



Amendment of Appendices I and II Checklist for Parties

This checklist serves as a reminder of the necessary steps to take in order to prepare and submit an amendment proposal for CITES Appendices I and II in accordance with Article XV of the Convention. It is necessary to submit a proposal* in order to:

- Include a species in Appendix I or II (including for reasons of look-alike problems)
- Transfer a species from one Appendix to the other
- Remove a species from the Appendices
- Amend an annotation to a current listing, including an export quota previously approved by the CoP

*Proposals to amend the Appendices should include section A on proposal, section B on proponent and Section C on supporting statement as shown in [Annex 6 of Res. Conf. 9.24 \(Rev. CoP17\)](#)

Prior to submission

To see the relevant Resolution / reference, click on the image

NOTE: CoP recommends that the Scientific Authority should gather and analyse information on the biological status of species affected by trade to assist in the preparation of proposals necessary to amend the Appendices.

Res. Conf. 10.3 on Designation and role of Scientific Authorities

Conduct an initial assessment taking into consideration the provisions in **Resolution Conf. 9.24 (Rev. CoP17) on Criteria for amendment of Appendices I and II**. Is the candidate species likely to meet the criteria for inclusion, transfer or removal from the Appendices?

Res. Conf. 9.24 (Rev. CoP17) on Criteria for amendment of Appendices I and II.

If not, a proposal is not needed.

If so, develop a draft proposal by gathering all relevant published and unpublished sources of information (scientific, trade and socio-economic), and following the template in **Annex 6 of Resolution Conf. 9.24 (Rev. CoP17)**.

Noting that other considerations include:

- amending an annotation to a species included in the Appendices;
- amending an export quota previously agreed by the CoP; and
- certain nomenclature changes (consult the nomenclature specialist and the Secretariat for guidance)

Consult the relevant nomenclature specialist to ensure correct scientific nomenclature is used and propose a nomenclatural reference, if the current standard nomenclatural reference does not cover the species.

Res. Conf. 12.11 (Rev. CoP19) on Standard nomenclature

Identify what **specimens**, or parts and derivatives, are found in international trade.

If needed/required, include an appropriate reference or substantive annotation.

Res. Conf. 11.21 (Rev. CoP18) on Use of annotations in Appendices I and II

Test the proposal against the biological and trade criteria in Annexes 1 and 2 of **Resolution Conf. 9.24 (Rev. CoP17)** and ensure there are no avoidable gaps in information.

The **CITES trade database** provides international trade data for species included in the Appendices and could be referenced.

If trade data is lacking, consider if an Appendix III listing could assist in collecting some data.

The proposal should refer to both legal and illegal trade, when relevant.

Consider a precautionary approach in cases of uncertainty.

Paragraph 2 and Annex 4 of Res. Conf. 9.24 (Rev. CoP17)

Consider the guidance in the Resolution relating to **special cases** and **precautionary measures**.

Annex 3 and 4 of Res. Conf. 9.24 (Rev. CoP17)

For plants, consider the definition of specimens in Article 1 of the Convention and keep the section on "Regarding hybrids" from **Resolution Conf. 11.11 (Rev. CoP18)** in mind

Annexes 1 and 2 should be read with Annex 5 (Definitions, explanations and guidelines). Note that Annex 5 includes a footnote relating to the application of decline for commercially exploited aquatic species.

- Engage rural communities in territories under the Party's jurisdiction, in national processes when preparing proposals to amend the Appendices.
- Consult with range States and incorporate their comments before submission.
 - Keep records of these consultations and include in the proposal.
- Consult relevant international agreements or organisations where necessary. For marine species, national fisheries agencies and inter-governmental bodies can be sources of scientific data and advice to inform a proposal.
- Include identification information and sheets to the extent possible.
- Finalize the proposal based on the template in **Annex 6 of Resolution Conf. 9.24 (Rev. CoP17)**. – [note that proposals should normally be limited to 12 pages (exclusive of references cited). If the proposal is longer than 12 pages, the proponent should provide translations into the working languages of the Convention.]



Res. Conf. 16.6 (Rev. CoP18) on CITES and livelihoods



Res. Conf. 8.21 (Rev. CoP16) on Consultation with range States on proposals to amend Appendices I and II



Annex 6 of Res. Conf. 9.24 (Rev. CoP17)



Res. Conf. 10.13 (Rev. CoP18) on Implementation of the Convention for tree species



Res. Conf. 19.4 on Materials for the identification of CITES-listed species

The Annex to this resolution includes information relating to what should be considered in developing ID materials

Submitting the proposal

- Submit the proposal on time (at least 150 days before CoP)¹ – **NOTE:** Designated CITES Management Authority (MA) or the Ministry of Foreign Affairs must submit the proposal.
- Where two or more Parties are jointly submitting an amendment proposal or any other document, each Party proposing the amendment must provide a letter of submission signed by the CITES MA or Minister of Foreign Affairs and submit it to the Secretariat (e-mail and hard copy) before the deadline to be recorded as a proponent for the amendment proposal.



Res. Conf. 18.6 on Designation and role of Management Authorities

The proposal and letter of submission must be submitted to the CITES Secretariat online (info@cites.org) and in hard copy*.

Following submission

- Take note of the Secretariat's assessment and other independent assessments on the proposal and respond to feedback, weaknesses / gaps in the proposal and implementation challenges found ahead of the CoP.
- Once submitted, the scope of the proposal cannot be broadened, only narrowed.
- Prepare to introduce the proposal at the CoP.
- Note that at CoP, any Party can propose to reduce the scope of your proposal.
- The representative of the Party that submitted the proposal may, at any time, withdraw the proposal or amend it to reduce its scope or to make it more precise.
- Note that if a proposal is not adopted by consensus and is subject to a vote, a 2/3 voting majority is required for a proposal to be adopted at CoP.

The proponent can provide this in writing to the Secretariat in advance of the CoP

It is important to know the Rules of Procedure of the Conference of the Parties: RoP of CoP

NOTE: Once a proposal has been withdrawn after the deadline for submission or at the CoP, it may not be re-submitted at the meeting.

This checklist is intended to assist Parties to prepare their amendment proposals. It is not intended to replace, nor fully reflect the Convention or the applicable resolutions. Always refer to the Convention and Resolutions for recommendations and guidance.

¹ The deadline for submission is 330 days before the CoP if the Party wishes the Secretariat to consult with other range States on its behalf; or in the case of an amendment proposal made under the provisions of Resolution Conf. 11.16 (Rev. CoP15) on *Ranching and trade in ranched specimens of species transferred from Appendix I to Appendix II*.