by continued harvesting or other influences. The supporting statement presents data on reported exports from Madagascar between 2013 and 2017 that show a variation of between 12 and 2880 individuals per year. It also reports that low numbers of captive-bred specimens were reported as imported into the United States of America, although no captive-breeding facilities for the species are known.

It appears that collection and use of this species is regulated in Madagascar, as it is listed as a category III species under Madagascar Law 2006-400 on the classification of wildlife species, which means that hunting and capture are only permitted with a hunting licence and within the hunting season of 1 February to 30 April. Therefore, the purpose of this proposal would be to further regulate the existing trade in this species.

Conclusions

Paroedura androyensis was categorized as Vulnerable in the IUCN Red List in 2011. Although there is no information on the size or structure of the wild population of *P. androyensis*, it is thought to have a small and fragmented area of distribution. It also appears to be declining as a result of the continuing reduction in the quality and extent of its habitat.

Data from Madagascar show that wild specimens of the species are traded internationally, with more than 6,000 individuals reported as exported from Madagascar between 2013 and 2017, and it appears to be in significant demand.

Recommendations

Paroedura androyensis meets the criteria in Resolution Conf. 9.24 (Rev. CoP17), Annex 2a, criterion B for its inclusion in Appendix II in accordance with Article II, paragraph 2 (a) of the Convention.

The Secretariat recommends that this proposal be **adopted**.

Proposal 31

***Ctenosaura* spp. (spiny-tailed iguanas) - Inclusion in Appendix II**

Proponents: El Salvador and Mexico

Provisional assessment by the Secretariat

CITES background

Of the 18 species in the genus *Ctenosaura,* four are currently listed in Appendix II: *Ctenosaura bakeri*; *Ctenosaura melanosterna*; *Ctenosaura oedirhina*; and *Ctenosaura palearis.*

These species were included in Appendix II in 2010, following the adoption by the Conference of the Parties at its 15th meeting (CoP15, Doha, 2010) of proposals CoP15 Prop. 11 submitted by Honduras and CoP15 Prop. 12 submitted by Guatemala. The remaining 14 species of the genus *Ctenosaura* are currently not listed in the Appendices.

Purpose and impact of the proposal

The proposal seeks to include all 18 species of the genus *Ctenosaura* in Appendix II in accordance with Article II of the Convention. If it is adopted, international trade in specimens of these taxa will be regulated in accordance with the provisions of Article IV of the Convention.

Compliance with listing criteria

The supporting statement suggests that the inclusion in Appendix II of species of *Ctenosaura* (including the species already listed) satisfies the following criteria of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*:

- criterion A of Annex 2a: *C. alfredschmidti*, *C. bakeri*, *C. clarki*, *C. conspicuosa*, *C. defensor*; *C. flavidorsalis*, *C. melanosterna*, *C. nolascensis*, *C. oaxacana*, *C. oedirhina*, *C. palearis*, C*. praeocularis* and *C. quinquecarinata*;

- criterion A of Annex 2b: *C. acanthura*, *C. hemilopha*, *C. macrolopha, C. pectinata* and *C. similis*.

The species in the genus *Ctenosaura* occur from Mexico to Colombia, covering nine countries: Belize, Colombia, Costa Rica, El Salvador, Guatemala, Honduras, Mexico, Nicaragua, and Panama.

The IUCN Red List categorizes 13 species of spiny-tailed iguana as follows: *C. bakeri* and *C. oaxacana* as Critically Endangered (CR); *C. flavidorsalis, C. melanosterna, C. oedirhina, C. palearis* and *C. quinquecarinata* as Endangered (EN); *C. clarki*, *C. defensor* and *C. nolascensis* as Vulnerable (VU); *C. alfredschmidti* as Near Threatened (NT); *C. similis* as Least Concern (LC); and *C. praeocularis* as Data Deficient (DD). The remaining five species (*C. acanthura, C. conspicuosa, C. hemilopha, C. macrolopha,* and *C. pectinata*) have not been assessed. Additionally, according to the supporting statement, Mexico and Guatemala have categorized eight spiny-tailed iguanas under a risk category within their relevant national legislation.

The main threats faced by spiny-tailed iguanas are habitat loss, meat and skin consumption, legal and illegal take for pet trade at the national and international levels, hybridization, alien invasive species, and elimination by confusion with venomous species.

The trade information contained in the supporting statement of the proposal is based, mainly, on: data from the CITES trade database; trade records from range States; an analysis of online trade at the global level; and follow-up consultations with the main importers identified in the framework of this analysis.

According to the supporting statement, the trade data suggest that there is a significant level of international trade. The main specimens in trade are live, but there is also recorded international trade in meat, skin, jewellery and trophies. There is considerable evidence of high volumes of live specimens traded illegally, with live spiny-tailed iguanas reaching prices of up to EUR 2,500; and with importing Parties reporting up to 20,000 specimens imported during a seven-year period. More than 20 countries were identified as destinations.

Additional considerations [including CoP recommendations]

The proposal is built upon the available global and national assessments of spiny-tailed iguanas of the genus *Ctenosaura*, and on the outcomes of a 2018 workshop financed by the Scientific Authority of Mexico. It thus represents an updated overview of the biology, conservation status and trade of these species throughout their range. However, the supporting statement also reveals information gaps, particularly regarding population size and structure.

The taxonomic reference proposed (Iverson *et al.*, 2016) is aligned with the advice of the Nomenclature Specialist of the Animals Committee. Therefore, in parallel with the discussion of the proposal, it should be considered whether this reference should be added for the genus *Ctenosaura* in the corresponding section Resolution Conf. 12.11 (Rev. CoP17) on *Standard nomenclature*.

Progress has been made in production of identification material (including an identification guide by the International Union for Conservation of Nature (IUCN) / Species Survival Commission (SSC) Iguana Specialist Group, dated 2011), complemented by the identification keys developed by the proponents. However, these focus on live adults and do not cover other life stages.

Conclusions

Information on the conservation status of wild populations of the 18 known species in the genus *Ctenosaura* is scarce, however some species have been estimated to have small populations or limited distribution. As pointed out by IUCN/TRAFFIC, some species may already meet the biological criteria for inclusion in Appendix I (including but not limited to *C. conspicuosa* and *C. nolascensis*), although reported international trade in wild-caught animals of these species is very limited. The recorded international trade primarily comprises two species, *C. quinquecarinata* and *C. similis*, and trade in individuals reported as wild-caught appears to be decreasing. The only species not currently listed in Appendix II that appears to meet the criteria for inclusion under Annex 2a of Resolution Conf. 9.24 (Rev. CoP17) is *C. quinquecarinata*. This species has a small population (2,500 mature individuals) and a relatively restricted and fragmented range. Although the majority of trade in this species appears to be in captive-bred individuals, given the possible small size of the population, even low levels of trade may be of concern.

It is reportedly difficult for non-experts to distinguish between species of *Ctenosaura* in their adult form and virtually impossible when they are juveniles, of which there are large numbers in trade.

It seems therefore that *Ctenosaura* spp. may warrant inclusion in Appendix II, as the species covered by the genus seem to meet criterion A of Annex 2a, and criterion A of Annex 2b of Resolution Conf. 9.24 (Rev. CoP17).

Recommendations

Ctenosaura spp. meets the criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 2a, criterion A and Annex 2b, criterion A for its inclusion in Appendix II in accordance with Article II, paragraphs 2 (a) and 2 (b) of the Convention.

The Secretariat recommends that this proposal be **adopted**.

Proposal 32

***Pseudocerastes urarachnoides* (spider-tailed horned viper) - Inclusion in Appendix II**

Proponent: Iran

Provisional assessment by the Secretariat

CITES background

This is the first time that this species has been proposed for inclusion in the Appendices.

Purpose and impact of the proposal

The proposal seeks to include *Pseudocerastes urarachnoides* in Appendix II. If the proposal is adopted, trade in all specimens of this species will be regulated in accordance with Article IV of the Convention.

Compliance with listing criteria

Pseudocerastes urarachnoides is a species of viper described in 2006. According to the supporting statement, it is rare and only known to occur in a few mountain ranges in western Iran, making it potentially endemic to Iran. In the IUCN Red List, where the species is listed as data-deficient, Iraq is listed as another potential but unconfirmed range State.

The tail of *P. urarachnoides* has evolved to resemble a spider to lure insectivorous small birds, a unique adaptation giving it both its name and making it attractive for pet trade. Further study of the biology and ecology of the species is ongoing, but from the supporting statement, *P. urarachnoides* habitat preferences, seem narrow, with the species depending on hilly, rocky habitats with bush or tree vegetation. There is no quantitative information on habitat size, trends, population size or population trend included in the supporting statement, but it is noted that populations are likely to be small and isolated and that the species seems naturally rare.

Due to the purported characteristics of the species, the authors expect off-take by international pet trade to have a negative impact on the wild populations of this species and rank illegal collection for national and international demand as the highest threat to the species. They also note that two other species of the genus, *P. persicus* and *P. fieldi* have gone locally extinct due to collection for pet trade. Despite a general national prohibition to hunt, kill or catch wild mammals, birds and reptiles in place since 1974 and the species being listed as “nationally endangered”, illegal smuggling out of the country seems to have occurred and the species is confirmed to be kept in private households in Europe and traded, according to references in the supporting statement. It is unclear from the supporting statement if some of these specimens may have been captive bred from smuggled individuals or if international trade is ongoing.

Conclusions

Based on the limited information available at the time of writing, it is difficult to assess if *Pseudocerastes urarachnoides* meets the biological or trade criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 2a for its inclusion in Appendix II. However, its purported small and fragmented populations and the fact that it naturally occurs in low densities may even qualify it for inclusion in Appendix I and make it likely that unregulated international trade would be detrimental to the survival of the species in the wild. This is supported by reports that collection for the pet trade has already resulted in local extinction of populations of other species of the *Pseudocerastes* genus.

Recommendations

It is difficult to assess if *Pseudocerastes urarachnoides* meets the biological and/or trade criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 2a for its inclusion in Appendix II. However, the Conference of the Parties, through Resolution Conf. 9.24 (Rev. CoP17), resolved that Parties by virtue of the precautionary approach and in case of uncertainty regarding the status of a species or the impact of trade on the conservation of a species, shall act in the best interest of the conservation of the species concerned, and the Secretariat recommends taking a precautionary approach for this proposal.

The Secretariat recommends that this proposal be **adopted**.

Proposal 33

***Cuora bourreti* (Bourret's box turtle) - Transfer from Appendix II to Appendix I**

Proponent: Viet Nam

Provisional assessment by the Secretariat

CITES background

The species *Cuora bourreti* has been included in CITES Appendix II since 2000, when it was covered by the listing of the genus *Cuora*. At the time of listing, it was considered to be a subspecies of *Cuora galbinifrons* (as was *Cuora picturata*, which proposal 34 seeks to transfer from Appendix II to Appendix I).

At the 16th meeting of the Conference of the Parties (CoP16, Bangkok, 2013), Viet Nam submitted a proposal to transfer the species *Cuora galbinifrons* from Appendix II to Appendix I, in accordance with Resolution Conf. 9.24 (Rev. CoP17), on *Criteria for amendment of Appendices I and II*, under Annex 1, criteria C i) and ii) (patterns of exploitation, intrinsic vulnerability). The proposal specified that this included the subspecies *Cuora galbinifrons, Cuora galbinifrons bourreti* and *Cuora galbinifrons picturata*. This proposal was rejected following the adoption of the proposal that placed a zero quota on trade in wild specimens of *C. galbinifrons* for commercial purposes.

At CoP16, Viet Nam requested the inclusion of *C. galbinifrons* in the Periodic Review of the Appendices. The review was carried out by Viet Nam and presented at the 28th meeting of the Animals Committee (AC28, Tel Aviv, August 2015) in document AC28 Doc. 20.3.8. The Animals Committee agreed with the recommendation resulting from the review, to transfer *Cuora galbinifrons* including *C. bourreti* and *C. picturata* as two subspecies to Appendix I [see summary report AC28 Sum. 2 (Rev. 1)].

However, according to the new standard nomenclature (Spinks *et al*., 2012), adopted at CoP17, in 2016, *Cuora bourreti* is now considered a full species for CITES purposes. It remains included in the genus listing of *Cuora* spp., which includes an annotation indicating a zero quota for wild specimens for commercial purposes for a number of *Cuora* species including *Cuora bourreti, C. picturata,* and *C. galbinifrons*. This zero quota was adopted at CoP16 (following proposal CoP16 Prop. 32) and came into effect in June 2013.

Purpose and impact of the proposal

The present proposal seeks to prohibit international commercial trade in specimens of wild origin of C*uora bourreti.* If it is adopted, international commercial trade in specimens of *C. bourreti* of wild origin will be prohibited. International trade in specimens of the species will be regulated in accordance with the provisions of Article III of the Convention.

If *C. bourreti* is included in Appendix I, breeding operations wishing to commercially export and trade in specimens of this species would need to be registered with the Secretariat in accordance with Resolution Conf. 12.10 (Rev. CoP15) on *Registration of operations that breed Appendix-I animal species in captivity for commercial purposes.*

Compliance with listing criteria

Concerning inclusion of the species in Appendix I, the proponent asserts that it meets criterion A v) in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17) because of its intrinsic vulnerability, being a species of slow growth, late maturity, limited annual reproductive output and high mortality of eggs and juveniles; and criterion C i), by having declined severely across its range as a result of collection for trade.

Cuora bourreti is a medium-sized terrestrial turtle that inhabits hill forests of central Viet Nam and the adjoining Savannakhet Province of the Lao People's Democratic Republic. Animals take about 10 to 15 years to mature, and females produce a single clutch of 1-3 eggs per year. The supporting statement reports that egg and hatchling mortality are high, and recruitment is slow. It also claims that the species is challenging to establish and reproduce in captivity, and the great majority of trade concerns animals collected from the wild.

Available field survey information suggests that the species is uncommon and that populations have been severely depleted in recent decades. However, the factual information in the proposal is too limited to determine

whether the wild population of the species is small, or whether it has a restricted area of distribution, but both seem unlikely.

The primary threat to *C. bourreti* is reported to be illegal collection for trade. The species is reportedly in high demand in the international pet trade and for Asian consumption. However, as trade would have been recorded as *C. galbinifrons* until 2016, and trade in the species has been subject to a zero quota since 2013, there are no accurate trade data available to demonstrate this. The trade reported in the CITES trade database for direct exports of *C. galbinifrons* from Viet Nam and Lao People's Democratic Republic is presented in the table below:

Year	App.	Importer	Exporter	Importer reported quantity	Exporter reported quantity	Term	Purpose	Source
1999	N	US	VN	7		live	T	W
2000	II	US	VN	3		live	T	U
	II	US	VN	30		live	T	W
2001	II	US	VN	16		live	T	W
2003	II	US	VN		14	specimens	S	W
2004	II	US	VN	2		specimens	S	W
2006	II	VN	LA	1500		live	T	R
2009	II	DE	VN		1	specimens	S	W
2012	II	JP	VN	100	160	live	T	C
	II	TW	VN		15	live	T	C
2013	II	BE	VN		20	live	T	C
	II	ES	VN	20	90	live	T	C
	II	HK	VN	120	160	live	T	C
	II	JP	VN	273	323	live	T	C
	II	KR	VN	2		live	T	C
	II	TW	VN		15	live	T	C

Habitat loss and degradation are additional threats to the species. Targeted and intensive collection efforts for illegal trade purposes are described.

The supporting statement is almost identical to the proposal that was submitted to CoP16 to transfer the population of *C. galbinifrons* from Appendix II to Appendix I, but a few important differences are worth noting.

The principle piece of new information included in the supporting statement is that *Cuora bourreti* had previously been included as a subspecies in the assessment of *C. galbinifrons*, until 2016 when *Cuora bourreti* was assessed as a full species and categorized as Critically Endangered with a decreasing population trend. The justification given by IUCN for this assessment is that *Cuora bourreti* has been subject to intensive exploitation since the 1990s across its range, primarily for consumption and secondarily for the pet and farming / aquaculture trades. It further notes that trade volumes have collapsed in recent years and field surveys indicate the species to be rare. IUCN estimated a population collapse of over 90% over the past 60 years (three generations, at 20 years per generation time), and predicted to continue for the next 20 years. The assessment does not provide more detailed information on how this conclusion was reached but states that it is likely to be an underestimate. However, the levels of decline mentioned are well within the general guidelines provided in Resolution Conf. 9.24 (Rev. CoP17) that would warrant inclusion of a species in Appendix I.

The supporting statement presents some new information on the levels of illegal trade in *Cuora* species, noting that, until 2017, *C. bourreti* was treated as a subspecies of *C. galbinifrons* (see above). The proponents report on two seizures in Viet Nam that were specifically identified as *C. bourreti.*

Key areas that remain largely undocumented in the supporting statement include habitat trends (Section 4.1), population size (Section 4.2), and management needs and measures (under Section 8). It is also not clear what, if any, consultations took place with the Lao People's Democratic Republic, which is the other range State for this species. The supporting statement does not mention the impact of the inclusion of *C. galbinifrons* in the Review of Significant Trade on the conservation and management of the species and its subspecies**.**

The exploitation of *C. bourreti* is regulated in both range States. However, enforcement seems largely inadequate. The proponent states: that “turtles, of any species, are collected whenever and wherever encountered in the region, regardless of legal protection status or location inside protected areas”; that “collected turtles are traded, mostly illegally, through a network of local middlemen before being exported or consumed locally”; and that “increasing economic value has ensured that hunting pressure is sustained despite the increasing rarity of the species”.

Additional considerations (including relevant CoP recommendations)

At the 18th meeting of the Animals Committee (AC18, San José, 2002), *Cuora galbinifrons* was selected for the Review of Significant Trade pursuant to Resolution Conf. 12.8 (Rev. CoP13). The Standing Committee, at its 58th meeting (Geneva, July 2009), adopted a recommendation to suspend trade in *Cuora galbinifrons* from Lao People’s Democratic Republic and Viet Nam (see SC58 summary record). The recommendation for Viet Nam was withdrawn at the 62nd meeting of the Standing Committee (Geneva, July 2012) as no commercial exports had taken place since 2001 [see document SC62 Doc.27.2 (Rev.1)]. The recommendation to suspend exports of *Cuora galbinifrons* from the Lao People's Democratic Republic remained in effect until the 70th meeting of the Standing Committee (Sochi, October 2018), when the recommendation to suspend trade was lifted on the basis of the written notice from the Lao People's Democratic Republic that it had no intention of authorizing export of this species.

Although the Animals Committee agreed with the recommendation to transfer *Cuora galbinifrons* including *C. bourreti* and *C. picturata* as subspecies to Appendix I [see executive summary AC28 Sum. 2 (Rev. 1)] as part of the Periodic Review of the Appendices, proposals have been submitted only for *Cuora bourreti* and *C. picturata*.

Conclusions

There is insufficient information available to determine whether or not the size of the wild population of *Cuora bourreti* is small, with estimates ranging from 10,000 to 20,000 individuals. It also does not appear to have a restricted area of distribution. However, owing to ongoing overharvesting for trade and ineffective implementation of existing protection measures, the species seems to have undergone a marked decline in population size in the wild, thereby meeting one of the biological criteria for inclusion of a species in Appendix I.

The proposal was prepared in the context of Resolution Conf. 14.8 (Rev. CoP17) on *Periodic Review of the Appendices*. The Animals Committee, at its 28th meeting (AC28, Tel Aviv, August 2015), agreed with the recommendation from this Periodic Review that it would be appropriate to transfer *Cuora galbinifrons* (including its subspecies) to Appendix I, implying that this recommendation would extend to *C. bourreti*.

Recommendations

Cuora bourreti meets the biological criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 1 for its inclusion in Appendix I.

The Secretariat recommends that this proposal be **adopted**.

Proposal 34

***Cuora picturata* (southern Viet Nam box turtle) - Transfer from Appendix II to Appendix I**

Proponent: Viet Nam

Provisional assessment by the Secretariat

CITES background

The species *Cuora picturata* has been included in CITES Appendix II since 2000, when it was covered by the listing of the genus *Cuora*. At the time of listing, it was considered to be a subspecies of *Cuora galbinifrons* (as was *Cuora bourreti*, which proposal 33 seeks to also transfer from Appendix II to Appendix I).

At the 16th meeting of the Conference of the Parties (CoP16, Bangkok, 2013), Viet Nam submitted a proposal to transfer the species *Cuora galbinifrons* from Appendix II to Appendix I, in accordance with Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*, under Annex 1, criteria C i) and C ii) (patterns of exploitation, intrinsic vulnerability). The proposal specified that this included the subspecies *Cuora galbinifrons galbinifrons, Cuora galbinifrons bourreti* and *Cuora galbinifrons picturata*. This proposal was rejected following the adoption of the proposal that placed a zero quota on trade in wild specimens of *C. galbinifrons* for commercial purposes.

At CoP16, Viet Nam requested the inclusion of *C. galbinifrons* in the Periodic Review of the Appendices. The review was carried out by Viet Nam and presented at the 28th meeting of the Animals Committee (AC28, Tel Aviv, August 2015) in document AC28 Doc. 20.3.8. The Animals Committee agreed with the recommendation resulting from the review, to transfer *Cuora galbinifrons* including *C. bourreti* and *C. picturata* as two subspecies to Appendix I [see summary report AC28 Sum. 2 (Rev. 1)].

However, according to the new standard nomenclature (Spinks et al., 2012) adopted at the 17th meeting of the Conference of the Parties in 2016, *Cuora picturata* is now considered a full species for CITES purposes. It remains included in the genus listing of *Cuora* spp., which includes an annotation indicating a zero quota for wild specimens for commercial purposes for a number of *Cuora* species including *Cuora bourreti, C. picturata,* and *C. galbinifrons*. This zero quota was adopted at CoP16 (following proposal CoP16 Prop. 32) and came into effect in June 2013.

Purpose and impact of the proposal

The present proposal seeks to prohibit international commercial trade in specimens of wild origin of C*uora picturata.* If it is adopted, international commercial trade in specimens of *C. picturata* of wild origin will be prohibited. International trade in specimens of the species will be regulated in accordance with the provisions of Article III of the Convention.

If *C. picturata* is included in Appendix I, breeding operations wishing to commercially export and trade in specimens of this species would need to be registered with the Secretariat in accordance with Resolution Conf. 12.10 (Rev. CoP15) on *Registration of operations that breed Appendix-I animal species in captivity for commercial purposes.*

Compliance with listing criteria

Concerning inclusion of the species in Appendix I, the proponent asserts that it meets: criteria A i) and v) in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17) because of its small, declining population and its intrinsic vulnerability, being a species of slow growth, late maturity, limited annual reproductive output and high mortality of eggs and juveniles; and criterion C i), by having declined severely as a result of collection for trade.

Cuora picturata is a medium-sized terrestrial turtle that is endemic to Viet Nam. It is restricted in its distribution to evergreen hill forest and bamboo forest on the eastern slopes of the Langbian Plateau, in an area covering less than 250 km^2, where the area of suitable habitat is considerably less. There are unconfirmed reports that it also occurs in Cambodia. Like *C. bourreti,* animals take about 10 to 15 years to mature, and females produce a single clutch of 1-3 eggs per year. The supporting statement claims that egg and hatchling mortality seems high and recruitment is slow. It also claims that the species is challenging to establish and reproduce in captivity, and the great majority of trade concerns animals collected from the wild.

Available field survey information suggests that the species is rare, with less than one animal per square kilometre, requiring 60 person-hours or 45 dog-hours to find a single specimen. Available information also suggests that populations have been severely depleted in recent decades. According to the recent IUCN Red List assessment (2016), the population is estimated to be between 3,000 and 10,000 individuals.

The primary threat to *C. picturata* is reported to be illegal collection for trade. The species is reportedly in high demand in the international pet trade and for Asian consumption. However, as trade would have been recorded as *C. galbinifrons* until 2016 and trade in the species has been subject to a zero quota since 2013, there are no accurate trade data available to demonstrate this. The trade reported in the CITES trade database for direct exports of *C. galbinifrons* from Viet Nam is presented in the table below:

Year	App.	Importer	Exporter	Importer reported quantity	Exporter reported quantity	Term	Purpose	Source
1999	N	US	VN	7		live	T	W
2000	II	US	VN	3		live	T	U
	II	US	VN	30		live	T	W
2001	II	US	VN	16		live	T	W
2003	II	US	VN		14	specimens	S	W
2004	II	US	VN	2		specimens	S	W
2009	II	DE	VN		1	specimens	S	W
2012	II	JP	VN	100	160	live	T	C
	II	TW	VN		15	live	T	C
2013	II	BE	VN		20	live	T	C
	II	ES	VN	20	90	live	T	C
	II	HK	VN	120	160	live	T	C
	II	JP	VN	273	323	live	T	C
	II	KR	VN	2		live	T	C
	II	TW	VN		15	live	T	C

Habitat loss and degradation are additional threats to the species. Targeted and intensive collection efforts are described.

The supporting statement is similar to the proposal that was submitted to CoP16 to transfer the population of *C. galbinifrons* from Appendix II to Appendix I, but a few important differences are worth noting.

The principle piece of new information included in the supporting statement is that *Cuora picturata* had previously been included as a subspecies in the assessment of *Cuora galbinifrons*, until 2016 when *C. picturata* was assessed as a full species and categorized as Critically Endangered with a decreasing population trend. The justification given by IUCN for this assessment is that *Cuora picturata* is restricted in its occurrence to a small area in southern Viet Nam, where it remains subject to intensive collection pressures for human consumption, pet and farming / aquaculture trades. It further notes that documented trade volumes indicate a collapse of populations over the past three decades of over 90% which is extrapolated back to cover the past 60 years (three generations), and collection pressure for the last remaining individuals is likely to continue if not increase in the next 20 years. Although the assessment does not provide any further information on how this conclusion was reached, the levels of decline mentioned are well within the general guidelines provided in Resolution Conf. 9.24 (Rev. CoP17) that would warrant inclusion of a species in Appendix I.

The proponents also state that *C. picturata* has consistently been included in the list of 50 species of tortoises and freshwater turtles at highest risk of extinction by the Turtle Conservation Coalition, most recently in 2018.

The exploitation of *C. picturata* is regulated in Viet Nam, however, enforcement seems largely inadequate. The supporting statement presents some new information on the levels of illegal trade in *Cuora* species, noting that, until 2017, *C. picturata* was treated as a subspecies of *C. galbinifrons* (see above). There are no reports of seizures that were specifically identified as *C. picturata.*

Additional considerations (including relevant CoP recommendations)

At the 18th meeting of the Animals Committee (AC18, San José, 2002), *Cuora galbinifrons* was selected for the Review of Significant Trade pursuant to Resolution Conf. 12.8 (Rev. CoP13). The Standing Committee, at its 58th meeting (Geneva, July 2009), adopted a recommendation to suspend trade in *Cuora galbinifrons* from Lao People's Democratic Republic and Viet Nam (see SC58 summary record). The recommendation for Viet Nam was withdrawn at the 62nd meeting of the Standing Committee (Geneva, July 2012) as no commercial exports had taken place since 2001 [see document SC62 Doc.27.2 (Rev.1)]. The recommendation to suspend exports of *Cuora galbinifrons* from the Lao People's Democratic Republic remained in effect until the 70th meeting of the Standing Committee (Sochi, October 2018), when the recommendation to suspend trade was lifted on the basis of the written notice from the Lao People's Democratic Republic that it had no intention of authorizing export of this species.

Although the Animals Committee agreed with the recommendation to transfer *Cuora galbinifrons* including *C. picturata* and *C. bourreti* as subspecies to Appendix I [see executive summary AC28 Sum. 2 (Rev. 1)] as part of the Periodic Review of the Appendices, proposals have been submitted to CoP18 only for *Cuora picturata* and *C. bourreti*.

Conclusions

Available information suggests that the wild population of *Cuora picturata* is small (estimated to be between 3,000 and 10,000 individuals), and the species has a restricted area of distribution. In addition, owing to ongoing overharvesting for trade and ineffective implementation of existing protection measures, the species seems to have undergone a marked decline of its population size in the wild, thereby meeting criterion A i) for its inclusion in Appendix I.

The proposal was prepared in the context of Resolution Conf. 14.8 (Rev. CoP17) *on Periodic Review of the Appendices*. The Animals Committee, at its 28th meeting (AC28, Tel Aviv, August 2015), agreed with the recommendation from this Periodic Review that it would be appropriate to transfer *Cuora galbinifrons* (including its subspecies) to Appendix I, implying that this recommendation would extend to *C. picturata*.

Recommendations

Cuora picturata meets criterion A i) in Resolution Conf. 9.24 (Rev. CoP17) Annex 1 for its inclusion in Appendix I.

The Secretariat recommends that this proposal be **adopted**.

Proposal 35

***Mauremys annamensis* (Annan leaf turtle) - Transfer from Appendix II to Appendix I**

Proponent: Viet Nam

Provisional assessment by the Secretariat

CITES background

Mauremys annamensis was listed in Appendix II following the 12th meeting of the Conference of the Parties (Santiago, 2002; document CoP12 Prop.21), and a zero quota for wild-sourced specimens of this species for commercial purposes was adopted at the 16th meeting (CoP16, Bangkok, 2013; document CoP16 Prop.32).

At CoP16, Viet Nam also proposed the transfer of the species from Appendix II to Appendix I, in accordance with Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*, Annex 1, paragraphs A i) and v), B iii) and iv) (decreased area and quality of habitat, decreased number of individuals), and C i) and ii) (patterns of exploitation, intrinsic vulnerability) (proposal CoP16 Prop. 35). On the basis of the information available, the Secretariat recommended that the proposal be adopted [see document CoP16 Doc. 77 Annex 2 A (Rev. 2)]. However, as agreed by the Conference of the Parties, this proposal was not considered because the proposal for a zero quota (document CoP16 Prop. 32) was adopted. Viet Nam subsequently requested that *Mauremys annamensis* be included in the Periodic Review of the Appendices as a matter of urgency (see document CoP16 Com. I Rec. 9).

This request was adopted as Decision 16.124, directed to the Animals Committee, which read as follows: "The Animals Committee shall, as a matter of priority, include *Cuora galbinifrons* and *Mauremys annamensis* in its Periodic Review of the Appendices." Viet Nam led the review of the species, and provided the results in document AC28 Doc. 20.3.9. The Animals Committee agreed with the recommendation in the *Periodic Review of the Appendices* to transfer *M. annamensis* to Appendix I. The Secretariat noted in document CoP17 Doc. 73 that the corresponding proposal was not submitted by Viet Nam for consideration at the 17th meeting of the Conference of the Parties (CoP17, Johannesburg, 2016).

Purpose and impact of the proposal

The proposal seeks to transfer *Mauremys annamensis* from Appendix II to Appendix I. If the proposal is adopted, international trade in all specimens of the species will be regulated in accordance with the provisions of Article III of the Convention.

Compliance with listing criteria

Mauremys annamensis is endemic to Viet Nam. The proponent states that the actual or historic population size of this species is unknown, but the general understanding is that the distribution of the species in the wild is fragmented, with scattered individuals remaining in just a few wetlands.

Available information appears to indicate that the species was reasonably common until the early to mid-1990s, but its population is thought to have since collapsed because it became subject to commercial trade. According to the proponent, collection for trade is the primary threat to this species. As was indicated in proposal CoP16 Prop. 35, the proponent states that the species continues to be in demand in international pet markets and for consumption in Asia, as well as being also sought locally for medicinal purposes. The species is bred in captivity and it appears that some facilities may be acquiring breeding stock from the wild.

The life history characteristics of *M. annamensis* (late maturity, modest annual reproductive output, and high egg and juvenile mortality rates) render this species intrinsically vulnerable to overexploitation.

M. annamensis was categorized as of Least Concern by IUCN in 1996, and its reassessment categorized it as Critically Endangered in 2000, based on a known or inferred population reduction of at least 80% over the past three generations, as a result of actual or potential levels of trade, and a similar projected future decline over the same time period. The proponent further indicates that a reassessment of the conservation status of this species by IUCN, which is currently in progress, suggests that the species will continue to be categorized as Critically Endangered.

Despite being legally protected in Viet Nam from any form of exploitation, to further address illegal international trade in *M. annamensis,* the proponent believes that the species' protection status under CITES must be increased to match its strict national protection.

The Secretariat notes that while the information contained in the supporting statement indicates that the current and historical sizes of the wild population of *M. annamensis* are unknown, sufficient information is presented to indicate that the wild population of the species is small. The information available in the supporting statement suggests that unsustainable collection for trade has led to a significant decline in the number of wild individuals in the past, and that demand still exists. Additionally, the information available indicates that the species is vulnerable to intrinsic and extrinsic factors, as it has late maturity, modest annual reproductive output, high egg and juvenile mortality, and is affected by habitat loss and degradation. Furthermore, the information available in the supporting statement indicates that the species has a restricted area of distribution and a fragmented occurrence. The information contained in the supporting statement also indicates that the area and quality of habitat of the species have declined. For these reasons, it appears that the biological criteria in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and I,* paragraphs A i), ii) and v), B i), iii), iv), and C i) apply to *M. annamensis*.

Additional considerations (including relevant CoP recommendations)

At its 28th meeting (AC28, Tel Aviv, August 2015), the Animals Committee agreed with the recommendations stemming from the Periodic Review of the Appendices for *Mauremys annamensis*, that a proposal should be made to transfer the species to Appendix I.

Conclusions

Available information indicates that *Mauremys annamensis* meets criterion B i) in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17) as it has a restricted area of distribution in Viet Nam and a fragmented occurrence. This formerly common species was previously categorized as of Least Concern by IUCN in 1996, but recategorized as Critically Endangered in 2000, based on a known or inferred population reduction of at least 80% over the past three generations, as a result of actual or potential levels of trade, and a similar projected future decline over the same time period. There appears to be demand for *M. annamensis* in international trade, and its life history characteristics (late maturity, modest annual reproductive output, and high egg and juvenile mortality rates) renders it intrinsically and extrinsically vulnerable to overexploitation.

There has been a zero-export quota in place for wild-sourced specimens of *Mauremys annamensis* for commercial purposes since CoP16. The CITES trade database indicates that most trade is in captive-bred or captive-born specimens. If *M. annamensis* were to be included in Appendix I, breeding operations wishing to commercially export and trade in specimens of this species would need to register with the Secretariat in accordance with Resolution Conf. 12.10 (Rev. CoP15) on *Registration of operations that breed Appendix-I animal species in captivity for commercial purposes.*

The proposal was prepared in the context of Resolution Conf. 14.8 (Rev. CoP17) on *Periodic Review of the Appendices*. The Animals Committee, at its 28th meeting (AC28, Tel Aviv, August 2015), agreed with the recommendation from this Periodic Review that it would be appropriate to transfer *M. annamensis* to Appendix I.

Recommendations

Mauremys annamensis meets the biological criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 1 for its inclusion in Appendix I.

The Secretariat recommends that this proposal be **adopted**.

Proposal 36

***Geochelone elegans* (Indian star tortoise) - Transfer from Appendix II to Appendix I**

Proponents: Bangladesh, India, Senegal and Sri Lanka

Provisional assessment by the Secretariat

CITES background

The species *Geochelone elegans* was included in CITES Appendix II, at the time of entry into force of the Convention, in 1975 under the genus listing of *Geochelone* spp. It was subsequently included in the family listing of Testudinidae spp. in 1977.

Currently all species of the family Testudinidae are included in Appendix II, with the exception of the species listed in Appendix I. Under the Appendix-II listing, there is also an annotation indicating a zero annual export quota for "*Centrochelys sulcata* for specimens removed from the wild and traded for primarily commercial purposes".

Purpose and impact of the proposal

The proposal seeks to prohibit international commercial trade in specimens of wild origin of *Geochelone elegans*. If the proposal is adopted, international commercial trade in specimens of *G. elegans* of wild origin will be prohibited. International trade in specimens of the species will be regulated in accordance with the provisions of Article III of the Convention.

The CITES trade database contains records of exports of specimens of *G. elegans* that are produced in captivity (code F or C) from a number of non-range States, in particular from Jordan, which accounts for almost 75% of the global trade. Trade in specimens of *G. elegans* from Jordan was selected for review by the Animals Committee under Resolution Conf. 17.7 on *Review of trade in animal specimens reported as produced in captivity*, due to concerns about the origin of the founder stock. At its 30th meeting (AC30, Geneva, July 2018), the Animals Committee recommended that Jordan establish a zero export quota for all sources and provide further information on the breeding facilities and the legal acquisition of the founder stock to the Secretariat.

If *G. elegans* is included in Appendix I, breeding operations wishing to commercially export and trade in specimens of this species would need to be registered with the Secretariat in accordance with Resolution Conf. 12.10 (Rev. CoP15) on *Registration of operations that breed Appendix-I animal species in captivity for commercial purposes.*

Compliance with listing criteria

The supporting statement suggests that inclusion of *Geochelone elegans* in Appendix I satisfies criterion C i) and ii) of Annex 1 of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*, because of a marked decline in population sizes in the wild observed as ongoing or inferred or projected on the basis of levels or patterns of exploitation, and a high vulnerability to intrinsic and extrinsic factors, and a reduction in recruitment due to indiscriminate offtake.

The species is a medium-sized tortoise that is found in parts of India, Pakistan and Sri Lanka. The proponents do not indicate whether consultations took place with Pakistan. The species is similar to other tortoises belonging to the genus *Geochelone* in that it is long-lived, with a low reproductive rate. Females typically produce two clutches of eggs (exceptionally up to four clutches) with 2-10 eggs per clutch per year. Generation length has been estimated at 10 years.

The proposal states that the population size is unknown, with no reliable estimates of population size in the wild, so the proponents refer to an IUCN Red List assessment of 2015. The IUCN assessment states that it considered recent documented levels of exploitation and the suspected future reduction in population size that could occur because of this activity. Based on available information, it determined that this species maintains relatively large populations of >10,000 with an extent of occurrence >20,000 km^2 and an area of occupancy of more than 2,000 km^2. These populations are present in protected areas and agricultural landscapes in India and Sri Lanka and as a small subpopulation in Pakistan. However, studies have shown that the illegal wildlife trade is increasingly targeting this species to meet apparently increasing international demand for exotic pets. An additional threat comes from extensive conversion of their habitat (scrubland) to less suitable orchards and croplands, which is

likely to reduce populations further in the future. Based on the available information, the IUCN assessment concluded that the population of *G. elegans* was inferred to face projected declines of greater than 30% if this exploitation continues or expands. The species was also categorized as Vulnerable with a decreasing population trend. The assessment does not provide any population data to support this conclusion. However, the levels of predicted decline mentioned remain below the general guideline level provided in Resolution Conf. 9.24 (Rev. CoP17) that would warrant inclusion of a species in Appendix I.

The supporting statement describes the high level of protection afforded to *G. elegans* in all range States, where it is fully protected by law from commercial exploitation, trade or possession, but there are no official management measures in place for the protection and study of *G. elegans*. The supporting statement also states that, in terms of numbers, this is the single most seized species of tortoise or freshwater turtle worldwide, representing approximately 11% of global seizures involving these taxa. The Secretariat reported in the Annex of document CoP17 Doc. 73 that between 2000 and 2015 more than 34,000 live specimens of *G. elegans* had been seized.

Habitat loss, domestic consumption and accidental or "retaliatory killings" (presumably for crop destruction) are identified as other threats to the conservation of the species, but it is evident that illegal trade (mostly in live specimens) represents by far the greatest threat as outlined in Sections 6.4 and 6.5 of the supporting statement.

Since the species was included in the Appendices in 1977, the vast majority of trade has been in live, captive-bred specimens and there has been limited trade in wild specimens. Reported trade in the species has not triggered any concerns under Resolution Conf. 12.8 (Rev. CoP17) on *Review of Significant Trade in specimens of Appendix-II species.* At the 20th meeting of the Animals Committee (Johannesburg, March 2004), *G. elegans* was proposed as a possible candidate for review under Resolution Conf. 12.8 (Rev. CoP17), but the species was not selected for review.

It remains unclear whether or how an Appendix-I listing would improve the conservation status of the species.

Additional considerations (including relevant CoP recommendations)

In Section 8.4 of the supporting statement, the proponents state that it is difficult to breed *Geochelone elegans* in captivity. This statement is supported by the short reviews of species selected at AC29 for review under Resolution Conf. 17.7 (see document AC30 Doc. 13.1 Annex 3). The review of *G. elegans* stated that "The species can successfully reproduce in captivity but is one the most difficult tortoises to keep and breed, as they tend to get stressed when handled, are sensitive to cold and long periods of humidity, and prone to respiratory disease and pathogens carried by other species of tortoise".

The issue of laundering of wild specimens of this species and the illegal acquisition of founder stock was raised as a concern by Parties at the 29th meeting of the Animals Committee (Geneva, July 2017) and *G. elegans* from Jordan (which is not a range State) was selected for review the new mechanism for reviewing trade in specimens bred in captivity, under Resolution Conf. 17.7 on *Review of trade in animal specimens reported as produced in captivity*. At its 30th meeting (Geneva, July 2018), the Animals Committee recommended that Jordan immediately, and until the Standing Committee recommends otherwise, establish a zero export quota for *G. elegans* from all sources and provide evidence of legal acquisition of all breeding stock for all facilities, including information on source of animals used to augment the breeding stock, and information on the ability of the facilities in Jordan to produce F1 and/or F2 animals in an amount that corresponds to the number of specimens exported by these facilities, or to manage the species in a manner demonstrated to be capable of doing so. These recommendations were endorsed by the Standing Committee at its 70th meeting (SC70, Sochi, October 2018).

Conclusions

The population of *Geochelone elegans* is not thought to be small due to the high numbers of specimens that are regularly seized, although there are no reliable estimates of the population size in the wild. This is the most commonly recorded species of tortoise or freshwater turtle illegally traded worldwide.

The most recent IUCN assessment in 2015 categorised *G. elegans* as Vulnerable but determined that the species maintained relatively large populations of >10,000 with an extent of occurrence of >20,000 km^2 and an area of occupancy of more than 2,000 km^2. Based on recent documented levels of exploitation and the suspected future reduction in population size that could occur because of illegal trade, IUCN concluded that the population of *G. elegans* was inferred to face projected declines greater than 30% if this exploitation continues or expands. This projected rate of decline remains below the general guideline levels provided in Resolution Conf. 9.24 (Rev. CoP17) that would warrant the inclusion of a species in Appendix I.

There has been very little trade recorded in wild specimens of the species since it was included in Appendix II in 1977. Most of the trade that takes place is in reportedly captive-bred specimens, and this trade is currently under review in accordance with Resolution Conf. 17.7 on *Review of trade in animal specimens reported as produced in captivity.* Illegal trade in tortoises and freshwater turtles already receives a high level of attention, and this enforcement effort is set to continue.

It is therefore not clear what additional benefit an Appendix-I listing would provide to the conservation of the species.

Recommendations

Geochelone elegans does not meet the criteria in Resolution Conf. 9.24 (Rev. CoP17), Annex 1 for its inclusion in Appendix I.

The Secretariat recommends that this proposal be **rejected**.

Proposal 37

***Malacochersus tornieri* (pancake tortoise) - Transfer from Appendix II to Appendix I**

Proponents: Kenya and United States of America

Provisional assessment by the Secretariat

CITES background

Malacochersus tornieri was included in Appendix II at the time of entry into force of the Convention in 1975, under the genus listing of *Malacochersus* spp. It was subsequently included in the family listing of Testudinidae spp. in 1977.

Currently all species of the family Testudinidae are included in Appendix II, with the exception of those listed in Appendix I. Under the Appendix-II listing, there is also an annotation indicating a zero annual export quota for *Centrochelys sulcata "*for specimens removed from the wild and traded for primarily commercial purposes".

A previous proposal to list *M. tornieri* in Appendix I was submitted by Kenya and the United States of America to CoP11 (Gigiri, 2000) and was subsequently withdrawn (see CoP11 Prop. 39). As an alternative, it was agreed that all exports would be suspended except specimens produced from ranching and captive-breeding operations, for which an annual export quota had to be agreed between the Management Authority and the Secretariat. Since 2000, the United Republic of Tanzania has published annual quotas for live F1 specimens with a carapace length of 8 cm or less, with numbers ranging from 342 in 2007 and 940 in 2016 and 2017.

Purpose and impact of the proposal

The proposal seeks to prohibit international commercial trade in specimens of wild origin of *Malacochersus tornieri.* If the proposal is adopted, international commercial trade in specimens of *M. tornieri* of wild origin will be prohibited. International trade in specimens of the species will be regulated in accordance with the provisions of Article III of the Convention.

The proponents indicate that *M. tornieri* has been successfully and widely reproduced in captivity, although the legitimacy of much of this trade is questioned in the supporting statement. The vast majority of captive-bred specimens come from non-range States, which may raise a concern about the origin of the parental breeding stock. If *M. tornieri* were included in Appendix I, breeding operations wishing to commercially export and trade in specimens of this species would need to be registered with the Secretariat in accordance with Resolution Conf. 12.10 (Rev. CoP15) on *Registration of operations that breed Appendix-I animal species in captivity for commercial purposes.*

Compliance with listing criteria

The supporting statement suggests that inclusion of *Malacochersus tornieri* in Appendix I satisfies criteria B i) and iii) and C i) of Annex 1 of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II* on the basis of: a restricted area of distribution; fragmented and decreasing populations; the high vulnerability of the species owing to its late maturity, very low productive rate and specialized niche requirements; and an observed and ongoing marked decline of wild populations as a result of trade, aggravated by habitat degradation.

The species is a small tortoise (carapace length up to about 17.8 cm) that is found in parts of Kenya, the United Republic of Tanzania and Zambia. It is thought to be threatened by extinction in part because of its very rigid habitat requirements, as it only lives in rock crevices of suitable dimensions in small rocky hills (called kopjes) in dry savannah. The supporting statement suggests that much of its range is comprised of discontinuous populations occurring in isolated patches of suitable habitat, such that “the actual suitable micro-habitat constitute only a small proportion of the calculated area of occupancy”. The proponents indicate that the other range States were contacted, but that at the time of writing no responses had been received.

The species is similar to other tortoises belonging to the genus *Malacochersus* in that it is long-lived with a very low reproductive rate. Females in the wild are believed to produce only one clutch per year consisting of one or two large elongated eggs, laid at the onset of the wet season.

The species was last assessed by IUCN as Vulnerable in 1996, but IUCN provides no justification to support the assessment. The proponents indicate that an updated Red List assessment reassigns the species to Critically Endangered on the basis of observed and estimated population reductions of about 80% in the past two generations (30 years) and predicted for the next 15 years (45 years total for three generations). However, this updated assessment is not publicly available yet and no quantitative population data are presented in the supporting statement to support either assessment. However, the levels of decline mentioned are well within the levels provided in the general guidelines in Resolution Conf. 9.24 (Rev. CoP17) that would warrant inclusion of a species in Appendix I.

International trade presents the greatest threat to the species. It is particularly attractive to private collectors and zoos, owing to its peculiar flattened profile and lizard-like behaviour, which distinguish it from other species of tortoise and make it so well adapted for the habitat it lives in. The supporting statement points to a number of reported seizures between 2000 and 2015. Other threats identified include habitat loss and degradation, and predation.

Since the species was first included in the Appendices in 1975, at least 48,342 live animals have been reported as traded internationally in the CITES trade database. Of these, some 25,040 were recorded as captive bred (C), 8,139 were recorded as captive born (F), 1,144 were recorded as ranched (R) and 6,943 were recorded as wild-taken (W). The trade records for an additional 5,372 animals did not indicate a source code; 88 were of unknown source (U); and 322 were reported as seized (I). The figures do not quite make up the total, but they do indicate that the vast majority of the trade is reported to be in captive-bred specimens.

Additional considerations (including relevant CoP recommendations)

Concerns over the volumes of trade led to the species being selected for review at the sixth meeting of the Animals Committee in 1992. The result of this review was a Standing Committee recommendation to suspend trade from the United Republic of Tanzania in April 1993. This was subsequently amended in 1998 to indicate that it does not apply to captive-bred or ranched specimens, for which the annual export quota has to be agreed between the Management Authority and the CITES Secretariat. Exports of wild specimens are banned in the United Republic of Tanzania under national legislation. The supporting statement makes no mention of the impacts of these actions on the conservation of and trade in this species.

At its 70th meeting (SC70, Sochi, October 2018), the Standing Committee agreed to remove the recommendation to suspend trade in *Malacochersus tornieri* from the United Republic of Tanzania, as this country indicated that it had no intention to authorize trade in wild-sourced specimens. The species is legally protected in the United Republic of Tanzania and, according to the supporting statement, there are at least four farms licensed to produce *M. tornieri* in that country. It was noted at SC70 that any future concerns relating to the captive-breeding of this species in the United Republic of Tanzania could be considered in the context of Resolution Conf. 17.7 on *Review of animal specimens reported as produced in captivity*.

Conclusions

Malacochersus tornieri appears to have a restricted area of distribution, with fragmented and decreasing populations, and an observed and ongoing marked decline of wild populations as a result of trade, aggravated by habitat degradation. The species is considered highly vulnerable to both intrinsic and extrinsic factors owing to its late maturity, very low productive rate and specialized niche requirements.

IUCN/TRAFFIC have confirmed that a recent assessment accepted for publication in the March 2019 Red List update categorises *M. tornieri* as Critically Endangered due to observed, estimated and projected population reductions of about 80% over three generations (45 years in total) that will be reached in the next 15 years, which would meet criterion C ii) in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17). The population is believed to be declining: the international pet trade has been identified as the main contributing factor, but habitat degradation and loss, particularly from rock destruction and farming, are also significant threats to the species. The levels of decline mentioned are well within the levels provided in the general guidelines in Resolution Conf. 9.24 (Rev. CoP17) that would warrant inclusion of a species in Appendix I.

Recommendations

Malacochersus tornieri meets the biological criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 1 for its inclusion in Appendix I

The Secretariat recommends that this proposal be **adopted**.

Proposal 38

***Centrolene* spp., *Cochranella* spp., *Hyalinobatrachium* spp. and *Sachatamia* spp. (glass frogs) - Inclusion in Appendix II**

Proponents: Costa Rica, El Salvador and Honduras

Provisional assessment by the Secretariat

CITES background

The four genera of frogs proposed for inclusion in Appendix II belong to the family Centrolenidae (commonly known as glass frogs or centrolenids).

Currently no species of the family Centrolenidae is included in the CITES Appendices.

Glass frogs (family Centrolenidae) represent a particularly complicated group taxonomically, in particular for the four genera of glass frogs covered by the proposal (*Centrolene, Cochranella, Hyalinobatrachium* and *Sachatamia*). According to the nomenclature reference from the American Museum on Natural History (AMNH, 2009)[7], the family Centrolenidae comprises 12 genera and around 120 species. With regard to the four genera of glass frogs covered by the proposal, AMNH (2009) recognizes a total of 61 species, but the supporting statement suggests that these genera consist of a total of 104 species.

Purpose and impact of the proposal

The proposal seeks to list all species of glass frogs of the genera *Centrolene*, *Cochranella*, *Hyalinobatrachium* and *Sachatamia* in Appendix II, in accordance with Article II of the Convention. If the proposal is adopted, international trade in specimens of these four genera of glass frogs will be subject to the provisions of Article IV of the Convention.

According to the supporting statement, this would imply the inclusion of 104 species in Appendix II.

Compliance with listing criteria

The supporting statement suggests that all species of the genera *Centrolene*, *Cochranella*, *Hyalinobatrachium* and *Sachatamia* satisfy the criteria for inclusion in Appendix II, under criteria A and B of Annex 2 a and criterion A of Annex 2b of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*. The annexes to the supporting statement include a breakdown of the list of species that, according to the proponents, fit within each of these criteria.

Glass frogs are distributed throughout the neotropics, from Mexico to the Plurinational State of Bolivia, with an isolated group of species occurring in south-eastern Brazil and north-eastern Argentina (Guayasamin et al., 2009). They are nocturnal and arboreal.

The main known threats to wild populations of the glass frogs concerned are habitat loss and fragmentation, contamination of wetlands, and climate change. Trade, on the other hand, seems to be a developing threat for these taxa, specifically within the exotic pet trade. Although according to the supporting statement, the available IUCN Red List assessments for species from these four genera do not mention trade as a threat[8], the proponents note that these assessments were made around 10 years ago and must be updated to reflect trade statistics by the United States of America and evidence of online trade within the European Union.

The most concrete evidence of international trade is from LEMIS database administered by the United States, which indicates that some of the trade is illegal. The proponents note that the majority of the range States prohibit

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[7] *Guayasamin et. al. 2009. Phylogenetic systematics of Glassfrogs (Amphibia: Centrolenidae) and their sister taxon* Allophryne ruthveni*. Zootaxa 2100: 1-97.*

[8] *At the time of writing, a total of 86 species of these four genera of glass frogs have been assessed under the IUCN Red List assessments, as follows:* Centrolene*, 36 species;* Cochranella*, 17 species;* Hyalinobatrachium*, 29 species; and* Sachatamia*, four species.*

trade in wild specimens of these species. Additionally, the proposal highlights evidence of online trade in Europe, with breeding pairs of glass frogs reaching prices of EUR 110 or higher.

The majority of specimens in international trade are from the wild. There are some records of captive-bred glass frogs from North America. The proponents and available literature point towards the challenges of distinguishing amongst species of these genera, in addition to there being a lack of identification guides useful for non-experts.

Though the main threats faced by these four genera of glass frogs seem to be habitat loss and fragmentation, and climate change, the budding international trade suggests that some of these taxa could potentially meet listing under criterion B of Annex 2a of Resolution Conf. 9.24 (Rev. CoP17). Considering the difficulties of differentiating between species of these genera, it is likely that the some of them could also meet listing criterion A of Annex 2b of Resolution Conf. 9.24 (Rev. CoP17).

Additional considerations (including relevant CoP recommendations)

The supporting statement shows information gaps related to population size, structure, management and monitoring, as well as on national uses of glass frogs.

In addition, consideration should be given to potential implementation issues in view of the number of species of the family Centrolenidae that are not covered by this proposal and that might be difficult to distinguish in trade. Should the proposal be adopted, it would be desirable to develop identification tools to easily distinguish in trade those species of glass frogs listed in the Appendices, from those of the family Centrolenidae that would not be covered by the Convention.

As mentioned above, according to the supporting statement, the four genera of glass frogs proposed for listing in Appendix II cover 104 species (detailed in the Annex). The Secretariat notes that if the proposal is adopted, there will be a need to establish a standard reference for these frogs, by extracting the pertinent sections from the AMNH Amphibian Database[9]. Said database lists Guayasamin *et al.* (2009) as the nomenclature reference for glass frogs, which recognizes that the four genera of glass frogs covered by the proposal comprise 61 species in total: *Centrolene*, 23 species; *Cochranella*, 7 species; *Hyalinobatrachium*, 28 species; and *Sachatamia*, 3 species. The Nomenclature Specialist of the Animals Committee notes that since 2009, further taxonomic splits have been identified. In the absence of an adopted standard nomenclature for glass frogs, the species list in the Annex represents the set of glass frogs that proposal intends to list in Appendix II.

Through an information document, Costa Rica presents further precisions related to the taxonomy at the species level (including known scientific synonyms and common names), an overview of the classification of glass frogs of the four genera concerned that have been assessed under the IUCN Red List of Threatened Species, information on endemic species, and further trade data from the USFWS Lemis database, and examples of glass frogs offered online for sale. Nonetheless, the information contained in that document still reflects inconsistencies regarding the species totals.

Conclusions

The family Centrolenidae (glass frogs) comprises 12 genera, 4 of which are covered by this proposal. In the supporting statement and confirmed by IUCN/TRAFFIC, unregulated international trade seems to be a developing threat for *Centrolene* spp., *Cochranella* spp., *Hyalinobatrachium* spp. and *Sachatamia* spp., noting however that fragmentation and habitat loss, climate change and chytrid fungus are the main known factors threatening their wild populations.

There is little information on the historical and current size of wild populations for most species of *Centrolene* spp., *Cochranella* spp., *Hyalinobatrachium* spp. and *Sachatamia* spp. According to the American Museum of Natural History (AMNH) Amphibian Database, eight genera of glass frogs that would remain outside of CITES regulations may be in trade, but they are not subject to this proposal. They therefore would be excluded from an Appendix-II listing should this proposal be adopted. According to the proponents, it is very difficult to distinguish species and genera in trade. These “look-alike” challenges, coupled by the ongoing taxonomic changes within the family Centrolenidae may pose considerable implementation challenges, as species may be moved between genera and some genera would be outside of the CITES regulations.

[9] http://research.amnh.org/vz/herpetology/amphibia/index.php

It would therefore be advisable for the proponents to gather further trade information to determine if the four genera of glass frogs that are subject to proposal 38 could warrant inclusion in Appendix II, in accordance with Article II, in compliance with criterion A (and possibly B) of Annex 2a, and criterion A of Annex 2b of Resolution Conf. 9.24 (Rev. CoP17).

Recommendations

Centrolene spp.*, Cochranella* spp.*, Hyalinobatrachium* spp.*,* and *Sachatamia* spp. do not seem to meet the criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 2a criterion B for their inclusion in Appendix II in accordance with Article II, paragraph 2 (a) of the Convention.

The Secretariat recommends that this proposal be **rejected**.

Note to Parties and Proponents

The proponents are encouraged to provide a standard nomenclature reference to cover glass frogs, including the four genera in the proposal. Parties may also wish to consider this proposal in the context of document CoP18 Doc. 62.

Proposal 39

***Echinotriton chinhaiensis* (Chinhai spiny newt) and *Echinotriton maxiquadratus* (mountain spiny newt) - Inclusion in Appendix II**

Proponent: China

Provisional assessment by the Secretariat

CITES background

Echinotriton chinhaiensis and *Echinotriton maxiquadratus* are currently not included in the CITES Appendices. This is the first time that a proposal to include them has been submitted for consideration by the Conference of the Parties.

The only other species in the genus is *Echinotriton andersoni*, which is endemic to Japan, where it is only found on islands in the Rynkyu archipelago. This species is also not included in the Appendices and it is not the subject of any proposal to be considered at the 18th meeting of the Conference of the Parties.

Purpose and impact of the proposal

The proposal seeks to include *Echinotriton chinhaiensis and E. maxiquadratus* in Appendix II, in accordance with Article II, paragraph 2 (a), of the Convention. If the proposal is adopted, international trade in specimens of these taxa will be regulated in accordance with the provisions of Article IV of the Convention.

Compliance with listing criteria

The proponent states that *Echinotriton chinhaiensis* and *E. maxiquadratus* satisfy criterion B of Annex 2a of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*, for inclusion of species in Appendix II. The supporting statement further states that "the international trade of these two newts should be monitored to minimize the impact of illegal hunting driven by international pet trade or collection on the survival of these two critically endangered species".

These two species are endemic to China. *E. maxiquadratus* was only discovered only in 2014. Both species are found in a limited number of sites in coastal areas in the east and south-east of mainland China. In the case of *E. chinhaiensis*, its distribution is restricted to the low hills east of Ningbo City in Zhejang Province, where it is found in wetlands, artificial ponds, forests and in surrounding farming areas, covering an area of less than 10 km^2. The proponents point out that this species is now absent from its type location. By comparison, *E. maxiquadratus* has an even more restricted distribution, being found only in low depressions near the top of a mountain in north-east Guangdong Province. The supporting statement indicates that, although located inside a protected nature reserve, the area and quality of its habitat continues to decrease.

Adult newts are mainly terrestrial, nocturnal and very slow moving, which makes them easy to catch. Both species are late-maturing and long-lived (around 20 years). They reproduce once a year and the hatching rate and survival rates of the larvae are low. The females need very particular microhabitat to spawn successfully in the wild. *E. chinhaiensis* females lay 60-70 eggs once a year in grass and fallen leaves on wet slopes, about 20-100 cm above the ponds, and only about 20% of the larvae are thought to reach the breeding ponds. *E. maxiquadratus* females lay fewer eggs (around 42), once a year, on earth with fallen leaves about 30 to 110 cm away from the shallow pools.

The most recent Red List assessment of *E. chinhaiensis* was carried out in 2004, when the species was categorized as Critically Endangered with a decreasing population trend. This assessment was based on its extent of occurrence being less than 100 km^2 and its area of occupancy less than 10 km^2, the fact that all individuals are in a single location, and that there is continuing decline in the extent and quality of its habitat, and in the number of subpopulations. There is no Red List assessment currently available for *E. maxiquadratus* owing to its recent discovery.

The supporting statement states that the population size of *E. chinhaiensis* has been estimated at less than 300 animals, based on capture-recapture surveys during 1997 and 1999. It states that recent surveys have shown that the numbers of nests of eggs over the period 2015 to 2018 have varied, but that it is thought that the

population size “should be stable compared to 20 years ago”. For *E. maxiquadratus,* the proposal states that only six breeding ponds, with about 10 adults and a few larvae, have been found in field surveys from 2011 to 2016.

The main threats appear to be illegal collection, agricultural and forestry industries, pollution, habitat destruction (particularly the reproductive ponds they require) and fragmentation. Both species are also highly susceptible to weather events, including typhoons and droughts.

Both species and their habitats are fully protected nationally. It is not permitted to hunt, kill, buy, sell or use these animals or their products in China. The supporting statement describes the efforts being made to monitor and protect both species, including the creation of artificial breeding ponds and *ex-situ* breeding programmes for *E. chinhaiensis,* and a number of releases back into the wild.

Additional considerations (including relevant CoP recommendations)

The supporting statement points out that *E. chinhaiensis* was originally described as *Tylototriton chinhaiensis* when the species was first discovered in 1932, and no live animals were found again until 50 years later, when it was subsequently named *Echinotriton chinhaiensis*. This would suggest that there may be a concern about similarity of appearance species of the genus *Tylototriton,* but this is not mentioned in the supporting statement. Section 3.4 does mention that “*Echinotriton* can be differentiated from members of *Tylototriton* by having sharp-tipped ribs that penetrate the enlarged dorsolateral warts (do not penetrate in *Tylototriton*) and relatively large eggs deposited on land (eggs deposited in water in *Tylototriton*)”. A proposal to include the species of the genus *Tylototriton* in Appendix II will be considered at the present meeting (see Proposal 41).

The supporting statement suggests that the species of *Echinotriton* that is not included in the proposal, *E. andersoni*, can be distinguished by two longitudinal rows of warts on each side of its back, the inner row being small and sparse.

Conclusions

It appears that *Echinotriton chinhaiensis* and *E. maxiquadratus*, both endemic to China, are critically endangered species that have extremely limited distributions, low population sizes and highly fragmented habitats. They may actually meet the biological criteria for their inclusion in Appendix I, because of their intrinsic vulnerability, being two species of slow growth, late maturity, limited annual reproductive output and high mortality of eggs and juveniles.

The population size of *E. chinhaiensis* has been estimated at less than 300 animals, based on capture-recapture surveys in 1997 and 1999, while *E. maxiquadratus* is thought to be restricted to only six breeding ponds, with about 10 adults and a few larvae found in field surveys from 2011 to 2016. Both species are fully nationally protected, and although there is no strong evidence that international trade is a major threat, due to their rarity, they are likely to be in demand and any unregulated international trade could potentially have significant conservation impacts.

Recommendations

Echinotriton chinhaiensis and *E. maxiquadratus* meet the criteria in Resolution Conf. 9.24 (Rev. CoP17), Annex 2a criterion A for their inclusion in Appendix II in accordance with Article II, paragraph 2 (a) of the Convention.

The Secretariat recommends that this proposal be **adopted**.

Proposal 40

***Paramesotriton* spp. (Asian warty newts) - Inclusion in Appendix II**

Proponents: China and European Union

Provisional assessment by the Secretariat

CITES background

This is the first time there has been a proposal to include the genus *Paramesotriton* in the CITES Appendices.

One species within the genus, *Paramesotriton hongkongensis*, was included on CITES Appendix II at CoP17. The proposal to include that species (proposal 41) indicated that there were 13 species within the genus, while the current proposal indicates that there are 14 species.

Purpose and impact of the proposal

The proposal seeks to include *Paramesotriton* spp. in Appendix II, in accordance with Article II of the Convention. If the proposal is adopted, international trade in specimens of these taxa will be regulated in accordance with the provisions of Article IV of the Convention.

If the proposal is adopted, *P. hongkongensis*, which is currently included in Appendix II, would be covered under the higher taxon listing, in accordance with Annex 3 of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II.*

Compliance with listing criteria

The supporting statement states that inclusion of *Paramesotriton caudopunctatus, P. fuzhongensis* and *P. guangxiensis* in Appendix II satisfies criterion A of Annex 2a of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*.

It further states that inclusion of *P. labiatus* and *P. yunwuensis* in Appendix II satisfies criterion B of Annex 2a.

The supporting statement also refers to several additional species (*P. aurantius, P. maolanensis* and *P. zhijinensis*) which it states are commercially exploited and eligible to be listed in Appendix II, but it is not clear which criterion they would satisfy for inclusion. They appear to be proposed under criterion A of Annex 2b of Resolution Conf. 9.24 (Rev. CoP17), along with the remaining species in the genus (*P. chinensis, P. deloustali, P. longliensis, P. qixilingensis* and *P. wulingensis*).

The proposal claims that all species in the genus are endemic to China, with the exception of *P. deloustai,* which is endemic to Viet Nam and *P. guangxiensis*, which is found in China and Viet Nam. It indicates that consultations were not applicable in this case, but as Viet Nam is also a range State for two species, it should have been consulted on the proposal.

Paramesotriton are relatively large and robust newts (13 to 20 cm in length) that are found in tropical or subtropical moist lowland or evergreen forests and associated grasslands below the elevation of 2,000 m. Adults are mostly aquatic (or in some cases exclusively aquatic) and are usually associated with small rocky streams, with low gradient and clear basins or deep pools. Juveniles are terrestrial and live in the near vicinities of these streams. The supporting statement claims that different species generally have small distribution ranges and in some cases are only known from the type locality (see Annex II). In addition, they take a few years to reach sexual maturity (average three to seven years, even up to 10 years in some specimens according to private breeders), which makes the populations especially vulnerable to the removal of individuals. However, it appears that little is known about the population sizes or the species' ecology in natural populations.

The supporting statement indicates that only six of the species have been evaluated by IUCN as part of its Red List assessment and that three species were assigned categories of Near Threatened to Endangered, however most of these assessments were carried out in 2004 and since then the number of described species in the genus has doubled. Consequently, these assessments need updating. The assessments are summarized in table 2 of Annex 1, but no further details on the assessments are provided in the proposal. The relevant IUCN assessments are summarized below:

- *P. caudopunctatus – NT with a decreasing population trend* (2004). Listed as Near Threatened because its Extent of Occurrence is probably not much greater than 20,000 km2, and the extent and quality of its habitat are probably declining, thus making the species close to qualifying for Vulnerable.

- *P. chinensis – LC with a decreasing population trend (2004).* Listed as Least Concern in view of its wide distribution, presumed large population, and because it is unlikely to be declining fast enough to qualify for listing in a more threatened category.

- *P. deloustali – LC with a decreasing population trend* (2017). Listed as Least Concern as this species is relatively widespread, with an extent of occurrence of 80,578 km^2.

- *P. fuzhongensis – VU with a decreasing population trend* (2004). Listed as Vulnerable, in view of its extent of occurrence of less than 20,000 km2, with all individuals in fewer than ten locations, and a continuing decline in the extent and quality of its habitat and in the number of mature individuals.

- *P. guangxiensis – EN with a decreasing population trend* (2004). Listed as Endangered as this species has an extent of occurrence of less than 5,000 km2 and area of occupancy of less than 500 km2, with all individuals in fewer than ten locations, and a continuing decline in the extent and quality of its habitat.

- *P. labiatus* (assessed as *Pachytriton labiatus*) – *LC with a decreasing population trend* (2004). Listed as Least Concern in view of its wide distribution, presumed large population, and because it is unlikely to be declining fast enough to qualify for listing in a more threatened category.

The only other species of *Paramesotriton* that has been assessed is *P. hongkongensis*, which was assessed in 2004 as Near Threatened with a decreasing population trend. The species was listed as Near Threatened because its extent of occurrence is probably not much greater than 20,000 km^2, the extent and quality of its habitat are probably declining, and the species might be in decline because it is being collected for the pet trade, thus making the species close to qualifying for Vulnerable. This species is already included in Appendix II.

The main threats to wild populations are identified as habitat loss (e.g. logging, infrastructure development, dam construction) and overexploitation for the pet trade, food and traditional medicine. According to the CITES trade database, a total of 1,771 individuals identified as *P. chinensis* (62%), *P. labiatus* (37%) and *P. hongkongensis* (1%) were recorded between 2009 and 2016. Captive bred specimens were reported as exported from Singapore.

The most commonly recorded species in trade according to CITES trade database and the LEMIS database of the United States Fish and Wildlife Service appear to be *P. chinensis, P. caudopunctatus, P. fuzhongensis, P. guangxiensis*, and *P. labiatus.* Annex IV of the proposal presents additional information on the supply and demand for *Paramesotriton* species, based on a market analysis in non-range States of internet platforms since 2008. Notably the analysis suggests that there has been an interest in the genus since 2008, and that in 2015 and 2017 the demand for live specimens of *Paramesotriton* species was higher than the level of supply. The most commonly advertised species, descending order of frequency were *P. caudopunctatus, P. chinensis, P. deloustali, P. fuzhongensis, P. guangxiensis, P. labiatus* and *P. longliensis*.

Additional considerations (including relevant CoP recommendations)

The taxonomic classification of the genus *Paramesotriton* appears to be complicated and in need of review and updating. For example, the supporting statement states that *P. chinensis* was assessed as Least Concern by IUCN in 2004 from Chongqing, Hunan, Anhui, Zhejiang, Fujian, Guangdong and Guangxi provinces, based on its wide distribution and presumed large population size. However, since then, the population from Guangdong Province has been described as *P. yunwuensis* (Wu et al. 2010), while the populations from Guangxi are now known as *P. fuzhongensis* and *P. labiatus* (Wu et al. 2009, Wu et al. 2010). However, the supporting statements claims that the population from Chongqing Province is likely to be *P. longliensis* instead. In addition, the new population from Jiangxi Province was described as *P. qixilingensis* (Yuan et al. 2014). The proponents suggest that new species have entered the pet trade before they have been scientifically described.

It is noted that the proponents have not proposed a standard nomenclatural reference, but it appears that the following reference which is proposed for adoption at CoP18 under the nomenclature agenda item (see document CoP18 Doc. 99 Annex 6) would also be appropriate for the entire genus.

Species information extracted from FROST, D. R. (ed.) (2017), Amphibian Species of the World: a taxonomic and geographic reference, an online reference (http://research.amnh.org/herpetology/amphibia/index.html), Version 6.0, accessed 12 May 2017.

Not all *Paramesotriton* species are nationally protected, but both the European Union and the United States of America have introduced measures to regulate or limit the introduction of such species in order to prevent the spread of the fungus *Bsal* to their native populations of salamanders.

Conclusions

There is limited information on the population status and distribution of individual species within the genus *Paramesotriton*. Evidence suggests that a number of species have a relatively restricted distribution, and that there is international demand for various species in the pet trade. There may also be difficulties in distinguishing species of the genus, particularly when they are traded in their dried state for traditional medicine.

IUCN/TRAFFIC reported that the main species recorded in trade (based on data from the European Union and the United States of America), apart from *Paramesotriton hongkongensis*, were predominantly *P. labiatus* and *P. chinensis*, with lesser numbers of *P. fuzhongensis, P. guangxiensis* and *P. zhijinensis*.

It is difficult to determine which species of the genus *Paramesotriton* might satisfy the criteria A or B of Annex 2a of Resolution Conf. 9.24 (Rev. CoP17) for inclusion in Appendix II.

Considering the difficulties in differentiating species of *Paramesotriton*, including *P. hongkongensis*, which is currently included in Appendix II, all species satisfy criterion A of Annex 2 b) of Resolution Conf. 9.24 (Rev. CoP17). It also appears that some of the species (e.g. *P. maolanensis* and *P. zhijinensis*) may even meet the biological criteria for their inclusion in Appendix I.

Recommendations

Paramesotriton spp. meets the criteria in Resolution Conf. 9.24 (Rev. CoP17), Annex 2b criterion A for its inclusion in Appendix II in accordance with Article II, paragraph 2 (a) of the Convention.

The Secretariat recommends that this proposal be **adopted**.

Proposal 41

***Tylototriton* spp. (crocodile newts) - Inclusion in Appendix II**

Proponents: China and European Union

Provisional assessment by the Secretariat

CITES background

No species of the genus *Tylototriton* is currently included in the CITES Appendices and this is the first time that a proposal to include these species has been submitted for consideration by the Conference of the Parties.

Purpose and impact of the proposal

The proposal seeks to include *Tylototriton* spp. in Appendix II, in accordance with Article II of the Convention. If the proposal is adopted, international trade in specimens of these taxa will be regulated in accordance with the provisions of Article IV of the Convention.

Compliance with listing criteria

The supporting statement states that inclusion of 14 species (*Tylototriton asperrimus, T. hainanensis, T. himalayanus, T. kweichowensis, T. ngarsuensis, T. panhai, T. shanjing, T. shanorum, T. taliangensis, T. verrucosus, T. vietnamensis, T. wenxianensis, T. yangi* and *T. ziegleri)* in Appendix II satisfies criterion A of Annex 2a of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*.

It further states that inclusion of *T. anguliceps, T. notialis* and *T. podichthys* in Appendix II satisfies criterion B of Annex 2a.

Finally, the supporting statement indicates that all remaining species in the genus (*T. anhuiensis, T. broadoridgus T. dabienicus, T. liuyangensis, T. lizhenchangi, T. pseudoverrucosus, T. pulcherrimus* and *T. uyenoi.)* satisfy criterion A of Annex 2b of Resolution Conf. 9.24 (Rev. CoP17).

The supporting statement is complex because the number of species concerned, the various criteria being applied and the generic nature of much of the description of the species.

Crocodile newts are said to be restricted to mountain ranges in tropical and subtropical dry and moist broadleaf forests and temperate broadleaf forests between 181m and 2,679m elevation. The range States for this genus are Bhutan, China, India, the Lao People's Democratic Republic, Myanmar, Nepal, Thailand and Viet Nam, and 20 of the species concerned are considered endemics, as indicated in Section 1.5 of the supporting statement. It indicates that consultations have taken place with the other range States and, although it says that no objections were received, it does not indicate which range States provided responses.

The supporting statement suggests that adult newts are mainly terrestrial, except in the breeding season, when large numbers accumulate at aquatic breeding sites. However, some species show behaviour that is semi-aquatic (*T. uyenoi, T. himalayanus*) or aquatic (e.g. *T. shanorum*). Depending on the species, gravid females lay either small aquatic or large terrestrial eggs near to water. Clutches usually consist of fewer than 100 eggs, which have only a 10% to 50% chance of developing into larvae. No information is provided on the life span, but species generally reach sexual maturity after three to five years.

The supporting statement indicates that only half of the species have been evaluated by IUCN as part of its Red List assessment and that 10 species were assigned categories of Near Threatened to Endangered. The assessments are summarized in the table in Annex 1, but no further details on the assessments are provided in the proposal. The relevant assessments are summarized below:

- *T. anguliceps – LC with a decreasing population trend* (2016). Listed as of Least Concern as this species is widespread, with an estimated extent of occurrence of 110,738 km^2.

- *T. asperrimus - NT with a decreasing population trend (2008).* Listed as Near Threatened because this species is in significant decline (but at a rate of less than 30% over 10 years) because it is being

over-harvested and is suffering from habitat loss and degradation, making the species close to qualifying as 'Vulnerable'.

- *T. hainanensis – EN with a decreasing population trend* (2008). Listed as Endangered because its extent of occurrence is less than 5,000 km^2 and its area of occupancy is probably less than 500 km^2, with all individuals in fewer than five locations, and the extent of its habitat is probably declining.

- *T. kweichowensis – VU with a decreasing population trend* (2004). Listed as Vulnerable because its area of occupancy is less than 2,000 km^2, its distribution is severely fragmented, and there is a continuing decline in the extent and quality of its habitat and in the number of mature individuals.

- *T. notialis – VN with a decreasing population trend* (2014). Listed as Vulnerable as this species has an extent of occurrence of only 5,944 km², occurs in only two threat-defined locations, and the extent and quality of its habitat are in decline.

- *T. podichthys – LC with a decreasing population trend* (2016). Listed as of Least Concern as this species is relatively widespread, with an estimated extent of occurrence of 39,420 km^2.

- *T. shanjing – NT with a decreasing population trend (2004).* Listed as Near Threatened because it is in significant decline (but at a rate of less than 30% over 10 years) because it is being over-harvested and is suffering from habitat loss and degradation, making the species close to qualifying as 'Vulnerable'.

- *T. shanorum – VU with a decreasing population trend* (2017). Listed as Vulnerable as this species has only three threat-defined locations, its estimated extent of occurrence is only 11,058 km^2, and there is a decline in the extent and quality of parts its habitat.

- *T. verrucosus – LC population trend unknown* (2004). Listed as of Least Concern in view of its wide distribution, tolerance of a broad range of habitats, presumed large population, and because it is unlikely to be declining sufficiently to qualify for listing in a category reflecting a greater threat.

- *T. vietnamensis – EN with a decreasing population trend* (2016). Listed as Endangered as this species has only two threat-defined locations, its estimated extent of occurrence is only 1,345 km^2, and there is a decline in the extent and quality of parts its habitat.

- *T. wenxianensis – VU with a decreasing population trend (2004).* Listed as Vulnerable because its area of occupancy is less than 2,000 km^2, it is known from only four locations, and there is a continuing decline in the extent and quality of its habitat.

- *T. ziegleri – VU with a decreasing population trend* (2015). Listed as Vulnerable because this species has an extent of occurrence of only 16,218 km^2, it is known from a single location, and there is an ongoing decline in the quality of its habitat.

Annex 4 of the proposal presents additional information on the supply and demand for *Tylototriton* species, based on a market analysis in non-range States of internet platforms since 2003. Notably the analysis suggests that there has been an interest in the genus since 2005, and that the demand for live specimens of *Tylototriton* species has been increasing since 2014, with the demand in 2017 appearing to be twice the level of supply. The most commonly advertised species, in descending order of frequency, were *T. yangi, T. verrucosus, T. shanorum, T. shanjing, T. kweichowensis* and *T. asperrimus*.

A review of Asiatic species of salamanders and newts being imported into the European Union between 2005 and 2014[10] revealed that the most commonly imported species of *Tylototriton* were *T. asperrimus* (317 individuals), *T. kweichowensis* (550) and *T. verrucosus* (200).

[10] *UNEP-WCMC. 2016. Review of the risk posed by importing Asiatic species of Caudate amphibians (salamanders and newts) into the EU. UNEP-WCMC, Cambridge.*

Additional considerations (including relevant CoP recommendations)

The supporting statement indicates that there may be difficulties in distinguishing species of the genus *Tylototriton* from species in the genus *Echinotriton.* There is a proposal to include *Echinotriton chinhaiensis* and *E. maxiquadratus* in CITES Appendix II under consideration at the present meeting (see Proposal 41).

The taxonomic classification of the genus *Tylototriton* appears to be complicated, and a number of species have been described only recently. In Annex 4, section 2, of the supporting statement, the proponents suggest that new species have entered the pet trade before they have been scientifically described. They also point out that the description of newly described species can be complicated and most newly described species have been differentiated on the basis of mitochondrial DNA sequence divergence, coloration in life, or size and morphometric differences, and that identification of some of these variations requires high technology (e.g. X-ray microtomography of the skull morphology). There is also high morphological conservatism within the genus and phenotypic variation within the same species is also common.

The supporting statement states that there are currently 25 species in the genus. It is phylogenetically divided into either: two subgenera, *Tylototriton* and *Yaotriton;* or two groups, the *T. verrucosus* (*Tylototriton*) group and the *T. asperrimus* (*Yaotriton*) group. However, the proposal covers the entire genus and therefore, should this proposal be adopted, any newly described species would automatically be included in the Appendix II listing.

It is noted that the proponents have not proposed a standard nomenclatural reference, but they have indicated a number of references in section 1.4 that could be considered for adoption.

Conclusions

There is limited information on the population status and distribution of individual species within the genus *Tylototriton*. Evidence suggests that a number of species have a relatively restricted distribution and that there is international demand for various species in the pet trade.

IUCN/TRAFFIC provided some additional information on the levels of trade in *Tylototriton* species, reporting that imports of live *Tylototriton* into the USA between 2007-2013 totaled 9,701 individuals (52% recorded as *T. verrucosus*; 21% as *T. kweichowensis*; and 18% as *Tylototriton* spp.). Reported imports of live Tylototriton into the EU between 2009-2017 totaled 1,555 specimens (55% *T. kweichowensis* and 36% *T. asperrimus*) The IUCN/TRAFFIC analysis also provides some additional information on some species that are found in international trade, including *T. asperrimus, T. hainensis, T. kweichowensis, T. lizhenchangi, T. shanjing, T. shanorum, T. verrucosus, T. vietnamensis, T. wenxianensis, T. yangi* and *T. ziegleri*, some of which are considered to be threatened.

On the basis of the information in the supporting statement and the IUCN/TRAFFIC analysis, it appears that at least some of the species of the genus *Tylototriton* (e.g. *T. asperrimus, T. hainanensis, T. kweichowensis, T. shanjing, T. shanorum, T. verrucosus, T. vietnamensis, T. yangi* and *T. ziegleri*) may qualify for inclusion in Appendix II in accordance with criterion A of Annex 2a of Resolution Conf. 9.24 (Rev. CoP17). Some species may even meet the biological criteria for their inclusion in Appendix I (e.g. *T. lizhenchangi, T. wenxianensis* and *T. yangi*) on the basis of restricted ranges and/or small wild populations that are declining.

Considering the difficulties in identifying individual species of *Tylototriton*, all other species may satisfy criterion A of Annex 2 b) of Resolution Conf. 9.24 (Rev. CoP17).

Recommendations

Tylototriton spp. meets the criteria in Resolution Conf. 9.24 (Rev. CoP17), Annex 2a criterion A or Annex 2b criterion A for its inclusion in Appendix II in accordance with Article II, paragraph 2 (a) of the Convention.

The Secretariat recommends that this proposal be **adopted**.

Proposal 42

***Isurus oxyrinchus* and *Isurus paucus* (mako sharks) - Inclusion in Appendix II**

Proponents: Bangladesh, Benin, Bhutan, Brazil, Burkina Faso, Cabo Verde, Chad, Côte d'Ivoire, Dominican Republic, Egypt, European Union, Gabon, Gambia, Jordan, Lebanon, Liberia, Maldives, Mali, Mexico, Nepal, Niger, Nigeria, Palau, Samoa, Senegal, Sri Lanka, Sudan and Togo

Provisional assessment by the Secretariat

CITES background

Isurus oxyrinchus and *Isurus paucus* are not currently included in the CITES Appendices and had not been proposed for listing before.

Purpose and impact of the proposal

The proposal seeks to include *Isurus oxyrinchus* in Appendix II, in accordance with Article II, paragraph 2(a) and *Isurus paucus* in accordance with Article II, paragraph 2(b) of the Convention. If the proposal is adopted, international trade in specimens of these taxa will be regulated in accordance with the provisions of Article IV of the Convention.

Compliance with listing criteria

The supporting statement suggests that *Isurus oxyrinchus* qualifies for inclusion in Appendix II under criterion B of Annex 2a of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II* and that if the species were to be included in Appendix II, *Isurus paucus* would qualify to be included under criterion A of Annex 2b of Resolution Conf. 9.24 (Rev. CoP17).

As stated in Annex 2a of Resolution 9.24 (Rev. CoP17) the criteria should be read in conjunction with the definitions, explanations and guidelines in Annex 5, including the footnote with respect to application of the definition of 'decline' for commercially exploited aquatic species. That footnote suggests that for a commercially exploited marine species a population decline to 5-20% of the baseline would warrant inclusion on Appendix I, depending on its productivity, and a decline to a range of between 5 % and 10 % above that, e.g. 10-30%, would fulfil criterion A in Annex 2a of Resolution 9.24 (Rev. CoP17) for inclusion of a species in Appendix II. When considering these percentages, account needs to be taken of taxon-and case-specific biological and other factors that are likely to affect extinction risk.

According to the information in the supporting statement, *Isurus oxyrinchus* has low productivity, which means that according to the guidance referred to above, a decline of the population to 30% of the baseline would mean that a species meets criterion A in Annex 2a for inclusion in Appendix II.

Isurus oxyrinchus is a highly migratory pelagic shark occurring circumglobally from temperate to tropical waters and diving up to 500m depth. There is no strong evidence for population structuring. According to the supporting statement, it was challenging to assess declines, in particular long-term historic rate of decline, against a baseline, as data collection only started several decades after the start of pelagic fisheries. The authors provide an estimate of historic decline of 60% (1950-2015) and a range of recent declines for the North Atlantic, 80% over the last three generation periods for the Mediterranean, and 80% historic decline combined with 50% (1990-2003) and 69% (1996-2009) recent decline for the Northern Pacific. A regional IUCN Red List assessment has classified the Mediterranean population of *Isurus oxyrinchus* as critically endangered. Both the General Fisheries Commission for the Mediterranean and the Barcelona Convention prohibit take of the species. There is also an indicator analysis available for the Northern Pacific that estimates the population to be relatively stable (2000-2010). For the South Atlantic Ocean, Indian Ocean and South Pacific Ocean no quantitative estimates are provided. The proponents note that reported catches have declined by 30% in the Pacific Ocean from 2011 to 2016 and increased in the Indian Ocean.

No estimate of the overall status or decline is available for the species, and the information contained in the supporting statement suggests that both status and trend vary between regions.

The supporting statement reports that *Isurus oxyrinchus* are susceptible to catch in pelagic longlines, as target or opportunistic bycatch. With regards to taxon-and case-specific biological and other factors that are likely to

affect extinction risk, they have been identified as among the most vulnerable sharks from overfishing in Ecological Risk Assessments for the Atlantic (2nd most vulnerable) and Indian Ocean (Most vulnerable). Their wide distribution and lack of population structuring on the other hand may be seen to decrease risk.

Isurus oxyrinchus and *I. paucus* are targeted for both their meat, which is considered to be of high quality and value, and their fins, that have a distinct trade category in the Hong Kong Market and which are among the most common fins on the market, but with declining market share between 2000-2015.

Both meat and fins of *Isurus s*pp. are the specimens most likely to enter international trade. According to the supporting statement, the fins are easily identifiable by visual inspection to genus, but not species level, making it therefore necessary to include both species of the genus on Appendix-II based on look-alike grounds.

Additional considerations (including relevant CoP recommendations)

There is no adopted standard nomenclature reference that would cover the taxon and no standard nomenclature reference is proposed in the supporting statement.

Isurus oxyrinchus is listed on Annex 1 of the UN Convention on Law of the Sea (UNCLOS), Annex 2 of the Convention on Migratory Species (CMS) and on the Annex of the CMS Sharks Memorandum of Understanding.

Pursuant to Article XV, 2 b), the Secretariat has consulted intergovernmental bodies with a role in fisheries management, including the Food and Agriculture Organization of the United Nations (FAO), with a view to obtaining scientific data these bodies may be able to provide and to ensure co-ordination with any conservation measures enforced by such bodies. In line with the 2006 Memorandum of Understanding between CITES and FAO, FAO has convened an Expert Panel to review CITES marine species listings proposals.

Comments from Parties

Sierra Leone reiterated its support for the proposal as a co-sponsor and highlighted in particular look-alike issues between the two species, its assessment of failures of the current management regime for the species and benefits that would arise from listing the two species on Appendix II of the Convention.

Comments from statutory consultees

The **FAO** Expert Panel concluded that the available data do not provide evidence that *Isurus oxyrinchus* meets the CITES Appendix-II listing criteria.

The Secretariat of the Convention on Migratory Species (**CMS**) informed that Mako (*Isurus oxyrinchu*s) and Longfin Mako (*Isurus paucus*) were listed in CMS Appendix II in 2008, and in Annex 1 of the Sharks Memorandum of Understanding (MoU) in 2010.

The Secretariat of the Inter American Tropical Tuna Commission (**IATTC**) shared the first full stock assessment of *Isurus oxyrinchus* for the North Pacific Ocean, conducted in 2018. The stock assessment concluded that the North Pacific stock is likely not in an overfished condition and overfishing is likely not occurring, while highlighting high uncertainties about fishery data and key biological processes.

The Secretariat of the Indian Ocean Tuna Commission (**IOTC**) shared the IOTC Scientific Committee's executive summary on the status of *Isurus oxyrinchus* for the Indian Ocean. There is no quantitative stock assessment currently available for *Isurus oxyrinchus* in the Indian Ocean therefore the stock status is unknown. The IOTC also highlighted the high vulnerability of the species identified through a risk assessment analysis.

The Secretariats of the International Council for the Exploration of the Sea (**ICES**), the North Pacific Anadromous Fish Commission (**NPAFC**) and the South Pacific Regional Fisheries Management Organisation (**SPRFMO**) informed that they hold small datasets on predominantly *Isurus oxyrinchus*, and sometimes *Isurus paucus*, within their areas of competence.

Conclusions

Summary and review of available information

The Secretariat notes that updated IUCN Red List assessments of the status of *Isurus oxyrinchus* and *I. paucus* have been published since the submission of the proposal. Both species have been categorised as Endangered. These assessments, as well as some of the responses by statutory consultees, contain new and additional information to that in the supporting statement. All of that information was available to the FAO Expert Panel, because IUCN had shared an advance copy of the updated IUCN Red List Assessment. The FAO Expert Panel further conducted its own analyses, where required, based on datasets available. For parts of the range of the species, multiple datasets were available with partially conflicting trends. The FAO Expert Panel assigned reliability scores to all datasets which the Secretariat is taking into account for its conclusion.

All information available confirms that *Isurus oxyrinchus* has low productivity and is among the most vulnerable species for bycatch for long-line and purse-seine gear.

While population structures remain uncertain, most studies and applicable management measures are organized in line with the jurisdictional boundaries of the relevant regional scientific and management agencies. This makes it useful to look at population status and trends on a regional basis. Pursuant to the guidelines for the application of the listing criteria for commercially exploited marine species in Annex 5 of Resolution Conf. 9.24 (Rev. CoP17) and as in the original supporting statement, the historical extent of decline and the recent rate of decline should be considered in conjunction with one another. The Secretariat notes that data to assess the historical rate of decline from virgin biomass was not always available, and that the FAO Expert Panel judged that, where no abundance index was available, it considered that more simplistic forms of retroactive extrapolation of trends were not defensible. The following table presents summaries of the population trends for different ocean regions based on the datasets identified as most scientificically sound and reliable:

Region	**Summary of information on populations of *Isurus oxyrinchus***
North Atlantic	• Population has declined to about 50% of historic levels • May be at risk of declining to below 30% of baseline biomass in the next few decades if catches are not decreased well below current levels
South Atlantic	• No direct evidence that the population is depleted below 30% • Population may be overfished and may experience overfishing • The analysis showing steep population declines of 99%, referenced in the updated IUCN Red List Assessment, is considered to be methodologically flawed by the FAO Expert Panel
Mediterranean	• Species' abundance in the Mediterranean has decreased • FAO Expert Panel considered the two datasets referenced in the supporting statement too unreliable to assess the extent of decline
Indian Ocean	• Considerable uncertainty exists on aspects of data available, and no formal stock assessment has been conducted • Catch Per Unit Effort (CPUE) series analyzed by the FAO Expert Panel suggest varying or declining trends until 2003 or 2004, and a subsequent increase • The preliminary study referenced in the supporting statement to substantiate population declines in the Indian Ocean, according to its own authors and the FAO Expert Panel, has too much uncertainty to derive management advice from it
North Pacific	• North Pacific shortfin mako assessment (ISC, 2018) provides the best available assessment of trends and supersedes previous datasets • According to the FAO Expert Panel, the assessment's best estimate of depletion to 58% of its baseline represents the historical extent of decline • According to the FAO Expert Panel, the population was currently slightly increasing • Analysis of other datasets from the North Pacific yield similar conclusions
South Pacific	• No stock assessment for shortfin mako exists and therefore catch rate indicators provide the best available information to estimate the extent of any stock decline

	• Re-analysing the longer of the two datasets referenced in the supporting statement, to address some methodological shortcomings, the FAO Expert Panel found that the time series 1996-2013 showed an increasing trend of 1.3 percent per annum, with the most recent and reliable ten years (2004-2013, i.e. 2014 excluded) an increasing trend of 2.2 percent per annum

Considering the summaries by region above, the Secretariat considers that, with the possible but uncertain exception of the Mediterranean, the population of *Isurus oxyrinchus* does not seem to have declined below the 30% threshold in different ocean regions, and that the populations of the Indian Ocean, North Pacific and South Pacific seem to be stable or slightly increasing, meaning that it is currently not projected that declines will continue. The guidelines for the application of the listing criteria for commercially exploited marine species in Annex 5 of Resolution Conf. 9.24 (Rev. CoP17) state that in most cases, listing would only be considered if declines were projected to continue. The only ocean region where decline is projected to continue and where *Isurus oxyrinchus* may likely decline below 30% of its historical biomass over the next few decades, is in the North Atlantic, which makes up 14.5% of the total range of the species.

The reportedly high vulnerability to a wide variety of fishing gear, in particular long lines and purse seines, may be seen as additional taxon- and case-specific risk factors, but it is important to note that all tuna regional fisheries management organizations have adopted some management measures, ranging from prohibitions of finning and encouraging the live release of sharks (in non-targeting fisheries) to reduce fishing mortality, as well as the mandatory collection and submission of data for these species. The International Commission for the Conservation of Atlantic Tunas in the North Atlantic has adopted management measures for mako shark specifically because the stock is currently declining as a result of excessive fishing mortality and plans to conduct a future assessment of the *Isurus oxyrinchus* stock in its area of competence to produce improved advice. Population estimates for the North Atlantic and North Pacific alone indicate current numbers of about 1 million and 8 million individuals respectively.

Conclusion

Based on the information summarised above, the Secretariat concludes that for the global population of *Isurus oxyrinchus*, there is no evidence to currently assume that "regulation of trade in the species is required to ensure that the harvest of specimens from the wild is not reducing the wild population to a level at which its survival might be threatened by continued harvesting or other influences" (Criterion B of Annex 2A of Resolution Conf. 9.24 (Rev. CoP17).

All available information confirms that if *Isurus oxyrinchus* were listed on Appendix II, the similarities of the fins would make it necessary to also include *Isurus paucus* in Appendix II based on look-alike grounds pursuant to Annex 2b of Resolution Conf. 9.24 (Rev. CoP17).

Recommendations

Isurus oxyrinchus does not meet the criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 2a for its inclusion in Appendix II in accordance with Article II, paragraph 2 (a) or 2 (b) of the Convention. Consequently, *I. paucus* should not be included for look-alike reasons under Annex 2b, criterion A of Resolution Conf. 9.24 (Rev. CoP17).

The Secretariat recommends that this proposal be **rejected**.

Proposal 43

***Glaucostegus* spp. (giant guitarfishes) - Inclusion in CITES Appendix II**

Proponents: Bangladesh, Benin, Bhutan, Brazil, Burkina Faso, Cabo Verde, Chad, Côte d'Ivoire, Egypt, European Union, Gabon, Gambia, Maldives, Mali, Mauritania, Monaco, Nepal, Niger, Nigeria, Palau, Senegal, Sierra Leone, Sri Lanka, Syrian Arab Republic, Togo and Ukraine

Provisional assessment by the Secretariat

CITES background

No species of *Glaucostegus* spp. is currently included in the CITES Appendices.

Purpose and impact of the proposal

The proposal seeks to include *Glaucostegus cemiculus* and *Glaucostegus granulatus* in Appendix II, in accordance with Article II, paragraph 2(a), of the Convention and all other species of *Glaucostegus* in Appendix II in accordance with Article II, paragraph 2(b) of the Convention.

The proposal is ambiguous about whether the intention is to list the family Glaucostegidae, or only the species of the one extant genus *Glaucostegus* spp. While this does not affect which species would be covered by the Convention if the proposal is adopted, it may make a difference in determining the original scope of the proposal in case of future changes to the taxonomy.

If the proposal is adopted, international trade in specimens of these taxa will be regulated in accordance with the provisions of Article IV of the Convention.

Compliance with listing criteria

The supporting statement suggests that *Glaucostegus cemiculus* and *Glaucostegus granulatus* qualify for inclusion on Appendix II under criterion A and B of Annex 2a of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II* and that, if these two species were included in Appendix II, the other four species in the genus *Glaucostegus (G. halavi, G. obtusus, G. thouin, G. typus)* would qualify to be included under criterion A of Annex 2b of Resolution Conf. 9.24 (Rev. CoP17).

As stated in Annex 2a of Resolution Conf. 9.24 (Rev. CoP17) the criteria should be read in conjunction with the definitions, explanations and guidelines in Annex 5, including the footnote with respect to application of the definition of 'decline' for commercially exploited aquatic species. That footnote suggests that for a commercially exploited marine species a population decline to 5-20% of the baseline would warrant inclusion in Appendix I, depending on its productivity, and a decline to a range of between 5 % and 10 % above that, e.g. 10-30%, would fulfil criterion A in Annex 2a of Resolution Conf. 9.24 (Rev. CoP17) for inclusion of a species in Appendix II. When considering these percentages, account needs to be taken of taxon-and case-specific biological and other factors that are likely to affect extinction risk.

According to the information in the supporting statement, *Glaucostegus cemiculus* and *G. granulatus* have low productivity, which means that according to the guidance referred to above, a decline of the population to 30% of the baseline would mean that a species meets criterion A in Annex 2a for inclusion in Appendix II.

Glaucostegus cemiculus is a sub-tropical, coastal species that occurs from the intertidal zone to a depth of 80-100 m and a distribution from Portugal to Angola and along the coast of the Mediterranean Sea. The supporting statement notes that data collection for the species along its Atlantic range is poor but reports that landings in Senegal for the species have dropped 80% in seven years, while fishing pressure reportedly has increased, and that a further 50% decline within three generation times was predicted. Recent surveys have concluded that the species may be extinct in the Mediterranean and local extinctions have been documented (Balearic Islands, Italian coast and Sicily).

Glaucostegus cemiculus occurs in the West Indo-Pacific, from the intertidal zone to depths of 119 m. The supporting statement reports an estimate of 50-80% decline of the population over the past three generations for the Arabian Sea and its adjacent waters. For the Indian Ocean, no species-specific estimates of decline are included in the supporting statement, but a decline of 86% in the landings of the larger taxonomic group of

wedgefish and guitarfish from 2002-2007 in India is quoted. It is unclear whether fishing effort changed over that time period in India. The supporting statement reports that anecdotal evidence exists of significant declines across the northern Indian Ocean.

The supporting statement contains few data, covering only parts of the geographic range of both species, adding a large uncertainty to any estimate of population decline. The lack of data on fishing effort, beyond anecdotal observations for Senegal, presents a further challenge in confidently interpreting the reported declines.

With regards to taxon-and case-specific biological and other factors that are likely to affect extinction risk, the supporting statement reports that *Glaucostegus* spp. are usually caught in unregulated fisheries, where fishing effort has increased over recent years. Their morphology makes them highly susceptible to bycatch in many gear types.

The proponent also indicates that fins of *Glaucostegus* species are among those with the highest value of all fins in international trade, driving targeted catch and opportunistic retention of bycatch of the species in coastal fisheries, and that the marked ongoing population declines are partly due to that demand. The meat of the species is considered good quality and often consumed locally. Other threats to the species include habitat loss and degradation.

Fins of *Glaucostegus* spp. are the specimens most likely to enter international trade. According to the supporting statement, the similarities of the fins of *Glaucostegus* species makes it necessary to include all species of the genus in Appendix II based on look-alike grounds. The proponents state that guidance to identify fins of *Glaucostegus* spp. in trade exists.

Additional considerations (including relevant CoP recommendations)

There is no adopted standard nomenclatural reference that would cover the taxon and no standard nomenclature reference is proposed in the supporting statement.

Pursuant to Article XV, 2 b), the Secretariat has consulted intergovernmental bodies with a role in fisheries management, including the Food and Agriculture Organization of the United Nations (FAO), with a view to obtaining scientific data these bodies may be able to provide and to ensure co-ordination with any conservation measures enforced by such bodies. In line with the 2006 Memorandum of Understanding between CITES and FAO, FAO has convened an Expert Panel to review CITES marine species listings proposals,

Comments from Parties

Sierra Leone reiterated its support for the proposal as a co-sponsor and highlighted in particular the high value of fins in trade, the lack of existing management measures and its assessment of benefits of listing *Glaucostegus* spp. on Appendix II of the Convention.

Comments from statutory consultees

The **FAO** Expert Panel confirmed the species was of low productivity but concluded that there was insufficient evidence to make a decision on long term extent and recent rate of declines in relation to CITES criteria, recommending that CITES Parties take note of the one example of extirpation, the widespread lack of management and the very high value of guitarfish fins in international trade.

Conclusions

Summary and review of available information

The Secretariat notes that new assessments of the status of *Glaucostegus cemiculus* and *G. granulatus* have become available since the submission of the proposal by the proponents, some of which contain new draft IUCN Red List assessments or additional information that is not contained in the supporting statement. The FAO Expert Panel has assigned reliability scores to datasets that were available to it, which the Secretariat is taking into account for its conclusions.

Newly available information generally aligns well with that contained in the supporting statement, in particular regarding the species' low productivity, widespread lack of management and high value of fins in trade.

While no species-specific time-series are available until recent times, the updated IUCN Red List assessments for *Glaucostegus cemiculus* and *G. granulatus* (in prep.) infer historic population declines for the species, using datasets at higher taxonomic levels, e.g. Rhinobathidae (which is thought to include wedgefish and guitarfish species) for the Indo-West Pacific. Being non-species specific, these datasets cannot be directly looked at in conjunction with the contemporary datasets available, but they highlight that it is unlikely that the starting points of these contemporary datasets reflect the historic baseline of the species.

With regards to recent datasets, the Secretariat observes that data is only available for parts of the species' range, but where data is available, the species seems to have declined significantly, meeting or coming close to meeting the 70% decline threshold. The updated IUCN Red List assessments also state that for several datasets where it was previously unclear, fishing effort had not decreased during the period in question, making it likely that landing data is a useful indicator of abundance.

The available information also points to local extinction of *G. cemiculus* from parts of its range in the northern Mediterranean.

The reportedly high susceptibility to a wide variety of fishing gear and increasing fishing pressure in the absence of fisheries management for the species may be seen as additional taxon- and case-specific risk factors.

The updated IUCN Red List assessments for *Glaucostegus cemiculus* and *G. granulatus* (in prep.) categorize both species as Critically Endangered based on inference declines of >80% over the last three generations from fisheries landings, fishing effort, or declines of similar species.

Conclusion

Based on the information available, it is difficult to assess if *Glaucostegus cemiculus* and *G. granulatus* meet the biological and/or trade criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 2a for inclusion in Appendix II.

All available information confirms that if one species of *Glaucostegus* spp. were to be included in Appendix II, the similarities of the fins within the genus would makes it necessary to include all species of the genus in Appendix II based on look-alike grounds pursuant to Annex 2b of Resolution Conf. 9.24 (Rev. CoP17). The FAO Expert Panel further noted that the trade category "QUN" (used in China for fins) is suspected to contain species from both the Rhinidae and Glaucostegidae families. The FAO Expert Panel therefore suggests that CITES Parties should carefully consider whether there might be a look-alike problem between wedgefishes and guitarfishes (Proposals 43 and 44).

Recommendations

The Conference of the Parties, through Resolution Conf. 9.24 (Rev. CoP17), resolved that Parties by virtue of the precautionary approach and in case of uncertainty regarding the status of a species or the impact of trade on the conservation of a species, shall act in the best interest of the conservation of the species concerned. Noting the low productivity of the species and the information summarized above, in particular the widespread lack of management of the species and high value in trade, the Secretariat recommends that this proposal be **adopted**.

Proposal 44

***Rhinidae* spp. (wedgefishes) - Inclusion in CITES Appendix II**

Proponents: Bangladesh, Benin, Bhutan, Brazil, Burkina Faso, Cabo Verde, Chad, Côte d'Ivoire, Egypt, Ethiopia, European Union, Fiji, Gabon, Gambia, India, Jordan, Kenya, Lebanon, Maldives, Mali, Mexico, Monaco, Nepal, Niger, Nigeria, Palau, Philippines, Saudi Arabia, Senegal, Seychelles, Sri Lanka, Sudan, Syrian Arab Republic, Togo and Ukraine

Provisional assessment by the Secretariat

CITES background

No species of the family Rhinidae is currently included in the CITES Appendices.

Purpose and impact of the proposal

The proposal seeks to include *Rhynchobatus australiae* and *Rhynchobatus djiddensis* in Appendix II, in accordance with Article II, paragraph 2(a), of the Convention; and all other species of the family Rhinidae in accordance with Article II, paragraph 2(b). If the proposal is adopted, international trade in all specimens of species of the family Rhinidae will be regulated in accordance with the provisions of Article IV of the Convention.

Compliance with listing criteria

The supporting statement suggests that: *Rhynchobatus australiae* and *R. djiddensis* qualify for inclusion in Appendix II under criteria A and B of Annex 2a of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II;* and that if these two species were included in Appendix II, the other eight known species in the family Rhinidae (*Rhynchobatus cooki, R. immaculatus, R. laevis, R. luebberti, R. palpebratus, R. springeri, Rhynchorhina mauritaniensis and Rhina ancylostoma)* as well as any "putative species" in the family would qualify to be included under criterion A of Annex 2b of Resolution Conf. 9.24 (Rev. CoP17).

As stated in Annex 2a of Resolution Conf. 9.24 (Rev. CoP17) the criteria should be read in conjunction with the definitions, explanations and guidelines in Annex 5, including the footnote with respect to application of the definition of 'decline' for commercially exploited aquatic species. That footnote suggests that for a commercially exploited marine species a population decline to 5-20% of the baseline would warrant inclusion in Appendix I, depending on its productivity, and a decline to a range of between 5 % and 10 % above that, e.g. 10-30%, would fulfil criterion A in Annex 2a of Resolution Conf. 9.24 (Rev. CoP17) for inclusion of a species in Appendix II. When considering these percentages, account needs to be taken of taxon-and case-specific biological and other factors that are likely to affect extinction risk.

According to the information in the supporting statement *R. australiae* and *R. djiddensis* have low productivity, which means that according to the guidance referred to above, a decline of the population to 30% of the baseline would mean that a species meets criterion A in Annex 2a for inclusion in Appendix II.

R. australiae and *R. djiddensis* are both Indo-Pacific species found in coastal inshore habitats up to 60 m and 70 m depth respectively. *R. djiddensis* is found in the Western Indian Ocean. The distribution of *R. australiae* overlaps that of *R. djiddensis* and extends into south Asia, southeast Asia and Oceania. The supporting statement notes that compiling species-specific information on population trends is difficult for a variety of reasons, including nomenclature and identification issues. At the family level, the supporting statement reports severe population declines and localized extinctions in all locations studied, with the exception of populations under fisheries management, which did not show declines. For south-east Asia, Oceania and eastern Africa, no quantitative estimate of long-term or recent population decline is presented; qualitative information suggests that populations of Rhinidae species are declining. In south Asia, one dataset shows 86% decline in landings of Rhinidae species over a 5-year period at one landing site and another shows 80% decline over 11 years. For the north-western part of the range, estimated declines of 50-80% over the last three decades are reported.

The supporting statement contains only few datasets and they cover only parts of the geographic areas of the range of both species, adding a large level of uncertainty to any estimate of the overall decline of the population.

With regard to taxon-and case-specific biological and other factors that are likely to affect extinction risk, the supporting statement reports that *R. australiae* and *R. djiddensis* are caught in fisheries with only limited

management throughout most of their range and fishing effort in many of the fisheries is reported to have increased over recent years. The species' range overlap with areas of high fishing pressure, and they are highly susceptible to bycatch by a variety of fish gears. The supporting statement also reports that the family Rhinidae has been identified as the third most threatened family of the class Chondrichthyes (cartilaginous fishes) globally.

According to the supporting statement, fins of Rhinidae spp. species also have some of the highest value of all fins in international trade, driving targeted catch and opportunistic retention of bycatch of the species in coastal fisheries, with the high value of the fins being the main driver of the retention and with only limited management of those activities throughout most of the range of *Rhynchobatus australiae* and *Rhynchobatus djiddensis*. The meat of the species is considered low value and usually only consumed locally. Other threats to the species include habitat degradation and modification.

Fins of Rhinidae species are the specimens most likely to enter international trade. According to the supporting statement, the intra-species variability in dorsal coloration and morphology of the fins within Rhinidae species make identification to the species-level based on fins difficult. This makes it necessary to include all species of the family in Appendix II based on look-alike grounds. The proponents report that visual identification of fins to family level, i.e. Rhinidae, is possible.

Additional considerations (including relevant CoP recommendations)

There is no CITES standard nomenclature reference that would cover the taxon and no standard reference is proposed in the supporting statement.

Rhynchobatus australiae is listed in Appendix II of the Convention on Migratory Species of Wild Animals (CMS) and, is listed together with *R. djiddensis* and *R. laevis* in Annex 1 of the CMS Memorandum of Understanding on Sharks.

Pursuant to Article XV, 2 b), the Secretariat has consulted intergovernmental bodies with a role in fisheries management, including the Food and Agriculture Organization of the United Nations (FAO), with a view to obtaining scientific data these bodies may be able to provide and to ensure co-ordination with any conservation measures enforced by such bodies. In line with the 2006 Memorandum of Understanding between CITES and FAO, FAO has convened an Expert Panel to review CITES marine species listings proposals.

Comments from Parties

Sierra Leone reiterated its support for the proposal as a co-sponsor and provided anecdotal information on local extirpation of *Rhynchobatus luebberti* from much of its former West African range. Sierra Leone also highlights the high value of Rhinidae fins in trade and its assessment of benefits of listing Rhinidae spp. on Appendix II of the Convention.

Comments from Statutory consultees

The **FAO** Expert Panel confirmed the species was of low productivity but concluded that there was insufficient evidence to make a decision on long term extent and recent rate of declines in relation to CITES criteria, recommending that CITES Parties take note of the widespread lack of management and the very high value of wedgefish fins in international trade.

The Secretariat of the Convention on Migratory Species (CMS) noted that *Rhynchobatus australiae* was listed in CMS Appendix II in 2017, and on Annex 1 of the Sharks Memorandum of Understanding (MoU) in 2018. *Rhynchobatus djiddensis* and *Rhynchobatus leavis* were included in Annex 1 of the CMS Sharks MOU in 2018.

The Secretariat of International Council for the Exploration of the Sea (**ICES**) informed that it holds a minor data entry for *Rhinobatos* spp. (by ASFIS taxonomic definition).

Conclusions

Summary and review of available information

The Secretariat notes that draft updated IUCN Red List assessments of the status of *Rhynchobatus australiae* and *R. djiddensis* have become available since the submission of the proposal by the proponents, some of which contain new or additional information that is not contained in the supporting statement and was not available for

review by the FAO Expert Panel. The Panel has assigned reliability scores to datasets that were available to it, which the Secretariat is taking into account for its conclusions.

Newly available information generally aligns well with that contained in the supporting statement, in particular regarding the species' low productivity, widespread lack of management and high value of fins in trade. IUCN/TRAFFIC note that Madagascar is not indicated as a range State in the distribution maps used in the supporting statement, but the species are being landed in Madagascar.

While no species-specific historic time-series are available, the updated IUCN Red List assessments for *Rhynchobatus australiae and R. djiddensis* (in prep.) infer historic population declines for the species, using datasets at higher taxonomic levels, e.g. Rhinobathidae (which is thought to include wedgefish and guitarfish species). Being non-species specific, these datasets come with large uncertainty and cannot be directly looked at in conjunction with the contemporary datasets available, but they highlight that it is unlikely that the starting points of these contemporary datasets reflect the historic baseline of the species.

With regards to recent datasets additional to those in the supporting statement, the FAO Expert Panel had access to two additional time-series from India and Indonesia, and IUCN used additional time-series from India, Iran, Pakistan (unpublished) and South Africa (unpublished), most of which covered multi-species in an aggregated form.

The Secretariat observes that very limited species-specific data is available, and that the most reliable datasets only cover small parts of the range of the species, but where data is available the species seem to have declined significantly, meeting or coming close to meeting the 70% decline threshold. The updated IUCN Red List assessments also state for several datasets where it was previously unclear from the supporting statement, that fishing effort is unlikely to have decreased during the period in question, meaning that a decrease in landing data is likely to reflect a decrease in abundance.

The reportedly high susceptibility to a wide variety of fishing gear and increasing fishing pressure in the absence of fisheries management for the species may be seen as additional taxon- and case-specific risk factors.

The updated IUCN Red List assessments for *Rhynchobatus australiae* and *R. djiddensis* (in prep.) categorize both species as Critically Endangered based on inference declines of >80% over the last three generations from fisheries landings, fishing effort, or declines of similar species.

Conclusion

Based on the limited information available at the time of writing, it is difficult to assess if *Rhynchobatus australiae* or *R. djiddensis* meet the biological and/or trade criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 2a for inclusion in Appendix II.

All available information confirms that if a species of Rhinidae spp. were listed on Appendix II, the similarities of the fins within the family would makes it necessary to include all species of the family in Appendix II based on look-alike grounds pursuant to Annex 2b of Resolution Conf. 9.24 (Rev. CoP17). The FAO Expert Panel further noted that the trade category "QUN" (fins) is suspected to contain species from both the Rhinidae and Glaucostegidae families. The Expert Panel therefore suggests that CITES Parties should carefully consider whether there might be a look-alike problem between wedgefishes and guitarfishes (Proposals 43 and 44).

Recommendations

The Conference of the Parties, through Resolution Conf. 9.24 (Rev. CoP17), resolved that Parties by virtue of the precautionary approach and in case of uncertainty regarding the status of a species or the impact of trade on the conservation of a species, shall act in the best interest of the conservation of the species concerned. Noting the low productivity of the species and the information summarized above, in particular the widespread lack of management of the species and high value in trade, the Secretariat recommends that this proposal be **adopted**.

Proposal 45

***Holothuria (Microthele) fuscogilva, Holothuria (Microthele) nobilis and Holothuria (Microthele) whitmaei* (teatfish) – Inclusion in Appendix II**

Proponents: European Union and Kenya

Provisional assessment by the Secretariat

CITES background

At the 12th meeting of the Conference of the Parties, (CoP12, Santiago, 2002), the United States of America submitted working document CoP12 Doc.45, which summarized information available at that time on the biology of, and international trade in sea cucumbers (families Holothuridae and Stichopodidae) and argued that they may qualify for listing under CITES Appendix II. However, and as recalled in the current amendment proposal, the lack of information on which species were traded and identification of species were considered challenges.

One species of sea cucumber (*Isostichopus fuscus*) has been included in CITES Appendix III by Ecuador since 2003.

None of the species in the proposal are currently included in the CITES Appendices or have been proposed for listing before.

Purpose and impact of the proposal

The proposal seeks to include *Holothuria (Microthele) fuscogilva, Holothuria (Microthele) nobilis and Holothuria (Microthele) whitmaei* in Appendix II, in accordance with Article II, paragraph 2(a). If the proposal is adopted, international trade in specimens of these taxa will be regulated in accordance with the provisions of Article IV of the Convention.

Compliance with listing criteria

The supporting statement suggests that *Holothuria (Microthele) fuscogilva, Holothuria (Microthele) nobilis and Holothuria (Microthele) whitmaei*, collectively referred to as teatfish, qualify for inclusion on Appendix II under criterion A and B of Annex 2a of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*.

As stated in Annex 2a of Resolution Conf. 9.24 (Rev. CoP17), the criteria should be read in conjunction with the definitions, explanations and guidelines in Annex 5, including the footnote with respect to application of the definition of 'decline' for commercially exploited aquatic species. That footnote suggests that for a commercially exploited marine species, a population decline to 5-20% of the baseline would warrant inclusion in Appendix I, depending on its productivity, and a decline to a range of between 5 % and 10 % above that, e.g. 10-30%, would fulfil criterion A in Annex 2a of Resolution Conf. 9.24 (Rev. CoP17) for inclusion of a species in Appendix II. When considering these percentages, account needs to be taken of taxon-and case-specific biological and other factors that are likely to affect extinction risk.

According to the information in the supporting statement, teatfish have low productivity, which means that according to the guidance referred to above, a decline of the population to 30% of the baseline would mean that a species meets criterion A in Annex 2a for inclusion in Appendix II.

Teatfish are benthic detritivores that occur at low depth on sandy substrate in tropical reef ecosystems of the Indian and Pacific Ocean from the East-African coast to Polynesia. Of the three species proposed. *H. fuscogilva* covers largest range, while *H. nobilis* does not occur in the Pacific and *H. whitmaei* does not occur in the Indian Ocean and Red sea. According to the supporting statement, teatfish populations are depleted or overexploited in most range countries. Based on largely qualitative and some quantitative information, the proposal reports declines for *H. whitmaei* that may meet the listing criteria but are only from few locations; declines for *H. nobilis* that almost meet the listing criteria and local depletions; but no overall estimates of decline for *H. fuscogilva.*

According to the supporting statement, teatfish are harvested from the shoreline and by hand in legal and illegal fisheries. The ease of capture combined with their high value in international trade and biological characteristics

are reported as risk factors in the supporting statement. Next to overfishing, habitat degradation presents a threat to the species.

Take and international trade is currently regulated in some range States, but illegal fishing is common. Identification of species of sea cucumbers in trade is generally considered difficult, but teatfish are easily identifiable both in living and dried form due to their name-giving lateral protrusions.

Additional considerations (including relevant CoP recommendations)

There is no adopted standard nomenclature reference that would cover the taxon and no standard nomenclature reference is proposed in the supporting statement. In that context, the Secretariat notes that the species names in the proposal contain the sub-genus (Microthele), which is not common practice under CITES. If the proposal were accepted, guidance by the Nomenclature Expert for Fauna on how to address this would be required.

Pursuant to Article XV, 2 b), the Secretariat has consulted intergovernmental bodies with a role in fisheries management, including the Food and Agriculture Organization of the United Nations (FAO), with a view to obtaining scientific data these bodies may be able to provide and to ensure co-ordination with any conservation measures enforced by such bodies. In line with the 2006 Memorandum of Understanding between CITES and FAO, FAO has convened an Expert Panel to review CITES marine species listings proposals.

Comments from Parties

Indonesia has indicated that it is seeking clarification on the underlying data for the supporting statement's assessment that *Holothuria whitmaei* is "overexploited" and that *H. fuscogilva* is "severely depleted" in Indonesia.

Comments from statutory consultees

The **FAO** Expert panel concluded that the available data for *Holothuria fuscogilva* does not meet the CITES Appendix-II listing criteria, that there was insufficient evidence to make a determination for *Holothuria nobilis*, but that *Holothuria whitmaei* does meet the CITES Appendix-II listing criteria.

Conclusions

Summary and review of available information

The Secretariat notes that the FAO Expert Panel, in its assessment of the proposal, drew on a significant amount of additional information that was not originally included in the supporting statement, as documented in the Expert Panel report. The proponents have since submitted an amended supporting statement in early April that was prepared on the basis of information contained in the FAO Expert Panel's report. The amended supporting statement has included some, but not all, of the additional information. The Secretariat's conclusions take into account all available information.

Newly available information generally aligns well with that contained in the supporting statement, confirming that the species biological characteristics, including low productivity and density dependant production, and ease of collection make them vulnerable to fishing and over-exploitation, even in artisanal and small-scale fisheries.

Reviewing the references contained in the original supporting statement, the FAO Expert Panel found little quantitative evidence of population decline for the proposed species and noted that generally there are few standardized datasets that could be used to assess population declines from baseline, because species-specific data on historic declines was missing. The Panel therefore researched and collated a number of abundance indices from different parts of their ranges, organized by country. Direct time-series data that reflect the status of teatfish stocks were scarce. However, survey-resurvey records (of variable replication) do exist for a small number of localities in countries that support or had historically supported sea cucumber fisheries. In situations where only single surveys were available, the Panel evaluated them against an established 'rule-of thumb' baseline threshold for healthy stocks. The Panel also considered trends in trade volumes as supplementary information.

The following are summaries of whether or not each species seems to meet the percentage decline to 30% of the baseline threshold required a low productivity species to meet the listing criteria, according to the guidelines on the application of the listing criteria for commercially exploited marine species, in Annex 5 of Resolution

Conf. 9.24 (Rev. CoP17), by species and country, based on the datasets identified as most scientific sound and reliable.

- *Holothuria fuscogilva* – Meets the criteria in Tonga and remote offshore reefs in Australia but does not seem to meet the criteria in Solomon Islands and Indonesia and the Great Barrier Reef area of Australia. There is insufficient information available to assess if it meets the criteria in the Federated States of Micronesia, Palau, Samoa, Fiji and Maldives.

- *Holothuria nobilis* – Seems to meet the criteria in Egypt (based on a small-scale study), while in the Maldives it is uncertain. There are generally very few datasets available.

- *Holothuria whitmaei* - Meets the criteria in Palau, Fiji, Indonesia, Egypt and Australia's remote outer reefs, while it does not seem to meet the criteria in the Solomon Islands and the Great Barrier reef area of Australia. It is unclear if it meets the criteria in the Federated States of Micronesia, the Cook Islands and Samoa.

IUCN Red List assessments of 2013 estimated the overall declines as: *H. fuscogilva* 30–50% since the 1960s, *H. nobilis* 60–70% in at least 80% of its range, and *H. whitmaei* 60–90% in the majority of its range.

Despite their high commercial value, the Expert Panel found no obvious extirpation of teatfish species at the national scale, though localized extirpations and severe depletion of stocks have been observed.

With regards to case-specific and taxon-specific risk factors, the panel noted that the high market value of these species and the ability of artisanal fishers to keep harvesting, even at low densities. These were considered risk factors for all teatfish, with *H. whitmaei* and *H. nobilis* recognized as being at particular risk because they are found in shallower water than *H. fuscogilva*. The Panel further noted that to date, national management measures and enforcement of regulations have been mostly unable to stabilize production, with boom-and-bust fishing cycles characterizing these fisheries in many Indo-Pacific countries. Teatfish fisheries and postharvest processing of their products commonly suffer from weak management and/or enforcement, and high pressures from largely foreign buyers have proved difficult to control.

Conclusion

All available information clearly confirms that *H. fuscogilva, H. nobilis* and *H. whitmaei* are traded internationally, and that local markets for the sale of teatfish are a small proportion of the overall commercialization of, and trade in these species.

Based on all available information, *Holothuria whitmaei* seems to have experienced declines in large parts of its range that meet the applicable threshold from the guidelines on the application of the listing criteria for commercially exploited marine species in Annex 5 of Resolution Conf. 9.24 (Rev. CoP17). *Holothuria fuscogilva* seems to also have undergone similar levels of declines in some locations, but not in others, resulting in the species as a whole not meeting the threshold. For *Holothuria nobilis*, insufficient information is available to judge whether or not it meets the threshold.

Identification of species of sea cucumbers in trade is generally considered difficult, but teatfish are more easily identifiable, both in living and dried form, due to their name-giving lateral protrusions. Owing to potential confusion in identifying between dried *H. fuscogilva*, *H. nobilis* and *H. whitmaei* in trade, 'look-alike' provisions are considered appropriate for this group.

Recommendations

Holothuria whitmaei meets the criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 2 a criterion A for its inclusion in Appendix II in accordance with Article II, paragraph 2 (a) of the Convention. *Holothuria fuscogilva* and *Holothuria nobilis* meet the criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 2 b criterion A for their inclusion in Appendix II in accordance with Article II, paragraph 2 (b) of the Convention.

The Secretariat recommends that this proposal be **adopted**.

Proposal 46

***Poecilotheria* spp. (ornamental spiders) - Inclusion in Appendix II**

Proponents: Sri Lanka and United States of America

Provisional assessment by the Secretariat

CITES background

At the 11th meeting of the Conference of the Parties (CoP11, Gigiri, 2000), Sri Lanka and the United States of America submitted a proposal to include *Poecilotheria* spp. in Appendix II (proposal CoP11 Prop. 52).

At the meeting, Switzerland noted that the genus was not protected by domestic legislation in India. The Secretariat seconded this comment and encouraged the range States of the genus *Poecilotheria* to increase protection for these species nationally, especially protection from habitat destruction, prior to an Appendix-II listing. India stated that it would take immediate steps to protect the genus domestically. Sri Lanka promised to list the genus in Appendix III if the proposal were not adopted at the meeting.

The proposal was rejected (see document Com. I. 11.14), with some Parties noting at the meeting that the supporting statement contained little information on international trade and the limits of the distribution of the genus. Although the proposal was rejected, the genus *Poecilotheria* has since not been listed in Appendix III. No species of the genus *Poecilotheria* is currently listed in the Appendices.

Purpose and impact of the proposal

The proposal seeks to include all species of the genus *Poecilotheria* in Appendix II. If the proposal is adopted, trade in all specimens of the genus will be regulated in accordance with Article IV of the Convention.

Compliance with listing criteria

The genus *Poecilotheria* is composed of 15 species. According to the proponents, eight of these species are endemic to India, five are endemic to Sri Lanka, and two can be found in both countries. The proponents indicate that since CoP11, further work has been undertaken to better understand the distribution and population sizes of these species. While much remains unknown, populations are thought to be decreasing because of habitat loss and degradation.

Eight species have been categorized in the IUCN Red List assessment. Of these, two species are considered Critically Endangered, three Endangered, one Vulnerable, one of Least Concern, and one Data Deficient. The population trend for these eight species is decreasing. Of the remaining seven species, the National Red List of Sri Lanka categorizes one as Critically Endangered and four as Endangered. The population trends for these five species are said to be unknown. For the remaining two species, which have neither been assessed by IUCN, nor are listed in the National Red List of Sri Lanka, population status and trends are unknown.

The proponents state that the genus is popular in the pet trade because of its morphological features. The species are reported to be particularly vulnerable to commercial exploitation because they appear to have low reproductive rates, short life spans, and high mortality rates prior to maturity. Because the species have patchy distributions, with fragmented populations and poor dispersal, collection from a single area may significantly affect the chances of survival of wild populations. The proponents indicate that specimens are probably often sourced from the wild, as captive-breeding attempts appear not to have been particularly successful. The supporting statement notes that it may be more economical to supply wild-caught animals rather than breed them in captivity because of the low reproductive rates.

The proponents present data from the United States of America on specimens of *Poecilotheria* imported into and exported from the country. According to the proponents, from 1995 to 1999, 2,694 specimens of *Poecilotheria* were imported and 392 were exported; from 2006 to 2017, 22,918 were imported and 802 exported; and from 2013 to 2017 (the most recent five-year period with complete data), 16,510 were imported and 145 exported. Most imports are reported as captive bred and originating in Europe. According to the proponents, the demand for the species has increased considerably in the past three decades.

This information on legal trade contrasts with the relatively little evidence that *Poecilotheria species* are being traded illegally. The proponents indicate that legal and illegal collection of the species is having a negative impact on wild populations in India but provide no information on any observed impacts. Although some of the declared transactions involving the United States are reported as wild-sourced, it is challenging to understand how impactful any trade may be without size population estimates.

The proponents suggest that collectors often target gravid females, compromising future recruitment in populations. Since these species are already threatened by habitat loss, further pressure posed by illegal trade could be of concern. The loss of individuals of one population could decrease the genetic diversity of that species and compromise its survival. However, these impacts appear to be referred to as potential threats associated with illegal trade, and not necessarily impacts observed for species of *Poecilotheria*.

An additional concern indicated by the proponents is that exploitation and trade may shift from one species to another as a species becomes so rare that it can no longer be commercially exploited, or when one species becomes subject to stricter regulation, and thus less exploitable.

In India, the species appear to still not be subject to protection, despite commitments made at CoP11. While commercial collection and export of *Poecilotheria* species are prohibited in Sri Lanka, enforcement is reported to be weak. In the United States of America, the import, export, and other commercial activities are prohibited for five of the species in the genus.

The proponents indicate that consultations were held with India, but the results are not specified in the proposal.

The proponents note that it is imperative to list the genus in Appendix II to help ensure the legal and sustainable international trade in the species concerned. Listing the entire genus is said to be necessary because of unresolved taxonomy and morphological similarity among the species.

The Secretariat notes that the information on *Poecilotheria* species included in the supporting statement is limited regarding the size of the wild populations of the eight species proposed for inclusion in Appendix II in accordance with criterion B of Annex 2(a) of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*. It is also limited in demonstrating that trade currently poses a threat to these species, and that therefore stricter regulation of trade is necessary to safeguard the conservation of these eight species.

Conclusions

The available information suggests that there is international trade in, and demand for at least some of the 15 known species of *Poecilotheria*. However, it is unclear whether specimens in trade are typically wild-sourced. There is not sufficient information on the conservation status and trends of the eight species being proposed for inclusion in Appendix II in accordance with the biological criteria in criterion B of Annex 2(a) of Resolution Conf. 9.24 (Rev. CoP17) to indicate that, even if not necessarily now threatened with extinction, the eight species may become so unless trade is subject to strict regulation. It is therefore also unclear whether the remaining seven species meet the biological criteria in criterion A of Annex 2(b) of Resolution Conf. 9.24 (Rev. CoP17) for inclusion in Appendix II.

Recommendations

Poecilotheria spp. does not meet the criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 2a criterion A or B or Annex 2b for its inclusion in Appendix II in accordance with Article II, paragraph 2 (a) of the Convention.

The Secretariat recommends that this proposal be **rejected**.

Note to Parties and Proponents

India and Sri Lanka may wish to consider listing their populations of *Poecilotheria* species in Appendix III.

Proposal 47

Achillides chikae hermeli* (Mindoro peacock swallowtail) - Inclusion in Appendix I; and adoption of Page and Treadaway (2004) as the standard nomenclatural reference for *Papilionidae* in the Philippines to amend the current Appendix-I listing of *Papilio chikae* to *Achillides chikae chikae.

Proponents: European Union and Philippines

Provisional assessment by the Secretariat

CITES background

Papilio chikae was included in Appendix I at the sixth meeting of the Conference of the Parties (Ottawa,1987).

Achillides chikae hermeli has never been included in the CITES Appendices.

The Conference of the Parties has not adopted a standard nomenclatural reference for the genera *Achillides* or *Papilio*. In response to queries in 2017 and 2018 regarding the status of *A. c. hermeli* under CITES, the Nomenclature Specialist of the Animals Committee concluded that the Appendix I listing of *P. chikae* does not include *A. c. hermeli*, even though it is a sub-species of *P. chikae* under Page and Treadaway (2004).

Purpose and impact of the proposal

The purpose of the proposal is to include the subspecies *Achillides chikae hermeli* in Appendix I as a look-alike of *Papilio chikae*, noting that it qualifies for inclusion in Appendix II under criterion A of Annex 2b of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*. However, it is proposed to include the subspecies in Appendix I to avoid split-listing the subspecies, in accordance with Annex 3 of Resolution Conf. 9.24 (Rev. CoP17) and in line with paragraph 2(b) of Resolution Conf. 12.11 (Rev. CoP17) on *Standard nomenclature*, which recommends that, where there are identification difficulties, entire species be included within the same Appendix.

The proposal also proposes the adoption of Page and Treadaway (2004)[11] as the nomenclatural standard reference for the Papilionid butterflies of the Philippines. This would confirm the nomenclature used in the proposal and implies that the taxon *Papilio chikae* in Appendix I would be renamed as the subspecies *Achillides chikae chikae*. This nomenclatural change would not alter the original scope or content of the existing listing of *Papilio chikae*.

If this proposal is adopted, it would result in the entire species being listed in Appendix I and resolve the current split-listing situation.

If *A. c. hermeli* was included in Appendix I, breeding operations wishing to commercially export and trade in specimens of this species would need to be registered with the Secretariat in accordance with Resolution Conf. 12.10 (Rev. CoP15) on *Registration of operations that breed Appendix-I animal species in captivity for commercial purposes.*

Compliance with listing criteria

The supporting statement addresses each of the categories of information provided for in the template in Annex 6 of Resolution Conf. 9.24 (Rev. CoP17). It reports a lack of information in a number of categories, including population size and structure, national utilization, management and control measures.

Both *Papilio chikae* and *Achillides chikae chikae* are protected by national legislation. The proponents indicate that there has been almost no legal trade in the *P. chikae* since it was included in the Appendices (17 traded bodies according to the CITES trade database, including seized and pre-Convention specimens). Trade analyses suggest that illegal trade in *P. chikae* and *A. c. hermeli* far exceeds legal trade in *P. chikae*. Owing to their similarity in appearance, and since *P. chikae* is assessed as endangered by IUCN, and since local assessments have

11 *Page, M.G.P. and Treadaway, C.G. 2004. Papilionidae of the Philippine Island. In: Bauer, E. and Frankenbach, T. (Eds.). Butterflies of the world, Supplement 8. Goecke & Evers, Keltern. 58.*

classified *A. c. hermeli* as rare, even though probably stable, the proposal suggests that any such trade in the species may be detrimental to the population in the wild, although specific data on population sizes and trends are mostly lacking.

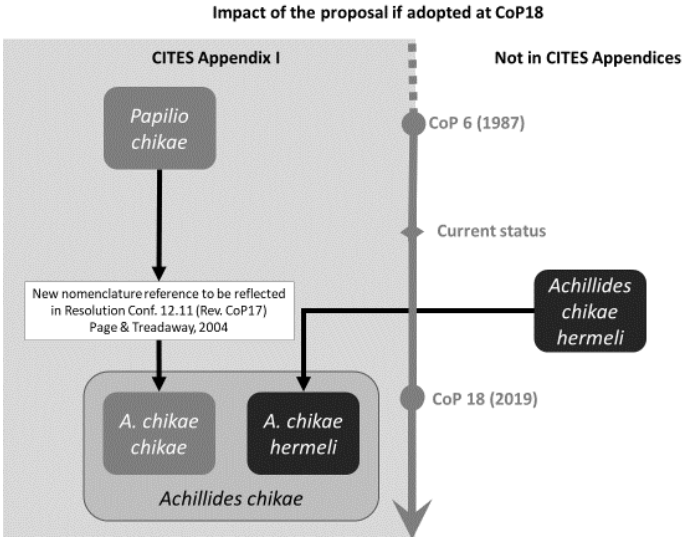
Additional considerations (including relevant CoP recommendations)

Since 1994, the Philippines has prohibited the export for commercial purposes of wild-caught specimens of terrestrial fauna, which includes *Achillides chikae chikae.*

The supporting statement elaborates the identification challenge and look-alike issues, which are at the core of the proposal. It indicates, that a number of additional species are also similar to *P. chikae*, in particular the *P. bianor* group.

Conclusions

The Secretariat considers the proposal to list *Achillides chikae hermeli* in Appendix I as a look-alike of *Papilio chikae*, and the adoption of Page and Treadway (2004) as the standard taxonomic reference for Papilionidae, leading to *P. chikae* being renamed *Achillides chikae*, to be in line with the provisions of the Convention. The following graph summarizes the impact of the proposal (if adopted):



The Secretariat considers that in view of the population status and restricted habitat of the species*, Achillides chikae hermeli* may meet the criteria for its inclusion in Appendix I in its own right. Adopting this proposal would remove the current split-listing of the species in line with paragraph 3(d) of Resolution Conf. Res. 9.24 (Rev. CoP17), comply with the criteria for look-alike species in Annex 2(b) of Resolution Conf. Res. 9.24 (Rev. CoP17), and is in line with paragraph 2(b) of Resolution Conf. 12.11 (Rev. CoP17) on *Standard nomenclature*, which recommends that, where there are identification difficulties, the entire species be included within the same Appendix. The proposed nomenclature change will be considered in document CoP18 Doc. 99 Annex 6 f).

Recommendations

Achillides chikae hermeli meets the criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 2(b) for its inclusion in Appendix I. If the nomenclature change is adopted, the name *Papilio chikae* would be replaced by *Achillides chikae.*

The Secretariat recommends that this proposal be **adopted**.

Proposal 48

***Parides burchellanus* (riverside swallowtail) - Inclusion in Appendix I**

Proponent: Brazil

Provisional assessment by the Secretariat

CITES background

This is the first time that this species has been proposed for inclusion in the Appendices.

Purpose and impact of the proposal

The proposal seeks to include *Parides burchellanus* in Appendix I. If the proposal is adopted, trade in all specimens of the species will be regulated in accordance with Article III of the Convention.

Compliance with listing criteria

Parides burchellanus is endemic to Brazil. According to the proponent, this species has a restricted and fragmented distribution, occurring only at four locations. (Historical records indicate a wider distribution but monitoring efforts have failed to find the species at such locations.) The proponent notes that the population size at two of the species' current occurrence locations has been estimated at 10 to 40 mature individuals.

P. burchellanus is categorized by IUCN[12] as Endangered. The proponent states that the species is categorized as Critically Endangered in the Brazilian Red List of Threatened Species. According to the proponent, the main threats to the species are habitat change and deforestation, as well as pollution. In the 2018 assessment by IUCN which is quoted by the proponent, trade is not emphasized as a pressing threat to the species.

The supporting statement indicates that the species has undergone a decline in its extent of occurrence and area of occupancy, but the rate at which these have occurred, as well as within what time frame, are not explained. The 2018 assessment by IUCN indicates that the species' population trend is unknown. The proponent adds that the species habitat is under reduction, but no robust information is provided to support this statement.

The proponent states that there is illegal trade in this species, evidenced by international offers to supply specimens. The only evidence of trade provided consists of three online sale advertisements observed in December 2018. According to this evidence, a total of 19 specimens were being offered, and the price of a specimen could reach EUR 2,950. Presumably these were whole specimens, but this is not clear, neither is the source of these specimens. The proponent states that the number of specimens found for sale online has increased, especially in the last year, although no information is presented to support this reported increase.

The very little evidence provided to indicate illegal trade renders it challenging to determine whether there is a long-term demand for specimens, and in what volume. It therefore remains unclear how trade may be having an impact on the conservation status of the species. However, if it is assumed that the sale of a potential 19 individuals in the span of a month is indicative of an ongoing trade pattern, this level of trade could be significant, considering the small size of at least two of the species populations (10-40 individuals).

The proponent states that the number of specimens found in trade indicates potential damage to the natural populations of *P. burchellanus,* given the species' population sizes and the ongoing pressures from habitat destruction and degradation. The proponent also indicates that inclusion in Appendix I is necessary to reduce the pressure exerted by illegal trade on this species.

The Secretariat notes that the information contained in the supporting statement suggests that the wild population and subpopulations of *P. burchellanus* are small and have a fragmented and restricted area of distribution. It indicates also that the species is vulnerable to extrinsic factors, as it is affected by habitat destruction and degradation. However, the information provided is not sufficient to understand whether the number of individuals

[12] *Grice, H., Freitas, A.V.L., Rosa, A., Marini-Filho, O., Silva, F., Mega, N., Mielke, O. & Casagrande, M. 2018.* Parides burchellanus*. The IUCN Red List of Threatened Species 2018: e.T16240A122600436. http://dx.doi.org/10.2305/IUCN.UK.2018-2.RLTS.T16240A122600436.en. Downloaded on 26 February 2019.*

of the wild population has indeed declined, or whether it is inferred or projected to decline. Also, the information provided does not sufficiently justify that the quality of the species habitat has declined. Nevertheless, it is possible that the biological criteria in may apply to *P. burchellanus.*

Conclusions

The population of *P. burchellanus* has a fragmented and restricted area of distribution, and is vulnerable to extrinsic factors, because it is affected by habitat destruction and degradation. The information available on *Parides burchellanus* indicates that of the four known subpopulations, two are extremely small (each with 10-40 individuals). Loss and degradation of the very specific habitat utilized by *Parides burchellanus* (*Aristolochia chamissonis* is the only known host plant for its larval stage) are the main threats to the species. The species also seems to be in decline, as it was categorized as Lower Risk/Near Threatened in 1996 in the IUCN Red List and was re-categorized as Endangered in 2018. While there is weak evidence of international trade in, or demand for this species, it seems that even small volumes of trade could have a detrimental impact on its conservation status.

Recommendations

P. burchellanus meets the biological criterion A, ii) and v), and criterion B i) and iii) in Annex 1 of Resolution Conf. 9.24 (Rev. CoP17) for its inclusion in Appendix I.

The Secretariat recommends that this proposal be **adopted.**

Proposal 49

***Handroanthus* spp., *Tabebui*a spp. and *Roseodendron* spp. (trumpet trees) - Inclusion in Appendix II with annotation #6**

Proponent: Brazil

Proposal withdrawn

Proposal 50

***Widdringtonia whytei* (Mulanje cedar) - Inclusion in Appendix II**

Proponents: Malawi

Provisional assessment by the Secretariat

CITES background

Widdringtonia whytei has not been the subject of listing proposals before and is not included in the CITES Appendices.

Purpose and impact of the proposal

The proposal states that the intention is to include *Widdringtonia whytei* in Appendix II to "*avoid this critically endangered species, with major replantation efforts underway, becoming eligible for inclusion in Appendix I in the very near future*", implying that it is in accordance with Article II, paragraph 2(a) of the Convention.

The proposal does not indicate an annotation. Therefore, if it is adopted, all international trade in specimens of *Widdringtonia whytei*, including all 'readily recognizable parts and derivatives' [as defined in Resolution Conf. 9.6 (Rev. CoP16) on *Trade in readily recognizable parts and derivatives*] would be regulated in accordance with the provisions of Article IV of the Convention.

Compliance with listing criteria

The supporting statement emphasizes that this species is of particular interest to Malawi, since it is the national tree, and classified by IUCN as Critically Endangered.

The supporting statement does not specify which listing criteria are applicable. The section on the species role in its ecosystem provides limited relevant information and is partly confused with ecosystem services. Precise information is provided on the rapid decline of the population in the last years, from a distribution area of c. 1,462 hectares in 1986 to 845 hectares in 1987, with no mature trees found in the remaining fragments in 2017. From recent studies cited, the species is virtually extinct on Mulanje mountain. However, there is a small number of successful plantations. Successes and challenges of ongoing conservation and restoration efforts are highlighted, including conflicts between State legislation and traditional authority's ownership rights.

There is reportedly no legal international trade in this species. Threats to the species include logging, fire damage, invasive tree species. Illegal logging had effectively destroyed 100% of the mature population as of 2018, but there is no indication of the share that may have entered international trade.

Additional considerations (including relevant CoP recommendations)

Regarding the provisions of Resolution Conf. 10.13 (Rev. CoP15) on *Implementation of the Convention for timber species*, the proposal does not mention whether any of the expert organizations listed in paragraph 1 a) were consulted.

The proposal describes the species as economically extinct, despite full protection of the species' entire habitat in a protected area, and despite high public attention due to its status as the national tree. The proposal also elaborates on several threats that seem mostly unrelated to international trade. Thus, it does not seem clear whether the inclusion of the species in Appendix II would benefit its conservation.

The proposal does not address potential look-alike issues with *W. nodiflora* or other species, although it mentions that the former was distinguished from *W. whytei* only after the arrival of genetic identification techniques. No information is provided regarding the identification of specimens in trade.

Comments from Parties

The **United States of America** suggest, in the light of all harvest of and trade in the species being illegal, that a listing without any annotation may be appropriate for this endemic species.

Comments from statutory consultees

IUCN points out that in addition to trade in timber, some trade in non-timber products, such as products from the species' resin sold to tourists, might have occurred, even though the scale of that trade remains unclear. Since the wood and other products have become high-priced prestige commodities, trade might potentially resume in the future. However, the IUCN analysis suggests that no trade of wild harvested specimen is to be expected for decades to come due to the species' long life time till maturity (80-100 years), and due to its commercial extinction caused by illegal logging, invasive tree species, and multiple other factors. All potential future trade in *Widdringtonia whytei* timber would thus come from artificially propagated or stockpiled pre-Convention specimens.

ITTO supports the proposal.

Conclusions

Widdringtonia whytei is a critically endangered species endemic to Malawi, with a small population size and extremely limited distribution, and there has been a marked decline in the population size in the wild in recent years. It thereby meets the biological criteria for inclusion in Appendix I. However, the species is considered economically extinct, and only a few young seedlings remain in the wild that will take decades to mature.

However, international trade is not a driver of the decline of the species. Trade in timber from wild sources will not occur for decades to come, and paragraph 3 h) of Resolution Conf. 9.24 (Rev. CoP17) resolves that species of which all specimens in trade are artificially propagated should not be included in the Appendices if there is a negligible probability of trade taking place in specimens of wild origin. Trade in other specimens, such as seeds and seedlings, might become of interest, and a precautionary approach could thus be warranted. However, identification of seeds and seedlings in trade would pose challenges with various look-alike species.

Recommendations

Widdringtonia whytei does not meet the criteria in Resolution Conf. 9.24 (Rev. CoP17) Annex 2(a) for its inclusion in Appendix II in accordance with Article II, paragraph 2(a) of the Convention.

The Secretariat recommends that this proposal be **rejected**.

Note to Parties and Proponents

If this proposal were to be adopted, the listing would lead to identification challenges with look-alike species, in particular *Widdringtonia nodiflora*.

If the proposal were to be rejected and the proponent wished to monitor potential future trade and gather additional information whether this endemic species is in global trade, the Secretariat suggests the proponent to consider a potential Appendix III listing of the species.

Proposal 51

***Dalbergia sissoo* (Indian rosewood) - Deletion from Appendix II**

Proponents: Bangladesh, Bhutan, India and Nepal

Provisional assessment by the Secretariat

CITES background

All species of the genus *Dalbergia* are included in the Appendices, as follows:

- Appendix I: *Dalbergia nigra*
- Appendix II: *Dalbergia* spp.[#15] (except for the species listed in Appendix I).

Annotation #15 reads:

> *All parts and derivatives are included, except:*
>
> *a) Leaves, flowers, pollen, fruits, and seeds;*
>
> *b) Non-commercial exports of a maximum total weight of 10 kg. per shipment;*
>
> *c) Parts and derivatives of* Dalbergia cochinchinensis*, which are covered by annotation # 4;*
>
> *d) Parts and derivatives of* Dalbergia *spp. originating and exported from Mexico, which are covered by annotation # 6.*

Dalbergia nigra has been included in Appendix I since 1992, following the adoption of a proposal submitted by Brazil at the eighth meeting of the Conference of the Parties (Kyoto, 1992).

Dalbergia cochinchinensis, *D. granadillo*, *D. retusa*, *D. stevensonii and "Dalbergia* spp. (populations of Madagascar)" have been included in Appendix II since 2013, following the adoption of proposals submitted by Belize, Madagascar, Thailand and Viet Nam at the 16th meeting of the Conference of the Parties (Bangkok, 2013).

All other species of the genus *Dalbergia,* including *D. sissoo* have been included in Appendix II since 2 January 2017, following the adoption of two proposals submitted by Mexico (proposal CoP17 Prop. 54) and Argentina, Brazil, Guatemala and Kenya (CoP17 Prop. 54) at the 17th meeting of the Conference of the Parties (Johannesburg, 2016). The total of species covered by the genus *Dalbergia* is around 300.

India has a reservation in place for the Appendix-II listing of *Dalbergia* spp. [#15], valid since 2 January 2017. Furthermore, through Notification No. 2018/031 of 26 March 2018, India informed Parties that it had set a ban on exportations for "*commercial purposes of all wild-taken specimens of species included in Appendices I, II and III […]*". In the Notification, India specifies the following exemption from this general ban: the export of cultivated varieties of plant species included in Appendices I and II; and, all products (except logs, timber, stumps, roots, bark, chips, powder, flakes, dust and charcoal) produced from wild sourced (W) *Dalbergia sissoo* and *Dalbergia latifolia* and authorized for export by a CITES Comparable Certificate issued by the competent authorities of India.

Purpose and impact of the proposal

The proposal seeks to delete *Dalbergia sissoo* from Appendix II, citing that the species does not satisfy Article II, paragraph 2 (a) of the Convention or criteria in Annex 2a of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II.*

If the proposal is adopted, *D. sissoo* will be deleted from the Appendices, through the inclusion of the following text (underlined) in the Appendix II listing of *Dalbergia* spp.:

> *"*Dalbergia *spp. #15 (except for the species listed in Appendix I and* Dalbergia sissoo*)*"

A possible impact of the deletion is that it could create challenges in the implementation of the Convention as only one of the species of the genus *Dalbergia* would be excluded from CITES controls.

Compliance with listing criteria

The supporting statement suggests that *Dalbergia sissoo* does not satisfy criteria A and B in Annex 2a of Resolution Conf. 9.24 (Rev. CoP17) for listing under Appendix II. This overlooks the fact that, when the Conference of the Parties adopted the proposal to include *Dalbergia* spp. in Appendix II, at CoP17, the proposal indicated that species were included not only under Annex 2a of the Resolution, but also under Annex 2b, which relates to species that are similar in appearance to those referred to in Annex 2a (so-called 'look-alike' species).

According to the supporting statement, *D. sissoo* is native to 11 countries in Asia and South Africa and has been introduced as an exotic species in around 35 countries in Africa, Asia, the Caribbean, North and South America and Oceania.

Indian rosewood is said to be fast growing and abundantly found in the wild throughout its natural range in India. This seems to be further confirmed by the fact that the species has been successfully introduced in various countries throughout the world, and it is known to be invasive in Australia and the United States of America[13].

The Secretariat notes that the conservation status of the species throughout its range has thus far not been formally assessed at the global level. National assessments in India suggest that its populations of Indian rosewood do not fall under any threatened categories. According to the proposal, the main threats to the species are bacterial, fungal and insect borne diseases. The impacts of both harvest and trade on wild populations in India are quoted to be negligible, citing that it is extensively available in commercial plantations in India (where it represents the second most important cultivated tree), and that illegal trade in trees removed from wild populations is rarely reported in India. The proposal does not provide information on plantations from other known range States.

According to the supporting statement, Indian rosewood is used at the local level for a variety of purposes (including medicinal ones), but its wood is the product most valued in international trade. The main specimens in international trade are handicraft items, furniture, veneer, plywood and musical instruments.

The proponents suggest that the wild populations of *D. sissoo* in India are not threatened by international trade. There is also a formal agroforestry industry in place that seems capable of meeting the demands of the international market. However, there are considerable information gaps related to the conservation status, management and production of the species throughout the species' range States other than India.

Regarding the issue of similarity to other species in trade, the proponents state that "*Dalbergia sissoo* is easy to identify in living condition, unlikely to be confused with other species", yet this does not address similarity issues with other (non-live) specimens found in international trade. Additionally, the supporting statement provides no further information regarding the issue of distinguishing wood of this species from wood of other species of the genus *Dalbergia*. Furthermore, should the species be deleted from the Appendices, no safeguards are anticipated, which could potentially hamper the implementation of the Convention for the *Dalbergia* species that remain listed in the Appendices.

Additional considerations (including relevant CoP recommendations)

There seem to be inconsistencies regarding the information on the natural distribution of the species. While the literature suggests that *Dalbergia sissoo* occurs in the foothills of the Himalayas from eastern Afghanistan through Pakistan, to India and Nepal[14], the range States mentioned in the proposal, as well as those currently reflected in the Checklist of CITES Species, suggest a wider natural distribution.

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[13] *Global Invasive Species Database. 2019. Species profile:* Dalbergia sissoo*. Downloaded from: http://www.iucngisd.org/gisd/species.php?sc=1186*

[14] *Wang, B.Y. et al. 2011. Genetic diversity and differentiation in* Dalbergia sissoo *(Fabaceae) as revealed by RAPD. Genetics and Molecular Research, 10 (1): 114-120.*

The Secretariat notes that Canada and the European Union have submitted a proposal (CoP18 Prop. 52), the outcomes of which are likely to affect the listings of *Dalbergia* spp., since it seeks to amend the current annotation #15.

Comments from Parties

Indonesia reiterates that *Dalbergia sissoo* is widely distributed, and that it has even established as an exotic species outside its natural range. It mentions that *D. sissoo* can be differentiated through macroscopic techniques, taking into consideration anatomic characteristics such as growth rings, pores and color. For these reasons, Indonesia expresses support in deleting the species from Appendix II.

Comments from statutory consultees

IUCN notes that although *Dalbergia sissoo* might not meet the Appendix II listing criteria in Annex 2a of Resolution Conf. 9.24 (Rev. CoP17), differentiating this species in trade from all other *Dalbergia* species does, at present, remain a major implementation challenge. While methods exist to differentiate *D. sissoo* from other members of the genus in trade, these require expertise and technology not currently widely available globally. The species therefore still meets Criterion A of Annex 2b A in that "*the specimens of the species in the form in which they are traded resemble specimens of a species included in Appendix II under the provisions of Article II, paragraph 2 (a), or in Appendix I, so that enforcement officers who encounter specimens of CITES-listed species are unlikely to be able to distinguish between them*." If the species is not removed from the Appendices, any impact on the handicraft industry might be mitigated by the proposed change to annotation #15.

ITTO indicates qualified support for the proposal, provided India and other range States can provide evidence of the ability to identify this species in products in trade.

Conclusions

Dalbergia sissoo is native to 11 countries in Asia and South Africa and has been introduced as an exotic species in around 35 countries in Africa, Asia, the Caribbean, North and South America, and Oceania. The species seems to be widespread throughout its range, and there seems to be a strong agroforestry industry in place in India to (partially) satisfy the demand for the species in international trade. However, should the proposal be adopted, no information is available as to how specimens of *D. sissoo* in trade can be easily distinguished from those of *Dalbergia* spp. that would remain listed in the Appendices. Furthermore, there is a considerable gap of information regarding the conservation status and management of the species in range States other than India.

Recommendations

Dalbergia sissoo continues to meet criterion A of Annex 2b of Resolution Conf. 9.24 (Rev. CoP17) regarding species similar in appearance. Furthermore, although some Indian populations of *D. sissoo* appear not to meet criteria A or B of Annex 2a of Resolution Conf. 9.24 (Rev. CoP17) for inclusion in Appendix II, the same cannot be said of the populations of the species throughout other range States of the species.

The Secretariat recommends that this proposal be **rejected**.

Note to Parties and Proponents

Canada and the European Union have submitted a proposal (CoP18 Prop. 52), the outcomes of which are likely to affect the listings of *Dalbergia* spp., since it seeks to amend the current annotation #15.

Proposal 52

***Dalbergia* spp., *Guibourtia demeusei*, *Guibourtia pellegriniana*, *Guibourtia tessmannii* (rosewoods, palisanders and bubingas) – Amendment to annotation #15 as follows:**

"All parts and derivatives, except:

a) leaves, flowers, pollen, fruits, and seeds;

b) finished products to a maximum weight of wood of the listed species of 500g per item;

c) finished musical instruments, finished musical instrument parts and finished musical instrument accessories;

d) parts and derivatives of *Dalbergia cochinchinensis*, which are covered by annotation # 4;

e) parts and derivatives of *Dalbergia* spp. originating and exported from Mexico, which are covered by annotation # 6."

Proponents: Canada and European Union

Provisional assessment by the Secretariat

CITES background

Currently, the listings of the genera *Dalbergia* and *Guibourtia* are listed in the Appendices as follows:

Appendix I	**Appendix II**
Dalbergia nigra	*Dalbergia* spp. #15 (except for the species listed in Appendix I) *Guibourtia demeusei* #15 *Guibourtia pellegriniana* #15 *Guibourtia tessmannii* #15
#15 All parts and derivatives are included, except: a) Leaves, flowers, pollen, fruits, and seeds; b) Non-commercial exports of a maximum total weight of 10 kg. per shipment; c) Parts and derivatives of *Dalbergia cochinchinensis*, which are covered by annotation # 4; d) Parts and derivatives of *Dalbergia* spp. originating and exported from Mexico, which are covered by annotation # 6.	

The listing of *Dalbergia nigra* in Appendix I results from the amendments to the Appendices adopted at the 8th meeting of the Conference of the Parties (CoP8, Kyoto 1992).

The listings of *Dalbergia* spp., *Guibourtia demeusei*, *G. pellegriniana* and *G. tessmannii* in Appendix II, with Annotation #15, are a result of the amendments to the Appendices adopted at the 17th meeting of the Conference of the Parties (CoP17, Johannesburg, 2016).

These amendments entered into force on 2 January 2017. The implementation of annotation #15 presented challenges, particularly concerning the significant differences in the interpretation of its terms among trading countries.

At its 69th meeting, the Standing Committee agreed to interim definitions of certain terms in annotation #15, and at its 70th meeting recommended an approach for the revision of the existing annotation #15.

The present amendment to the annotation is proposed in accordance with the outcomes of the discussions in the Standing Committee's working group on annotations and was supported by the Standing Committee at its 70th meeting in October 2018.

Purpose and impact of the proposal

The proposal seeks to amend current annotation #15, as follows:

Proposed revised annotation (track changes):

Annotation #15

All parts and derivatives ~~are included~~, except:

a) Leaves, flowers, pollen, fruits, and seeds;

b) ~~Non-commercial exports of~~ Finished products to a maximum ~~total~~ weight of wood of the listed species of ~~10 kg~~500g. per ~~shipment~~item;

c) Finished musical instruments, finished musical instrument parts and finished musical instrument accessories.

~~c~~d) Parts and derivatives of Dalbergia cochinchinensis*, which are covered by annotation # 4;*

~~d~~e) Parts and derivatives of Dalbergia *spp. originating and exported from Mexico, which are covered by annotation # 6.*

Proposed revised annotation (clean):

Annotation #15

All parts and derivatives, except:

a) Leaves, flowers, pollen, fruits, and seeds;

b) Finished products to a maximum weight of wood of the listed species of 500g per item;

c) Finished musical instruments, finished musical instrument parts and finished musical instrument accessories;

d) Parts and derivatives of Dalbergia cochinchinensis*, which are covered by annotation # 4;*

e) Parts and derivatives of Dalbergia *spp. originating and exported from Mexico, which are covered by annotation # 6.*

The purpose of the proposal is to clarify the existing text and exclude certain finished products from CITES controls. The new annotation also intends to reduce the considerable workload of the CITES authorities generated after the entry into force of the existing annotation. Information on the commodities that dominate the trade and on the impact of the CITES controls on other industries that use *Dalbergia* spp. in the elaboration of their products is uncertain because there is not a system in place to collect and assess new and available data in a periodic basis. Document CoP18 Doc. 101 contains draft decisions to address this issue in the next intersessional period.

Compliance with listing criteria

Considering that the scope of this proposal is limited to amending an existing annotation, in this particular case, assessing the proposal against the listing criteria [i.e. Annexes 1 to 2 of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*] is not applicable.

The Secretariat notes that in case of uncertainty regarding the status of a species or the impact of trade on the conservation of a species, Paragraph 2 of Resolution Conf. 9.24 (Rev. CoP17) states that, *"by virtue of the* precautionary *approach and in case of uncertainty regarding the status of a species or the impact of trade on the conservation of a species, the Parties shall act in the best interest of the conservation of the species concerned and, when considering proposals to amend Appendix I or II, adopt measures that are proportionate to the anticipated risks to the species"*. The Secretariat understands that this proposal intends to act in the best interest of the conservation of the species by ensuring that the text is clearer and unambiguous, and by proposing precautionary measures that are proportionate to the identified or anticipated risks.

The Secretariat further notes that subparagraphs a) and b) of paragraph 6 of Resolution Conf. 11.21 (Rev. CoP17) on *Use of annotations in Appendices I and II* provide guidance and principles that should be observed when drafting annotations. They state that:

> *"a) Parties submitting proposals that contain substantive annotations:*
>
> *i) ensure that the text is clear and unambiguous in the three working languages of the Convention;*
>
> *ii) consider the conservation impact of excluding certain specimens from CITES provisions; and*
>
> *iii) consider the enforceability of the annotations;*
>
> *b) two main principles be followed as standard guidance when drafting annotations for plants:*
>
> *i) controls should concentrate on those commodities that first appear in international trade as exports from range States; these may range from crude to processed material; and*
>
> *ii) controls should include only those commodities that dominate the trade and the demand for the wild resource;"*

Additional considerations (including relevant CoP recommendations)

The provisional conclusions by the Secretariat invite the proponents to take into consideration the scope of the proposal and the possibilities given by the relevant paragraphs of the Rules of Procedure of the Conference of the Parties. Those paragraphs are:

- Paragraph 2 of Rule 24 of the Rules of Procedure of the Conference of the Parties (as amended at CoP17, Johannesburg 2016), which states that:

  > *"The Representative of the Party that has submitted a proposal for amendment of Appendices I and II may, at any time, withdraw the proposal or amend it to reduce its scope or to make it more precise. Once a proposal has been withdrawn, it may not be re-submitted during the meeting. Once a proposal has been amended to reduce its scope, it may not be re-amended, during the meeting, to increase the scope of the amended proposal."*

- Paragraph 5 of Rule 25 of the Rules of Procedure of the Conference of the Parties (as amended at CoP17, Johannesburg 2016), which states that:

  > *"Any Representative may propose an amendment to a proposal for amendment of Appendix I or II to reduce its scope or to make it more precise. The Presiding Officer may permit the immediate discussion and consideration of such a proposed amendment even though it has not been circulated previously."*

The Secretariat would like to offer the following commentary regarding the main elements to consider when interpreting the "scope" of a proposal:

- The proponents should take into account the direction of travel (scope) of the proposal: a) whether it is aiming to make trade easier; or rather, b) whether it is aiming to make trade more difficult vis-à-vis the existing annotation.

- If the direction of travel (scope) of the proposal is to make trade easier, extending the scope of the proposal would entail making trade even easier. If the direction of travel of the proposal is to make trade more difficult, extending the scope of the proposal would entail making trade even more difficult.

The Secretariat therefore understands that this proposal is aiming to make trade easier by: making an exemption not only for non-commercial trade but also for commercial trade of finished products of a certain weight [amended paragraph b)]; and by exempting a category of finished products [new paragraph c)].

Comments from statutory consultees

IUCN notes that the proposed amendment to annotation #15 is the result of the extensive discussions and consensus reached by the Standing Committee's working group on annotations (see SC70 Com. 17). The Standing Committee has supported the proposed amendment, which is intended to reduce the challenges with interpretation and implementation of the current annotation #15 experienced by Parties and ensure the annotation is in line with guidance on use of annotations in Resolution Conf. 11.21 (Rev. CoP17). Given the extensive debate on these changes and the consensus reached by the Standing Committee, the proposed changes should address the issues raised by (the majority of) stakeholders. Finished pieces of furniture made from the species to which the annotation applies are unlikely to contain wood of those species weighing less than 500g, so if the proposal is accepted these would continue to be covered by the listing, regardless of whether they were being exported by a range State or a processing country.

ITTO indicates its support for the proposal to amend the annotation, primarily to exclude finished musical instruments from the coverage of the listing. This proposal was subject to substantive discussions within the Standing Committee and should be adopted, preferably with a provision for training of customs officials and others charged with implementing the listing.

Conclusions

Proposal 52 to amend annotation #15 reflects the agreements achieved by the Standing Committee at its 70th meeting (SC70, Sochi, October 2018). The Secretariat acknowledges the importance of these agreements, and that the proposed new annotation #15 represents an improvement from the existing one that could facilitate the interpretation and implementation of the Convention for trade in Appendix II-listed rosewood species of the genus *Dalbergia* and *Guibourtia*.

While recognizing the improvements to the text made by this proposal, the Secretariat is concerned by the potential enforceability challenges created by new terms included in paragraphs b) and c) of the proposed new annotation #15. In the case of the exemptions introduced in paragraph b), these could be partially be covered by existing provisions of the Convention, such as those of Resolution Conf. 13.7 (Rev. CoP17) on *Control of trade in personal and household effects*. In the case of paragraph c), the Secretariat anticipates implementation challenges associated to the fact that there is currently no agreed definition as to what is understood for "musical instruments". In the case of paragraphs d) and e) of the proposed new annotation #15, the reference to other annotations within the same annotation is also a matter of concern. Finally, the Secretariat considers that the overall language of the proposed new annotation #15 can be improved in order to ease its interpretation.

The Secretariat is of the view that there is still room to further improve the proposed new annotation, in compliance with the provisions in Resolution Conf. 11.21 (Rev. CoP17) on *Use of annotations in Appendices I and II*, as well as with the Rules of Procedure of the Conference of the Parties (particularly Rule 24.2). For this purpose, the Secretariat includes a commentary for each paragraph of the proposed new annotation #15, including in some cases an alternative approach. These conclusions and recommendations take into account the outcomes of an informal consultation process organised by the Secretariat, and that involved the proponents, some range States, and some importing Parties of the species covered by current annotation #15.

Paragraph of the proposed "new" annotation #15	Conclusions
"All parts and derivatives, except:	Scope of the proposal (if adopted): Maintain *status quo* • The proposed amendment simplifies the paragraph in comparison to the current annotation #15 and is supported by the Secretariat.
a) Leaves, flowers, pollen, fruits, and seeds;	Scope of the proposal (if adopted): Maintain *status quo* • This paragraph reads the same as paragraph a) in the current annotation #15. The Secretariat supports its maintenance.
b) Finished products to a maximum weight of wood of the listed species of 500g per item;	Scope of the proposal (if adopted): Make trade easier by expanding the exemption to all trade • The basis for proposing 500 g for items to be exempted is not known and may seem arbitrary. The change from "10 kg per shipment" to "500 g per item" does not seem to resolve the existing interpretation and implementation challenges. • The Secretariat recommends that the term "item" is replaced with terminology already defined either in the text of the Convention or in the Interpretation section of the Appendices. Specifically, "item" could be replaced by "specimen". • An alternative approach may be for Parties to consider deleting this new paragraph and using the provisions of Resolution Conf. 13.7 (Rev. CoP17) on *Control of trade in personal and household effects* to create an exemption for a given number of the specimens in question.
c) Finished musical instruments, finished musical instrument parts and finished musical instrument accessories;	Scope of the proposal (if adopted): Make trade easier • The Secretariat recommends the adoption of this new paragraph, noting however that the terms included in it are yet to be defined in the Interpretation section of the Appendices. The Secretariat notes that the absence of a definition could pose implementation challenges.
d) Parts and derivatives of Dalbergia cochinchinensis*, which are covered by annotation # 4;*	Scope of the proposal (if adopted): Maintain *status quo* • This paragraph reads the same as the current paragraph c) of annotation #15. The Secretariat notes that by retaining a reference to annotation #4, the paragraph may continue to pose implementation challenges. However, deleting paragraph d) would imply making trade easier, which in the view of the Secretariat would expand the scope of the proposal. Therefore, the Secretariat recommends this paragraph to be maintained.
e) Parts and derivatives of Dalbergia *spp. originating and exported from Mexico, which are covered by annotation # 6."*	Scope of the proposal (if adopted): Maintain *status quo* • The cross-reference in an annotation to another annotation will continue to represent an interpretation and implementation challenge. • Taking into account both the options presented by the Secretariat to new paragraph b), as well as the additional exemptions provided by new paragraph c), Parties could give

Paragraph of the proposed "new" annotation #15	Conclusions
	consideration to the deletion of paragraph e). Since eliminating paragraph e) would entail additional specimens of Dalbergia spp. "originating and exported from Mexico" being covered by Appendix II provisions, in the view of the Secretariat this would reduce the scope of the proposal. Should Parties agree to this approach, the Secretariat notes that this could potentially simplify the new annotation #15 and improve the implementation of the Convention.

Recommendations

The Secretariat recommends that the proposal be **adopted**, taking into consideration the alternatives presented by the Secretariat to paragraphs b) and e) of the proposed new annotation #15.

Note to Parties and Proponents

Building upon the experience gained and lessons learnt following the entry into force of the existing annotation #15 to the inclusion of the genus *Dalbergia* spp. at CoP17, it appears essential to develop practical guidance on the implementation of the revised annotation shortly after CoP18. If the proposal were to be adopted (regardless of further amendments made to it at CoP18), the Secretariat invites the proponents and Parties to strive to:

- Develop practical guidance on the interpretation of the new annotation #15, as well as standardized definitions for new terms included in it, and in particular those of paragraphs b) and c); and

- Regarding the finished musical instruments, parts and accessories referred to in the proposed new paragraph c), develop a non-binding reference list that is illustrative, yet not exhaustive, of the finished "musical instruments, musical instrument parts and musical instrument accessories" that are covered by this paragraph in order to facilitate consistent implementation among the Parties.

The Secretariat further notes that for ease of reference during CoP18, the two points raised above could be submitted through information documents.

Proposal 53

***Pericopsis elata* (African teak or afrormosia) - Expansion of the scope of the annotation for *Pericopsis elata* (currently #5) to include plywood and transformed wood as follows:**

"Logs, sawn wood, veneer sheets, plywood, and transformed wood[1].

[1] Whereby transformed wood is defined by HS code 44.09: Wood (including strips, friezes for parquet flooring, not assembled), continuously shaped (tongued, grooved, v-jointed, beaded or the like) along any edges, ends or faces, whether or not planed, sanded or end-jointed."

Proponents: Côte d'Ivoire and European Union

Provisional assessment by the Secretariat

CITES background

Pericopsis elata was listed in Appendix II at the eighth meeting of the Conference of the Parties (Kyoto, 1992), with the following annotation to indicate the parts and derivatives that were covered: "saw-logs, sawn wood and veneers only".

At the 10th meeting of the Conference of the Parties (Harare, 1997), the annotation applying to *P. elata,* number #5, was amended to read "logs, sawn wood and veneer sheets". This annotation also applies to a number of other timber species in the CITES Appendices. *Diospyros* spp. and *Swietenia mahagoni* are listed in Appendix II, and *Quercus mongolica*, *Fraxinus mandshurica*, *Pinus koraiensis*, and three *Cedrela* species are listed in Appendix III.

P. elata has been the subject of multiple CITES processes and discussions, including the Review of Significant Trade under Resolution Conf. 12.8 (Rev. CoP17) on *Review of Significant Trade in specimens of Appendix-II species*. The species was selected for review in 2002 and again in 2009. Action under the review process is ongoing for Côte d'Ivoire (see document PC23 Doc. 15.1).

At present, a recommended trade suspension is in effect for Côte d'Ivoire (see CITES Notification to the Parties No. 2018/006), and export quotas apply in Cameroon, Congo and the Democratic Republic of the Congo. *P. elata* is also addressed in two projects in the CITES Tree Species Programme, to be implemented in Côte d'Ivoire and the Democratic Republic of the Congo.

An amendment of annotation #5 for the species was discussed by the Standing Committee. At its 70th meeting, the Standing Committee invited interested Parties to draft an amendment proposal for consideration at the 18th meeting of the Conference of the Parties (CoP18), if they so wish (see document CoP18 Doc. 101).

Purpose and impact of the proposal

The proposal to amend the annotation to *Pericopsis elata* is submitted by Côte d'Ivoire and the European Union, as a follow-up to discussions by the Standing Committee, and all range States were consulted about this proposal (see Annex 1 of the supporting statement). Its purpose is to extend the current annotation #5, so as to include plywood and "transformed wood". The latter term is defined in the Harmonized Commodity Description and Coding System, maintained by the World Customs Organization.

The proposed extension is intended to close a loophole that allows timber to be declared as having gone through a secondary processing step without having added any value or purpose to the wood. This leads to the exports being considered beyond the scope of CITES, and thus also as outside annual export quotas where these exist. The supporting statement suggests that the proposal would ensure that CITES controls cover the commodities that first appear in international trade as exports from range States and include those commodities that dominate the trade and the demand for the wild resource, in accordance with Resolution Conf. 11.21 (Rev. CoP17) on *Use of annotations in Appendices I and II*. However, since the text of annotation #5 will continue to be applied to other taxa, this proposal, if adopted, would create a new, additional annotation. While "plywood" is already referred to in annotations #6, #11 and #12, "transformed wood" is a term not currently used in any annotation. Furthermore, the proposal would introduce the definition of that term in a footnote, i.e. as a footnote to a footnote.

Compliance with listing criteria

Not applicable

Additional considerations (including relevant CoP recommendations)

The proposed change of the annotation would increase the complexity of CITES implementation by adding: i) a new annotation; ii) new terminology; and iii) a footnote to an annotation. The proposal does not present any trade data on the volume or value of exports that would exploit the described loophole, and only suggests that a clear case was found in one European Union Member State. Thus, the presented information seems insufficient to allow a determination of compliance with the provisions of Resolution Conf. 11.21 (Rev. CoP17), and in particular:

- the conservation impact of either closing or maintaining a loophole in the future [paragraph 6(a)ii)];

- the enforceability of the proposed change in the annotations [paragraph 6(a)iii)];

- whether plywood and transformed wood are commodities that first appear in international trade [paragraph 6(b)i)]; and

- whether they dominate the trade and the demand for the wild resource [paragraph 6(b)ii)].

Thus, the Secretariat notes that it remains unclear how frequently this loophole is being exploited, whether other species are affected by it, and that a general revision of annotation #5 may be warranted to more comprehensively address this possible concern.

Comments from Parties

Benin communicated its support of the proposal, since the species is classified as Endangered by IUCN, and since the trade in its timber is unsustainable at current levels, which led to diminished populations in all range States. Benin considers that the proposed extension of annotation #5 for the species would close a loophole.

The **United States of America** remarked that CITES Authorities have the discretion to challenge the lack of a CITES document if they believe that the commodity being attempted to be imported falls within the scope of a listing. If the proposal was adopted, the USA suggests that the definition of 'transformed wood' should not be included as substantive footnote to the annotation, but into the Interpretation section of the Appendices, and in Resolution Conf. 10.13 (Rev. CoP15) on *Implementation of the Convention for timber species*.

Comments from statutory consultees

IUCN remarks that the extent of the trade in transformed wood of *Pericopsis elata* remains unknown, even though a similar proposal submitted to CoP17 by Thailand (CoP17 Prop. 53) for *Dalbergia cochinchinensis* was adopted by the Parties. Rather than including the definition of the term 'transformed wood' in the potential annotation for *P. elata*, IUCN suggests including it in Resolution Conf. 10.13 (Rev. CoP15) and in the *Guidelines for the preparation and submission of CITES annual trade reports*. IUCN suggests that the new annotation potentially created for *P. elata* might also be appropriate for other CITES listed tree species.

ITTO states its support for the expansion of the proposal, even though its database does not show trade in plywood or further processed products from *Pericopsis elata* in recent years. ITTO remarks that multiple projects related to *P. elata* were funded during the ITTO-CITES program and the current CITES tree species programme.

Conclusions

Problems may well exist in implementing annotation #5, as was also demonstrated by a similar listing proposal on *Dalbergia cochinchinensis* at the 17th meeting of the Conference of the Parties (CoP17 Prop. 53). The proposed amendment may address this concern and improve the management of *Pericopsis elata*. However, the supporting statement does not contain sufficient information to judge compliance of the proposed amendment with the provisions concerning the first commodities in trade in paragraph 6 of Resolution Conf. 11.21 (Rev. CoP17) on *Use of annotations in Appendices I and II*. The proposed change of the annotation would increase the complexity of CITES implementation by adding: i) a new annotation; ii) new terminology; and iii) a footnote to an annotation. It is thus not in line with paragraph 7 of Resolution Conf. 9.24 (Rev. CoP17), which

resolves that proposals to amend annotations should be harmonized with existing annotations. However, the Secretariat considers that a precautionary approach might be appropriate for *Pericopsis elata*, and that the definition of transformed wood might in the future be warranted for a more general amendment of the annotations of other CITES-listed tree species.

Recommendations

The Secretariat recommends that this proposal be **adopted**.

Note to Parties and Proponents

If the proposal is adopted, the Secretariat recommends that Parties consider the inclusion of the definition of 'transformed wood' in the Interpretation section of the Appendices, rather than retaining it as a footnote to the annotation. The Standing Committee might consider whether an inclusion of the definition of 'transformed wood' in the *Guidelines for the preparation and submission of CITES annual trade reports* and the *Guidelines for the preparation and submission of CITES annual illegal trade reports* is warranted. Parties might also consider whether a revised annotation #5 ("logs, sawn wood and veneer sheets") may be warranted for other CITES-listed tree species.

Proposal 54

***Pterocarpus tinctorius* (African padauk, mukula) - Inclusion in Appendix II**

Proponent: Malawi

Provisional assessment by the Secretariat

CITES background

The genus *Pterocarpus* includes around 46 species. Two species of this genus are listed under Appendix II, as follows:

- *Pterocarpus erinaceus* [since 2017]; and,

- *Pterocarpus santalinus* with annotation #7 (*Logs, woodchips, powder and extracts*) [since 2007].

Pterocarpus tinctorius, commonly known as mukula, has not been the subject of a listing proposal before.

Purpose and impact of the proposal

The proposal seeks to include *Pterocarpus tinctorius* in Appendix II (without an annotation), in accordance with Article II of the Convention. If the proposal is adopted, international trade in specimens of *P. tinctorius* will be regulated in accordance with the provisions of Article IV o the Convention.

Furthermore, by not including an annotation, and in accordance with Resolution Conf. 11.21 (Rev. CoP17) on *Use of annotations in Appendices I and II*, the trade of all specimens of this species would be regulated accordingly.

Compliance with listing criteria

The supporting statement does not specify the Appendix-II listing criteria met, but states that *"…it can be inferred that the regulation of trade in [Pterocarpus tinctorius] is necessary to avoid it becoming eligible for inclusion in Appendix I in the near future".* This suggests that the listing is in compliance with Article II, paragraph 2 (a) of the Convention; however, the proposal does not make specific reference to the listing criteria met in compliance with Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*.

Pterocarpus tinctorius is a rosewood tree species native to Africa's miombo woodland and is known to occur in the following eight countries: Angola, Burundi, the Democratic Republic of the Congo, Burundi, Malawi, Mozambique, the United Republic of Tanzania and Zambia.

The proposal presents information gaps on *P. tinctorius*, particularly regarding: population size, structure, and trends; population monitoring; control measures; and safeguards.

According to the latest assessment of the species under IUCN Red List assessment (dated 2017), the species qualifies under the category "Least Concern". However, its populations are known to be decreasing. According to the assessment, the main threat is illegal overharvest for timber, which is exacerbated as the species can be traded as an alternative to other species of *Pterocarpus* that are exhausted or legally protected. Furthermore, the species is traded internationally under the broad name of African padauk, which does not always differentiate among other species of *Pterocarpus*.

The supporting statement shows that numerous kinds of specimens of the species are used at the national level throughout its range for different purposes (e.g. production of honey, fabric dyes, medicinal purposes, and furniture). However, it is the demand for its timber (particularly rough squared logs and rough sawn timber) that is driving the international trade.

According to the supporting statement, '*separating legal trade from illegal trade is not a simple task given the spotty data, irregular enforcement and lack of clarity around national regulations in some countries'*. But it indicates that '*Official Chinese data shows skyrocketing imports of rosewood species from African nations – up 700% since 2010. While* Pterocarpus tinctorius *is not in the official hongmu list, it has achieved market demand*

due to its lookalike characteristics". The proposal refers to trade data that estimate that as much as 15,000 tonnes of mukula timber is sold each month.

The supporting statement also includes extensive information on illegal trade from known range States, driven by *"immense pressure due to the widespread illegal harvesting accelerated by its high international demand"*.

Regarding look-alike aspects, the supporting statement recognizes that the species could be confused with Appendix-II listed species of *Dalbergia*, as well as with non-CITES listed species such as *Pterocarpus angolensis* and *P. soyauxii*. It is unclear however if *P. tinctorius* resembles *Pterocarpus* species currently listed in the Appendices, yet this could be the case.

Additional considerations (including relevant CoP recommendations)

The proposal includes no annotation to specify the parts and derivatives that would be included. Consequently, if the proposal is adopted, all parts of derivatives of *P. tinctorius* would be subject to the provisions of Article IV of the Convention. Considering that the main specimens known to be in international trade are rough squared logs and rough sawn timber, perhaps consideration could be given to include an annotation. As an example, annotation #7 (Logs, woodchips, powder and extracts) would align the listing of *Pterocarpus tinctorius* with the existing listing of *Pterocarpus santalinus*.

If adopted, the information gaps reflected in the proposal could be partially addressed by draft decisions on rosewood tree species submitted by the Plants Committee for consideration at the present meeting (see document CoP18 Doc. 74).

Likewise, and if the proposal were to be adopted, range States of *P. tinctorius* might wish to consider putting in place additional voluntary measures in preparation for the entry into force of the listing of *P. tinctorius* in Appendix II. These measures could include the establishment of national voluntary export quotas [following the guidance contained in Resolution Conf. 14.7 (Rev. CoP15) on *Management of nationally established export quotas*], and the inventory of pre-Convention stockpiles.

Comments from Parties

Benin supports the proposal, noting that listing *Pterocarpus tinctorius* in Appendix II will facilitate the distinction between legal and illegal specimens.

The **United States of America** recommend the proponent to consider an appropriate annotation, such as annotation #5 ("logs, sawn wood and veneer sheets") or #6 ("logs, sawn wood, veneer sheets and plywood"), and to clarify their intentions in advance of the Conference of the Parties.

Comments from statutory consultees

IUCN notes that the current level of harvest for timber of *Pterocarpus tinctorius* is likely to be unsustainable, in that it almost certainly exceeds the rate at which harvestable-sized trees are being replenished in the population. However, very little species-specific trade data are available, and it is unknown how much harvest is for domestic versus international markets. While there is insufficient evidence to determine clearly whether the species meets the criteria in Annex 2a of Resolution Conf. 9.24 (Rev. CoP17), given the uncertainty and the apparent serial exploitation of similar precious wood-producing trees, it may be precautionary to list the species in Appendix II. IUCN further notes the difficulties in distinguishing between *P. tinctorius* and *P. erinaceus* (already listed in Appendix II), and therefore it seems likely that *P. tinctorius* meets the look-alike criteria for listing in Appendix II provided in Annex 2b of Resolution Conf. 9.24 (Rev. CoP17). IUCN further notes that some trade is likely to be illegal, as certain range States have export bans in place. Any additional benefits of an Appendix II listing are not clear unless enforcement efforts are increased. If this proposal is accepted, those range States with export bans could request that the CITES Secretariat posts zero quotas on the CITES website if they wished to reflect national legislation.

ITTO states its qualified support for the listing proposal based on evidence of consultation with and support from other range States. ITTO notes that that it has no data on this species in its trade database.

Conclusions

Pterocarpus tinctorius is a rosewood tree species native to Africa's miombo woodland, and known to occur in Angola, Burundi, the Democratic Republic of the Congo, Burundi, Malawi, Mozambique, the United Republic of Tanzania and Zambia. Although the species seems to be widespread in Africa, its population is known to be decreasing mainly because of unregulated harvest of trees for timber destined for international trade. This, coupled with look-alike considerations, suggests that *Pterocarpus tinctorius* meets the criteria for its inclusion in Appendix II.

Recommendations

Pterocarpus tinctorius meets criterion B (and possibly A) in Annex 2a of Resolution Conf. 9.24 (Rev. CoP17) for its inclusion in Appendix II in accordance with Article II, paragraph 2 (a) of the Convention.

The Secretariat recommends that this proposal be **adopted**.

Note to the Parties

The Secretariat observes that the demand for timber, and in particular rough squared logs and rough sawn timber, seems to drive the international trade in *Pterocarpus tinctorius*. While reviewing this proposal and taking into consideration the guidance in Resolution Conf. 11.21 (Rev. CoP17) on *Use of annotations in Appendices I and II*, Parties may wish to consider the merit of including an annotation that reflects those commodities of *P. tinctorius* that first appear in international trade. In this regard, consideration could be given to annotation #6 ("*Logs, sawn wood, veneer sheets and plywood"*) or annotation #7 ("*Logs, woodchips, powder and extracts"*), noting that if the proposal is adopted, the latter would align the listing of *P. tinctorius* in Appendix II with that of *P. santalinus*.

Proposal 55

***Aloe ferox* (bitter aloe) – Amendment to annotation #4 for *Aloe ferox* as follows:**

"All parts and derivatives, except:

a) seeds (including seedpods of Orchidaceae), spores and pollen (including pollinia). The exemption does not apply to seeds from Cactaceae spp. exported from Mexico, and to seeds from *Beccariophoenix madagascariensis* and *Dypsis decaryi* exported from Madagascar;

b) seedling or tissue cultures obtained in vitro, in solid or liquid media, transported in sterile containers;

c) cut flowers of artificially propagated plants;

d) fruits, and parts and derivatives thereof, of naturalized or artificially propagated plants of the genus *Vanilla* (Orchidaceae) and of the family Cactaceae;

e) stems, flowers, and parts and derivatives thereof, of naturalized or artificially propagated plants of the genera *Opuntia* subgenus *Opuntia* and *Selenicereus* (Cactaceae); and

f) finished products[1] of *Aloe ferox* and *Euphorbia antisyphilitica* packaged and ready for retail trade.

[1] This term, as used in the CITES Appendices refers to product, shipped singly or in bulk, requiring no further processing, packaged, labelled for final use or the retail trade in a state fit for being sold to or used by the general public."

Proponent: South Africa

Provisional assessment by the Secretariat

CITES background

Aloe ferox was included in CITES Appendix II as part of the generic listing of all *Aloe* species at the time of entry into force of the Convention on 1 July 1975. At the fifth meeting of the Conference of the Parties (CoP5, Buenos Aires, 1985), the listing was annotated with annotation #6. The annotation relating to this species was amended at CoP6, CoP9 and CoP10 (Ottawa, 1987; Fort Lauderdale, 1994; Harare, 1997). Since CoP15 (Doha, 2010), the annotation relating to this species has been annotation #4, which applies for many species in a variety of plant families.

A. ferox is among the five most highly traded medicinal plant species in terms of volume and has been the subject of a variety of CITES documents and discussions. It was selected for review under the Review of Significant Trade [Resolution Conf. 12.8 (Rev. CoP17)] at the 15th meeting of the Plants Committee in 2005. At its 16th meeting in 2006, the Plants Committee eliminated *Aloe ferox* from the review (document PC16 WG1 Doc. 1). There are no recommended suspensions of trade or quotas in place. Most recently, the species was discussed at the 2018 CITES and livelihoods workshop in Guangzhou, China (document CoP18 Doc. 18.1).

Purpose and impact of the proposal

This proposal seeks to amend annotation #4, paragraph f), of the CITES Appendices, with the purpose of excluding "finished products" of *Aloe ferox* if they are "packaged and ready for the retail trade" and with a footnote containing a definition of the term "finished products". That definition was in fact already agreed by the Conference of the Parties as the definition of the term "finished products packaged and ready for retail trade" and is contained in paragraph 8 of the "Interpretation" section of the Appendices.

The proposed change would not impact the regulation of trade in specimens of any other species.

Compliance with listing criteria

The supporting statement addresses all aspects listed in the template for proposals in Annex 6 of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*. However, information on population, monitoring and management practices seems to be very limited, although exports of *Aloe ferox* comprise the majority of exports of all CITES-listed plant exports from South Africa, representing the third highest-valued CITES-listed export product from the country. These exports were valued at over USD 150 million between 2005 and 2014 in a trade in which close to 20 companies are involved.

No problems have been reported regarding distinguishing specimens of *A. ferox* from other specimens in trade, since all other CITES-listed aloes from South Africa are predominantly exported as live plants.

The proposal was developed in consultation with Lesotho, the species' only other range State, but the supporting statement contains virtually no data on the species in Lesotho.

Additional considerations (including relevant CoP recommendations)

The proposal, if adopted would align the exemption of finished products of *Aloe ferox* packaged and ready for retail trade with the existing exemption for *Euphorbia antisyphilitica*. The latter was adopted following the adoption by the Conference of the Parties at its 15th meeting of an amendment proposal by Mexico and the United States of America (on behalf of the Plants Committee), which assured that the exemption applicable to these specimens would not have an impact on the survival of the species in the wild.

Since the proposal is to amend an annotation, it should take into account Resolution Conf. 11.21 (Rev, CoP17) on *Use of annotations in Appendices I and II*. In paragraph 6.b) of that Resolution, the Conference of the Parties recommends that, for annotations for plants: "controls should concentrate on those commodities that first appear in international trade as exports from range States"; and "controls should include only those commodities that dominate the trade and the demand for the wild resource".

In this connection, information in the supporting statement is in some ways unclear or contradictory:

- The proponent states that the main commodity from *A. ferox* dominating the trade is the bitter sap extracts from the leaves, and there is no proposal to eliminate this from CITES controls. The supporting statement suggests that these bitter sap extracts tend to be reported in the CITES trade database as "extracts", and less frequently as "derivatives". On the other hand, the proponent also provides data (figure D) showing that exports of (what appear to be) finished products of *A. ferox*, packaged and ready for retail trade, [15] are growing exponentially. While this trade remained negligible up until 2005, it accounted for roughly 25% of all exports of *A. ferox* in the period 2006-2015. The supporting statement indicates that this increasing export of (what appears to be) finished products that are packaged and ready for retail trade goes along with enhanced in-country manufacturing capacity for processing secondary leaf material. The proponents also anticipate that the proposed exemption of finished products packaged and ready for retail trade would encourage additional in-country processing of harvested leaves. Should this trade increase, it could potentially mean that the commodity that first appears in international trade as exports from the range State would be finished products, but control of these products would be outside the control of CITES.

- The supporting statement suggests that most finished products contain only a low content of *A. ferox*, or secondary extracts from already harvested leaf material, and argues that their exclusion from CITES controls is therefore unlikely to have negative impacts the resource base or undermine the effective regulation of trade in the species. Based on these considerations, the supporting statement concludes that the exclusion of finished products from CITES regulation would not be detrimental to the species. The Secretariat notes that further clarification remains to be addressed in the case of conservation implications from the harvest of primary bitter sap products that are transformed into finished products in-country, rather than being exported in raw or extract form.

[15] *Figures C and D seem to confuse "derivatives" with "finished products packaged and ready for retail trade". The Secretariat interprets that both figures refer to the latter.*

- The supporting statement argues that the *A. ferox* components in finished products are 'minimal'. However, it defines 'minimal' as "< 50% of *A. ferox* content" (i.e. less than 50%), which seems significant.

- The proposal describes the species as common and abundant throughout its range, with populations being overall stable or even increasing, and with dense subpopulations in certain regions. Most of the wild harvest reportedly occurs on privately held land, where owners have an incentive to control access and harvest because of the species' high economic value. The supporting statement says that a recent non-detriment finding for *A. ferox* concluded that international trade in the species was non-detrimental at present. However, the proposal also states that: (i) there are conflicting views about the national population trend of the species; (ii) exact data on population trends and population structure are not available; (iii) demographic bottlenecks in the 0.25-1m height class are observed in heavily grazed populations or areas with large numbers of cattle; (iv) unsustainable use and habitat loss occur in localized instances, which has resulted in fragmentation of populations in certain areas; and (v) the management of Western Cape populations was reportedly better than of Eastern Cape populations. While a biodiversity management plan for *A. ferox* is reportedly being developed, the supporting statement does not provide further information on its implementation, and no formal conservation efforts outside of protected areas seem to be currently in place. Finally, the proposal states that local use is thought to be limited in comparison with international trade, but an evaluation of national trade is lacking.

More specific information on the two main production pathways would greatly enhance the robustness of conclusions on commodities that first appear in international trade and that dominate the demand for the wild resource. Improved knowledge on population status, and the establishment of monitoring and management programmes would greatly enhance the means to ensure that a continued growth of export of finished products packaged and ready for retail trade, which might result from an exemption from CITES regulation, would not impact the conservation of the species in the wild.

Conclusions

Additional information provided by IUCN/TRAFFIC suggests that South Africa is the only Party that exports products of *Aloe ferox*, since only 10 live specimens have been exported by the only other range State (Lesotho) as registered in the CITES trade database. IUCN/TRAFFIC also remark that South Africa clarified in bilateral communication that 'derivatives' in the proposal refers to 'finished products', even though it remains unclear whether all exports reported as derivatives are indeed 'finished products packaged and ready for retail trade'. Exports of derivatives (by total weight) have exceeded exports of extracts and powders in 2013, 2014 and 2015 due to increased in-country processing (Figure 1 of the IUCN/TRAFFIC assessment), even though it remains unclear which share of the total weight was derived from *A. ferox*. The actual quantity of *A. ferox* components in finished products exported from South Africa remains unclear, noting that the vast majority of finished products from South Africa could contain up to 50% of *A. ferox* components. A substantial amount of finished products from *A. ferox* are traded online and shipped to recipients by post. The German customs seized 3,000 such products in 2018.

The Secretariat is of the view that it remains unclear whether an exemption of finished *A. ferox* products from annotation #4 would be detrimental to the population of the species in the wild, and whether such an exemption would comply with the recommendations in paragraph 6 b) of Resolution Conf. 11.21 (Rev. CoP17) on *Use of annotations in Appendices I and II*. In particular, finished products of *A. ferox* seem to be (or have become) a substantial portion of the specimens/products of this species that first appear in international trade, and this portion is anticipated to further rise due to increased in-country processing. It remains unclear how much *A. ferox* components are contained in finished products; what share of these are derived from leaves that were specifically harvested for these products (in contrast to those harvested for extracting bitter saps that are not proposed for an exemption from CITES provisions), and to what degree the conservation status of the species in the wild may be affected by this trade.

Recommendations

The Secretariat recommends that this proposal be **rejected.**

Note to Parties and Proponents

Should the proposal be adopted, there would be no need for a footnote to define "finished products packaged and ready for retail trade" because this definition is already included in the Interpretation section of the Appendices.

Proposal 56

***Adansonia grandidieri (*Grandidier's baobab) - Amendment to annotation "#16 Seeds, fruits, oils and living plants" to the listing of *Adansonia grandidieri* in Appendix II by deleting reference to live plants, so as to read: "#16 Seeds, fruits and oils"**

Proponent: Switzerland

Provisional assessment by the Secretariat

CITES background

Adansonia grandidieri was included in Appendix II at the 17th meeting of the Conference of the Parties (CoP17, Johannesburg, 2016) with annotation #16. A potential revision of annotation #16 was discussed and endorsed by the Standing Committee (see document SC70 Doc. 67.1).

Purpose and impact of the proposal

The purpose of the proposal is to change the existing annotation #16 as follows:

Seeds, fruits~~,~~ and oils ~~and living plants~~.

Annotation #16 does not apply to any species other than *Adansonia grandidieri.*

In accordance with Article I, paragraph (b) (i) of the Convention, any plant or animal of a listed species, whether alive or dead, is a specimen covered by CITES. There is no possibility under the Convention to exclude live or dead plants or animals from CITES trade controls.

Consequently, the reference to "living plants" in annotation #16 is redundant, as living plants of all listed species are covered by the Convention. The proposal, if adopted, would correct this redundancy and might prevent misinterpretation of the Appendices because annotation #16, as currently worded, could be perceived as suggesting that live plants of other plant taxa are not covered.

The adoption of the proposal would not change the provisions that apply to the regulation of trade in *Adansonia grandidieri* and should have no impact on the implementation of the Convention.

Compliance with listing criteria

The criteria for inclusion of species in the Appendices have no bearing on this proposal. It is not affected by other recommendations and is compliant with all CITES provisions.

Additional considerations (including relevant CoP recommendations)

A further point made in the proposal refers to the option to include live and dead plants in all annotations pertaining to flora species in order to prevent potential misunderstandings by enforcement officers, who might not be aware that live and dead plants of CITES-listed species are always covered by definition. However, this consideration is already addressed in document CoP18 Doc. 101 on *Annotations*, which proposes pertinent changes to paragraph 7 of the Interpretation section of the CITES Appendices. Thus, the Secretariat recommends considering this suggestion under agenda item 101.

Conclusions

The proposal to exclude living plants from annotation #16 is in accordance with the provisions of the Convention, since living plants are already automatically included under Article I of the Convention and Resolution Conf. 11.21 (Rev. CoP17) on *Use of annotations in Appendices I and II*.

Recommendations

The Secretariat recommends that this proposal be **adopted**.

Note to Parties and Proponents

When reviewing this proposal, Parties may also wish to consider the proposal in document CoP18 Doc. 101 on *Annotations* to amend the Interpretation section of the Appendices.

Proposal 57

***Cedrela* spp. (cedars) - Inclusion in Appendix II**

Proponent: Ecuador

Provisional assessment by the Secretariat

CITES background

At the request of Peru, its population of *Cedrela odorata* was included in Appendix III on 12 June 2001. At the request of Colombia, its population of *C. odorata* was included in Appendix III on 29 October 2001. Both populations were included with an annotation indicating that the only parts and derivatives covered were logs, sawn wood and veneer sheets.

At the 14th meeting of the Conference of the Parties (CoP14, The Hague, 2007), a proposal to include *Cedrela* spp. in Appendix II was submitted by Germany (CoP14 Prop. 33), but subsequently withdrawn. However, following discussions, a decision was adopted, together with a plan of action, with the aim of completing knowledge on the conservation of, trade in, and sustainable use of *C. odorata* and three other tree species.

At the request of Guatemala, its population of *C. odorata* was included in Appendix III on 12 February 2008.

At the request of the Plurtinational State of Bolivia, *Cedrela fissilis*, *Cedrela lilloi* and *Cedrela odorata* (i.e. all populations) were included in Appendix III on 14 October 2010.

At the request of Brazil, the species *Cedrela odorata* (i.e. all populations) were included in Appendix III on 27 April 2011; and *C. fissilis* and *C. lillois* on 9 May 2016.

All of the above inclusions in Appendix III were annotated to indicated that the parts and derivatives covered were "logs, sawn wood and veneer sheets".

Purpose and impact of the proposal

This proposal seeks to include *Cedrela odorata* in Appendix II in accordance with Article II, paragraph 2(a), of the Convention, and to include all other species of the genus *Cedrela* in Appendix II in accordance with Article II, paragraph 2(b), because of their similarity in appearance.

No annotation has been proposed to limit the parts and derivatives to be covered.

If the proposal is adopted as is, the three species *C. odorata*, *C. lilloi* and *C. fissilis* will be transferred from Appendix III to Appendix II, and all other species of the genus *Cedrela* will be included in Appendix II. Trade in all specimens of *Cedrela* species will be regulated in accordance with the provisions of Article IV of the Convention.

The proposal would therefore have a notable impact in relation to the trade in the three species already in Appendix III. Firstly, trade in all readily recognizable parts and derivatives would require a permit, and not only trade in logs, sawn wood and veneer sheets. Secondly, all specimens of these species, as well as all other *Cedrela* species, would require an export permit to authorize international trade.

Compliance with listing criteria

The proposal suggests that *Cedrela odorata* meets the criteria for inclusion in Appendix II in accordance with Article II, paragraph 2(a), of the Convention and Annex 2a, paragraph B, of Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*; and all other species of the genus *Cedrela* spp. be included for 'look-alike' reasons, in accordance with Article II, paragraph 2(b) of the Convention [the Secretariat notes that the proposal refers to paragraph 2(a) but believes this is a typographical error], and paragraph A of Annex 2b of Resolution Conf. 9.24 (Rev. CoP17). According to the supporting statement (Annex 11), all *Cedrela* range States were consulted.

The supporting statement addresses all aspects referred to in the template for proposals in Annex 6 of Resolution Conf. 9.24 (Rev. CoP17), although the role of the species in its ecosystem is hardly mentioned. It also mentions that information on some other aspects is lacking, such as population structure and population trends. It does not

present an explanation for the observed variability of annually traded volumes, especially the decrease of annual trade since 2013, to virtually zero trade in 2017. The information provided regarding artificially propagated timber is somewhat contradictory, indicating that 47% of international trade is derived from artificial propagation, but that *Cedrela* plantations had mostly not been successful because of pest attacks and poor soil conditions. Only Mexico and Colombia are reported to have registered harvests from *Cedrela* plantations, implying artificial propagation has mostly taking place within the natural range. However, the proponents also state that 97% of the internationally traded *Cedrela* timber from artificial propagation was produced in two African countries (Côte d'Ivoire and Ghana), which are not mentioned as range States of the genus in the supporting statement.

The proponent suggests that international trade contributes to harvest in its natural range but does not indicate what share of the harvest is driven by international trade. The proponent also suggests that observed irregularities in the population structure of *C. odorata*, the decline of the species' habitat, and low population densities are at least partially caused by international trade in the species; and that fragmentation, selective harvesting of large trees, and low population densities might lead to loss of genetic diversity and reproductive capabilities. As a result, 15 *Cedrela* species are included in the IUCN Red List, seven of which are categorized as critically endangered or endangered. The supporting statement elaborates on existing management and monitoring approaches and applicable legal provisions. It argues that those would be strengthened by a CITES Appendix-II listing.

The proponents argue that a continuation of the current harvest practices, in conjunction with other threats such as habitat conversion, and a lack of effective management and monitoring would, in the long term, lead to a reduction of the population size, a loss of genetic diversity and, potentially, to a reduction of the species' reproductive capability.

Additional considerations [including relevant CoP recommendations]

Regarding the provisions of Resolution Conf. 10.13 (Rev. CoP15) on *Implementation of the Convention for timber species*, the supporting statement does not mention consultations with the expert organizations listed in paragraph 1 a) of the Resolution.

Comments from Parties

Peru clarifies that it is a range State to ten *Cedrela* species, four of which are endemic to the country. An additional species, *C. domatifolia* was described in 2019 and would also be affected by a genus listing. Peru points out some additional observations on specific sections of the supporting statement:

- The supporting statement contains limited information on the population trends of *C. odorata*; the species is categorized by IUCN as of least concern; and most range States have management measures in place. According to Peru, *C. odorata* populations seem stable.

- The references and conclusions in the section on threats seem contradictory to the IUCN Red list assessments.

- Considering that trade from wild sources was decreasing, the proposal remained unclear about the effect of international trade on *Cedrela* populations.

- Peru confirms that it has developed identification manuals and that the identification of every tree is verified before export.

- Peru confirms to have received Ecuador's consultation, and to have contributed pertinent information.

If adopted, Peru suggests annotation #6 (i.e. "logs, sawn wood, veneer sheets and plywood") as appropriate for regulating products and derivatives *Cedrela* spp. that first appear in international trade and that dominate the demand for the resource.

The **United States of America** recommend the proponents to consider an appropriate annotation, such as annotation #5 (i.e. "logs, sawn wood and veneer sheets") or #6 (i.e. "logs, sawn wood, veneer sheets and plywood"), and to clarify their intentions in advance of the Conference of the Parties.

Comments from statutory consultees

IUCN emphasizes that many *Cedrela* populations have been severely depleted and fragmented, genetic erosion has taken place, population densities are generally very low and in several range States, large trees in good shape are rare. There was a substantial increase in exports and prices for *Cedrela odorata* after the listing of *Swietenia macrophylla* in Appendix II, which has since reached a lower but stable level. Several range States have introduced legislation and management to ensure the conservation of *Cedrela*. The genus is widely planted within and beyond its neotropical range, but monospecific plantations within its native range are challenging. Exports from artificial propagation have exceeded exports from the wild in every year since 2013, virtually all originating from non-range States. IUCN suggests 'Toona' wood as an additional look-alike which is outside of the *Cedrela* genus and native to Asia. IUCN remarks that transparent management of Peruvian *Cedrela* populations has contributed to enhancing the image of such products, leading to prices that exceed those paid in neighbouring range States by 40-45%.

ITTO states its qualified support for the proposal based on evidence of consultation with, and support from other range States, and if the listing proposal is confined to the neotropical region, similar to the mahogany listing, since *Cedrela* is planted widely around the world. ITTO remarks that it funded multiple *Cedrela*-related projects in several range States in the context of the ITTO-CITES programme. ITTO also remarks that *Cedrela odorata* appears well-managed in several range States, such as Guyana and Peru.

Conclusions

The available information demonstrates that *Cedrela* populations are in many range States depleted and fragmented, with reduced genetic diversity and population density, and few remaining large trees in good shape. However, it also appears that *Cedrela* populations in some range States are well managed.

In view of experience with the implementation of the inclusion in the CITES Appendices of timber species at the genus level, it seems advisable to consider the complexity of regulating the international trade in parts and derivatives of *Cedrela* species, and an annotation seems desirable to specify which parts and derivatives should be subject to regulation.

Recommendations

Cedrela odorata meets the criteria for inclusion in Appendix II in accordance with Article II, paragraph 2 (a) of the Convention and criterion B of Annex 2a of Resolution Conf. 9.24 (Rev. CoP17). The other species in the genus *Cedrela* meet the criteria for inclusion in Appendix II in accordance with Article II, paragraph 2 (b) of the Convention and criterion A of Annex 2b of Resolution Conf. 9.24 (Rev. CoP17).

The adoption of this proposal would preferably be subject to an appropriate annotation that covers the specimens that first appear in international trade. The Secretariat notes that annotation #5 (i.e. "logs, sawn wood and veneer sheets") or #6 (i.e. "logs, sawn wood, veneer sheets and plywood") might be warranted or, if adopted, the annotation proposed in proposal CoP18 Prop. 53.

The Secretariat recommends that this proposal be **adopted**.

Note to Parties and Proponents

The Secretariat notes that *Cedrela* is cultivated outside its native range, similar to *Swietenia macrophylla*, whose listing its restricted to the populations of the Neotropics. Parties are also invited to note the Plants Committee document on *Neotropical tree species* (document CoP18 Doc. 93).