

CONVENCIÓN SOBRE EL COMERCIO INTERNACIONAL DE ESPECIES
AMENAZADAS DE FAUNA Y FLORA SILVESTRES



Vigésima reunión del Comité de Fauna
Johannesburgo (Sudáfrica), 29 de marzo-2 de abril de 2004

PROYECTO DE INFORME RESUMIDO

MEDIDAS	RESPONSABLE	PÁGINA
1. Apertura de la reunión		6
2. Adopción del Reglamento Se adoptó en su forma enmendada. La versión revisada se incluirá en el sitio web de la CITES.	Secretaría	6
3. Adopción del orden del día y del programa de trabajo Se adoptó en su forma enmendada. La versión revisada se incluirá en el sitio web de la CITES.	Secretaría	6
4. Admisión de observadores Se adoptó la lista; no es preciso tomar otras medidas.	–	7
5. Informes regionales 5.1-5.6 Informes regionales Se tomó nota de los informes; no es preciso tomar otras medidas. Alentar a las Islas Salomón (Oceanía) a adherirse a la Convención.	– Secretaría	8
5.7 Mejorar la comunicación regional y la representación regional Verificar si los representantes de las Partes en las reuniones de la CdP autorizan a los miembros del AC que no formen parte de la delegación de una Parte a participar en las reuniones de la CdP. Someter el proyecto de enmienda de la Resolución Conf. 11.1 (Rev. CoP12) y de las decisiones (en el documento AC20 WG9 Doc. 1, en su forma enmendada) a la CdP13, con posible ayuda de la Secretaría para volver a redactar las decisiones. Someter un documento conjunto del AC y del PC a la CdP13.	Secretaría Comité de Fauna, Comité de Flora, Secretaría	9

MEDIDAS	RESPONSABLE	PÁGINA
<p>6. Informe del Presidente Presentar un informe a la CdP13, en colaboración con la Presidenta del PC, en relación con el punto 6.4 (Presentar un informe a la 13ª reunión de la Conferencia de las Partes)</p>	Presidente del Comité de Fauna, con la colaboración de la Presidenta del Comité de Flora	10
<p>7. Presupuesto del Comité de Fauna Incluir una propuesta en el informe del Presidente a la CdP13 para autorizar al AC a examinar y administrar su propio presupuesto.</p>	Presidente del Comité de Fauna	10
<p>8. Examen del comercio significativo de especímenes de especies del Apéndice II</p> <p>8.1 Progresos realizados en la realización del examen del comercio significativo (Fases V y VI) Solicitar la contribución de la región Europea para <i>Falco cherrug</i>. Revisar la información y solicitar datos sobre la importación de <i>F. cherrug</i>. Se suprimió a los Emiratos Árabes Unidos de la lista de Estados del área de distribución de <i>Falco cherrug</i> objeto de examen. Los demás Estados del área de distribución siguen siendo objeto de examen.</p> <p>8.2 Examen de la aplicación de las recomendaciones Probar la versión de demostración de la base de datos.</p> <p>8.3 Progresos realizados en el primer examen del comercio significativo por países Comunicar los progresos realizados en la aplicación en cada reunión del AC. Tomar las siguientes medidas a corto, mediano y largo plazo. Comunicar los plazos límites a Madagascar y al Comité de Flora. Presentar un calendario de las medidas a mediano y largo plazo en la AC21. Solicitar a Madagascar si autoriza la exportación de especies incluidas en los Apéndices de la CITES.</p>	<p>Representante regional de Europa</p> <p>Secretaría, PNUMA-CMCM</p> <p>Comité de Fauna</p>	<p>11</p> <p>11</p> <p>11</p> <p>12</p>
<p>8.4 Evaluación del examen del comercio significativo Presentar el proyecto de mandato para la evaluación que figura en el documento AC20 Inf. 17, en su forma enmendada, a la CdP13. Tomar en consideración las repercusiones financieras.</p>	Presidente del Comité de Fauna	12

MEDIDAS	RESPONSABLE	PÁGINA
<p>8.5 Selección de especies para proceder a su examen Fase VI para proceder con la lista de especies establecida en la AC20.</p>	Comité de Fauna	13
<p>9. Examen de los criterios para enmendar los Apéndices I y II Traducir el documento AC20 DG1 Doc. 1 y remitirlo a las Autoridades Administrativas de España y Francia para que lo distribuyan a las Partes de habla hispana y francesa a fin de comprobar la precisión y normalizar la terminología. Someter el proyecto de revisión de la Resolución Conf. 9.24 (Rev. CoP12), como se indica en el documento AC20 DG1 Doc. 1, a la CdP13.</p>	<p>Secretaría, Autoridades Administrativas de España y Francia</p> <p>Comité de Fauna, Comité de Flora</p>	15
<p>10. Examen periódico de especies de fauna y flora incluidas en los Apéndices Someter el proyecto de directrices, como se indica en el documento AC20 Doc. 10 (Rev. 2), en su forma enmendada, a la SC51.</p>	Presidente del Comité de Fauna	16
<p>11. Proceso para registrar establecimientos que crían en cautividad con fines comerciales, especies animales incluidas en el Apéndice I – Informe del grupo de trabajo Someter el proyecto de proceso, como se enuncia en el documento AC20 WG3 Doc. 1 (Rev. 1), a la CdP13.</p>	Comité de Fauna	17
<p>12. Relaciones entre la producción <i>ex situ</i> y la conservación <i>in situ</i> – Informe del grupo de trabajo Tomar en consideración las recomendaciones del grupo de trabajo (documento AC20 WG2 Doc. 1) en el informe del Presidente a la CdP13. Solicitar orientación a la Conferencia si se plantean problemas de aplicación.</p>	Comité de Fauna	18
<p>13. Transporte de animales vivos – Informe del grupo de trabajo Tomar en consideración las recomendaciones del grupo de trabajo (documento AC20 WG4 Doc. 1), en su forma enmendada, en el informe del Presidente a la CdP13. Enviar a los miembros del Comité copia de Memorando de Entendimiento entre la CITES, la IATA y la WAZA.</p>	<p>Comité de Fauna</p> <p>Presidente del Comité de Fauna</p>	19
<p>14. Comercio de corales duros – Informe del grupo de trabajo Tomar en consideración las recomendaciones del grupo de trabajo (documento AC20 WG5 Doc. 1), en su forma enmendada, en el informe del Presidente a la CdP13.</p>	Comité de Fauna	20

MEDIDAS	RESPONSABLE	PÁGINA
<p>15. Control de los sistemas de cría en cautividad, cría en granjas y recolección en el medio silvestre de especies del Apéndice II – Informe del grupo de trabajo Tomar en consideración las recomendaciones del grupo de trabajo (documento AC20 WG6 Doc. 1) en el informe del Presidente a la CdP13. Comunicar al PC las decisiones adoptadas por el AC.</p>	<p>Presidente del Comité de Fauna</p> <p>Presidenta del Comité de Flora</p>	20
<p>16. Conservación y comercio de tortugas terrestres y galápagos Tomar en consideración las recomendaciones del grupo de trabajo (documento AC20 WG10 Doc. 1), en su forma enmendada, en el informe del Presidente a la CdP13, en el entendimiento de que cabe la posibilidad de que algunos proyectos de decisión se encarguen a otros órganos.</p>	<p>Presidente del Comité de Fauna</p>	21
<p>17. Signátidos y otros miembros de la familia Syngnathidae Informar a las Partes, mediante notificación, acerca de la decisión del AC sobre el tamaño mínimo de las capturas. Incluir la recomendación sobre el tamaño mínimo en el informe del Presidente del AC a la CdP13. Distribuir los resultados del cursillo celebrado en Mazatlán al AC.</p>	<p>Secretaría</p> <p>Presidente del Comité de Fauna</p> <p>México</p>	22
<p>18. Situación biológica y comercial de los cohombros de mar de las familias Holothuridae y Stichopodidae Informar a la CdP sobre los problemas planteados al cumplir las tareas asignadas al AC. Solicitar al AC que prosiga examinando esta cuestión después de la CdP13. Compilar un documento informativo que se utilizará como base de las deliberaciones en la CdP13 y se distribuirá a los miembros del AC.</p>	<p>Comité de Fauna</p> <p>Observador de Estados Unidos, Presidente del Comité de Fauna</p>	22
<p>19. Situación biológica y comercial de los tiburones – Informe del grupo de trabajo Tomar en consideración las recomendaciones del grupo de trabajo (documento AC20 WG8 Doc. 1) en el informe del Presidente a la CdP13.</p>	<p>Comité de Fauna</p>	23
<p>20. Comercio de especies exóticas Informar a la CdP de que se ha cumplido la Decisión 10.76.</p>	<p>Presidente del Comité de Fauna</p>	25
<p>21. Taxonomía y nomenclatura normalizada Se tomó nota del informe; no es preciso tomar otras medidas.</p>	<p>–</p>	25

MEDIDAS	RESPONSABLE	PÁGINA
<p>22. Otras cuestiones Remitir la versión corregida del documento AC20 Inf. 24.</p> <p>22.1 Manual de identificación Se tomó nota del informe; no es preciso tomar otras medidas.</p> <p>22.2 Máster en gestión, Baeza Instar a las Partes a que apoyen financieramente el curso y formular una recomendación para encargar a la Secretaría que trate de lograr financiación externa para ese curso.</p>	<p>Observador de Estados Unidos</p> <p>–</p> <p>Presidente del Comité de Fauna</p>	<p>26</p> <p>26</p> <p>26</p>
<p>23. Discursos de clausura No es preciso tomar otras medidas.</p>	<p>–</p>	<p>26</p>

1. Apertura de la reunión

El Presidente dio la bienvenida a todos los participantes en la reunión, recordándoles que en esta ocasión no había sido posible organizar una reunión consecutivamente con el Comité de Flora, como se había previsto. Dio las gracias a Sudáfrica por acoger la reunión y a la Secretaría por la ayuda prestada en su organización. Presentó a David Morgan, como el nuevo Jefe de la Dependencia de Apoyo Científico de la Secretaría CITES, añadiendo que se habían cubierto todos los puestos vacantes en esta dependencia. Asimismo, expresó su agradecimiento al Sr. Tom De Meulenaer por haberse ocupado de la administración de esta dependencia entretanto.

2. Adopción del Reglamento

La Secretaría presentó el documento AC20 Doc. 2, explicando que el Comité de Flora en su 14ª reunión (PC14, Windhoek, febrero de 2004) había adoptado la enmienda propuesta al Artículo 19.

La revisión propuesta del Artículo 19 recibió escaso apoyo y las deliberaciones se centraron en la importancia de lograr que los documentos anteriores al periodo de sesiones estuviesen disponibles a su debido tiempo, ya que los documentos, en particular los documentos de información, se habían incluido en el sitio web con mucho retraso para la presente reunión. Un representante propuso que en el Reglamento se volviese a un plazo límite de tres meses para presentar los documentos de trabajo y se dejase claro que los documentos deberían incluirse en el sitio web de la CITES a más tardar dos semanas antes del inicio de la reunión. La Secretaría recalcó que los documentos presentados por fuentes externas también debían ajustarse a la fecha límite. Varias Partes comunicaron las dificultades que habían experimentado para acceder a internet e hicieron hincapié en que necesitaban recibir copias impresas.

El Reglamento se adoptó con las siguientes enmiendas:

- a) Artículo 18: cambiar "60 días" por "90 días";
- b) Artículo 19: insertar "Todos los documentos disponibles se incluirán en el sitio web a más tardar dos semanas antes del inicio de una reunión." después de la primera frase; y cambiar "..., a todas las Partes que puedan verse directamente afectadas por cualquier deliberación sobre los documentos y a todas las Partes que hayan comunicado a la Secretaría su intención de estar representadas en la reunión." por "... a las Partes previa solicitud."; y
- c) Artículo 24: añadir al final de la frase ", en el que se incluirán los informes de los grupos de trabajo en el idioma en que fueron preparados."

Atendiendo a una solicitud, se acordó también que los informes de los grupos de trabajo se incluyesen sin demora en el sitio web de la CITES, en el idioma en que fueren presentados.

En el curso de los debates, hicieron uso de la palabra los representantes regionales de África, Asia, América del Norte y Oceanía, y los observadores de Chile, China, México, Países Bajos y *Humane Society* de Estados Unidos.

3. Adopción del orden del día y del programa de trabajo

El Presidente presentó los documentos AC20 Doc. 3.1 y AC20 Doc. 3.2, explicando su intención de crear varios grupos de trabajo, asignándoles un día y medio de la reunión para que pudiesen reunirse y presentar sus informes en la plenaria. Asimismo, recordó el plazo límite de 5 de mayo de 2004 para presentar documentos a la 13ª reunión de la Conferencia de las Partes (CdP13, Bangkok, 2-14 de octubre de 2004).

El observador de México preguntó por qué motivo su proyecto de enmienda a la propuesta de transferir *Amazona finschi* del Apéndice II al Apéndice I, que su país había presentado mucho antes de la fecha límite fijada, no figuraba en el programa, cuando si era el caso de las propuestas sobre tiburones. El Presidente explicó que la propuesta se había distribuido a todos los miembros del Comité por correo electrónico y que los comentarios recibidos se habían remitido a México y a la Secretaría, cumpliendo así con lo estipulado en la Resolución Conf. 11.1 (Rev. CoP12). El motivo por

el que las propuestas de enmienda sobre los tiburones se habían presentado como documentos de información era que en el programa de la AC20 había un punto sobre los tiburones y que en la Resolución Conf. 12.6 se encargaba al Comité de Fauna que formulase recomendaciones específicas por especie sobre los tiburones, identificase especies fundamentales y las examinase para su consideración y posible inclusión en los Apéndices de la CITES. Sin embargo, convino en distribuir la propuesta de México como un documento informativo, aclarando que si bien se encargaba al Comité de Fauna que formulase asesoramiento científico sobre las propuestas de enmienda no le incumbía proponer que se aceptase o rechazase una propuesta. Las deliberaciones sobre esas enmiendas se celebraban en las reuniones de la Conferencia de las Partes. Un representante se hizo eco de estas palabras.

Tras nuevas quejas sobre lo tarde que se habían incluido los documentos en el sitio web de la CITES, la Secretaría explicó que la mayoría de los documentos externos se habían recibido con retraso y que en muchos casos se había visto obligada de solicitar aclaraciones a los autores antes de producir las versiones finales. Anunció a los participantes que los documentos de información no se distribuirían en la plenaria pero que todos los documentos necesarios se pondrían a la disposición de los grupos de trabajo. La Presidenta del Comité de Flora apoyó a la Secretaría explicando que su Comité se había enfrentado a problemas semejantes en su reunión precedente y que era debido a la proximidad con que se celebraban las reuniones de los Comités de carácter permanente y al periodo de tiempo excepcionalmente corto entre las reuniones 12ª y 13ª de la Conferencia de las Partes. Añadió que se haría todo lo posible para evitar que se repitiese esta situación en el futuro.

El zoólogo del Comité de Nomenclatura recordó a los participantes que su Comité se reuniría el 31 de marzo, en la tarde, y que todos los documentos para esa reunión se encontraban en el sitio web de la CITES.

3.1 Orden del día

El Comité adoptó el orden del día con la adición de un punto 22.2 sobre el curso Máster en Baeza, España, bajo *Otras cuestiones*, a petición del observador de España.

3.2 Programa de trabajo

El Comité acordó el programa de trabajo con el intercambio de los puntos 9 y 10.

El Presidente comunicó al Comité que los puntos 15 y 20 se habían excluido del programa de trabajo por error e indicó cuando tenía la intención de abordarlos. Asimismo, propuso que el punto 5.7 se examinase después del punto 19. Así quedó acordado.

En el curso de los debates, hicieron uso de la palabra los representantes regionales de Asia y Oceanía, los observadores de España, Estados Unidos, Japón, México, y la Presidenta del Comité de Flora y el zoólogo del Comité de Nomenclatura.

4. Admisión de observadores

La Secretaría presentó el documento AC20 Doc. 4, recordando a los participantes que solo podrían intervenir en la reunión los participantes cuyas credenciales habían sido aceptadas y les instó a que presentasen sus credenciales sin demora. El Presidente recordó a los observadores de las organizaciones intergubernamentales y no gubernamentales el procedimiento para recibir una invitación para participar en las reuniones del Comité. Asimismo, especificó que se daba prioridad a la intervención de los participantes y los observadores, y que los observadores no podían poner en tela de juicio las decisiones del Comité.

El Comité acordó admitir los observadores enumerados en el informe de la Secretaría.

En el curso de los debates, hizo uso de la palabra el observador del PNUMA-Centro de Monitoreo de la Conservación Mundial (PNUMA-CMCM).

5. Informes regionales

5.1 África

Al inicio de la reunión no se había presentado un informe, pero el representante regional logró reunirse con los delegados de su región y preparar un informe en el curso de la misma. El Comité tomó nota de este informe.

5.2 Asia

El representante regional señaló que no había recibido información de las Partes de su región para preparar este informe. El Comité tomó nota del informe.

5.3 América Central, del Sur y el Caribe

Ningún representante de esta región estaba presente en la reunión. El Comité se hizo eco de las preocupaciones del observador de Chile acerca de la falta de representación, de que no se había presentado ningún informe y de que no era la primera vez que sucedía algo semejante. El observador de Chile añadió que se habían llevado a cabo numerosas actividades en la región a pesar de que no se había informado sobre ellas.

5.4 Europa

El Presidente, en calidad de representante europeo, presentó el documento AC20 Doc. 5.4, señalando a la atención del Comité los problemas que ocasionaba la doble función que tenían que asumir las presidencias. Propuso que se enmendase el Reglamento para autorizar, por ejemplo, que el representante suplente asumiese las funciones de representante regional. En relación con el párrafo 37 del informe, la otra representante europea explicó que no había recibido suficientes respuestas de las Partes en la región para preparar la guía de expertos. El Comité tomó nota del informe con las correcciones siguientes:

- a) párrafo 28: en la última frase sustituir "... sino que representaba..." por "sino que era también un miembro de..."; y
- b) párrafo 32: sustituir "600 especies de animales" por "600 especies de animales y plantas".

En el curso de los debates, hicieron uso de la palabra los observadores de España y la IWMC.

5.5 América del Norte

El representante regional presentó el documento AC20 Doc. 5.5 y solicitó que el proyecto de enmienda a la propuesta de México sobre *Amazona finschi* se distribuyese como un documento informativo. El Comité tomó nota del informe.

En el curso de los debates, hicieron uso de la palabra los observadores de México y Países Bajos.

5.6 Oceanía

El representante regional de Oceanía presentó el documento AC20 Doc. 5.6, señalando entre otras cosas el aumento del comercio en las Islas Salomón y el hecho de que se alentaba a este país a adherirse a la Convención. El Comité encomió la calidad del informe y tomó nota del mismo. En cuanto a la preparación de la guía de expertos, la Presidenta del Comité de Flora explicó que su Comité había tenido que insistir mucho para completar su guía de expertos y alentó a los representantes del Comité de Fauna a ponerse en contacto con las Autoridades Administrativas.

En el curso de los debates, hicieron uso de la palabra los representantes de Asia y América del Norte y el observador de los Países Bajos.

5.7 Mejorar la comunicación regional y la representación regional

El observador de Países Bajos, en calidad de presidente del grupo de trabajo entre reuniones, presentó el documento AC20 Doc. 5.7, e hizo referencia al documento AC20 Inf. 16. Solicitó la asistencia de dos representantes del Comité de Fauna para finalizar las recomendaciones. Ellos se unirían a dos representantes del Comité de Flora y contarían con la asistencia de la Secretaría.

El Comité felicitó al grupo de trabajo por su labor y reconoció unánimemente los problemas a que hacían frente los representantes al desempeñar sus funciones, en particular la falta de apoyo gubernamental. Ello significaba que a menudo los representantes trabajaban a título personal, teniendo que asumir esta labor adicional sin ajustar su carga de trabajo o calendario y sin recibir apoyo financiero. Sin embargo, se señaló que los problemas diferían de una región a otra. Algunas regiones hacían frente a importantes problemas de comunicación y sus representantes recibían escasa respuesta de las Partes. Por otra parte, el observador de Chile lamentó que su región hubiese estado escasamente representada a lo largo del tiempo, señalando como ejemplo el hecho de que su región no estuviese representada en la presente reunión y de que los informes regionales de América Central, del Sur y el Caribe nunca se presentaban a tiempo.

No se apoyó la idea de que el Comité debería evaluar la labor de sus miembros, ya que se propuso que debería incumbir a la región evaluar cómo estaba representada. También se examinó la cuestión del número de representantes. El observador de Chile declaró que en la próxima reunión de la Conferencia de las Partes su país propondría que se aumentase el número a tres participantes para las regiones que tuviesen más de 30 Partes. El Presidente reiteró también que no podía cumplir su función como representante al tiempo que presidía la reunión y que debería de abordarse esta cuestión.

El Comité remitió esta cuestión al Grupo de trabajo 9 con el siguiente mandato:

- a) examinar el documento AC20 Doc. 5.7 y formular recomendaciones, teniendo en cuenta las deliberaciones celebradas en la PC14, como se indica en el documento AC20 Inf. 16; y
- b) proponer enmiendas a la Resolución Conf. 11.1 (Rev. CoP12), según proceda.

El Grupo de trabajo 9 quedó integrado por:

- a) representantes regionales: Asia (Sr. Tunhikorn y Sr. Giam, suplente), Europa (Sra. Rodics), Oceanía (Sr. Hay) y América del Norte (Sr. Medellín);
- b) observadores de las Partes: Chile y Países Bajos (Presidente);
- c) observadores de organismos de las Naciones Unidas: PNUMA-CMCM;
- d) la Presidenta del Comité de Flora; y
- e) la Secretaría de la CITES.

Ulteriormente en la reunión, el presidente del Grupo de trabajo 9 presentó el documento AC20 WG9 Doc. 1. El Presidente del Comité de Fauna observó que algunas recomendaciones tenían repercusiones financieras. En cuanto a la participación en la CdP13, se sugirió que la Secretaría cursase una invitación oficial, libre de todo compromiso de apoyo financiero, a los miembros de los Comités científicos. Esta invitación podría ayudar a los representantes regionales a recolectar financiación. Sin embargo, no quedó claro a título de que podía invitarse a esas personas. La Secretaría declaró que verificaría si el Reglamento de las reuniones de la Conferencia de las Partes autorizaba a los miembros del Comité que no formasen parte de la delegación de una Parte a participar en calidad de observadores. Se formularon varias objeciones a la recomendación del Grupo de trabajo 9 de que el Comité examinase en cada reunión el seguimiento de los representantes para garantizar la continuidad en una representación regional efectiva, concretamente en que se centrarían esas deliberaciones y la incompatibilidad de esta idea con el proceso de elección en vigor. En consecuencia, el Comité tomó nota del documento AC20 WG9 Doc. 1 y adoptó los Anexos 2 y 3, con la supresión del primer párrafo del Anexo 3 y

en el entendimiento de que el Presidente pediría a la Secretaría que le ayudase a redactar de nuevo los proyectos de decisión.

En el curso de los debates, hicieron uso de la palabra los representantes regionales de África, Asia, Europa, América del Norte y Oceanía, el representante suplente de Asia, los observadores de Chile, España y la IWMC, la Presidenta del Comité de Flora y el zoólogo del Comité de Nomenclatura.

6. Informe del Presidente

El Presidente presentó los siguientes puntos.

6.1 Coordinación con el Comité Permanente

El Presidente anunció que el Comité Permanente, en su 50ª reunión celebrada hacía dos semanas (SC50), había expresado satisfacción por la labor comunicada por las presidencias de los Comités científicos. La Presidenta del Comité de Flora se hizo eco de estas palabras.

6.2 Grupo de trabajo sobre cuestiones técnicas de aplicación

El Presidente recordó a los participantes que pese a que la propuesta de crear un solo Comité científico y un Comité técnico de aplicación se había rechazado en la CdP12, aún se seguían examinando cuestiones técnicas de aplicación y un grupo de trabajo entre reuniones había preparado un documento para la SC50. Señaló a la atención de los participantes el documento SC50 Doc. 10, concretamente el Anexo 3 (Rev. 1), y el informe resumido de esa reunión.

6.3 Grupo de trabajo sobre cupos de exportación

El Presidente explicó que el Grupo de trabajo sobre cupos de exportación, establecido en la SC49 (Ginebra, abril de 2003) no había podido reunirse entre reuniones debido a problemas de comunicación, pero que si lo había hecho en la SC50. Remitió a los participantes al punto 22 del informe reunido de esa reunión. Respondiendo a una pregunta, confirmó que la cuestión de los cupos de exportación se abordaría en la CdP13.

6.4 Presentación de informes a la 13ª reunión de la Conferencia de las Partes

El Presidente dijo que él y la Presidenta del Comité de Flora tenían la intención de colaborar en la preparación de sus informes para la CdP13, pese a que presentarían informes separados. Su idea era enumerar todas las tareas encomendadas al Comité de Fauna e informar sobre los progresos realizados en cada una de ellas.

El Comité tomó nota del informe del Presidente.

En el curso de los debates, hicieron uso de la palabra la Presidenta del Comité de Flora y el zoólogo del Comité de Nomenclatura.

7. Presupuesto del Comité de Fauna

El Presidente presentó este punto explicando que el Comité Permanente, en su 50ª reunión, había recalcado que los Comités científicos no tenían mandato para examinar cuestiones presupuestarias. En consecuencia, se había retirado el documento AC20 Doc. 7. El Presidente leyó una carta del Secretario General de la CITES en la que se aclaraba la cuestión presupuestaria después de la SC50 y la cuestión del lugar de las reuniones de los Comités de Fauna y de Flora, que se habían presupuestado para que se celebrasen consecutivamente y en Ginebra cada dos años. El Presidente explicó que tenía la intención de presentar una propuesta a la CdP13 para enmendar la Resolución Conf. 11.1 (Rev. CoP12), a fin de autorizar al comité a que examinase su propio presupuesto. El Comité apoyó esta idea, manifestando preocupación acerca de esta limitación en su mandato y recalcando que era esencial que pudiese examinar su propio presupuesto. Asimismo, reiteró la importancia de celebrar reuniones en diversas partes del mundo con miras a lograr una participación regional equilibrada y evitar que las reuniones se celebren únicamente en los pocos países ricos. La

Presidenta del Comité de Flora declaró que su Comité había expresado la misma opinión y lamentaba la escasa financiación prevista para los Comités científicos. En particular, deberían asignarse fondos especiales para las presidencias de los Comités, a fin de garantizar que individuos de países en desarrollo pudiesen desempeñar esos cargos. El Presidente del Comité de Fauna instó a los participantes a que se pusiesen en contacto con sus delegaciones en la CdP para garantizar su apoyo a la propuesta del AC en la CdP13. En respuesta a una propuesta de proporcionar apoyo financiero a los miembros del Comité a fin de ayudarles a participar en las reuniones de la Conferencia de las Partes, el Presidente destacó que era una cuestión que debía dirimirse a escala nacional mediante la inclusión de miembros de los Comités en sus delegaciones nacionales. Añadió que incluiría una propuesta en su informe para apoyar financieramente a las presidencias de los Comités científicos, pero advirtió al Comité que algunas Partes habían indicado claramente en la SC50 que no apoyarían ningún aumento en las contribuciones del próximo trienio.

El Comité acordó incluir en el informe del Presidente a la CdP13 una propuesta para ampliar el mandato del Comité, a fin de autorizarle a debatir y administrar su propio presupuesto.

En el curso de los debates, hicieron uso de la palabra el representante regional de Asia, los observadores de Chile, España, México, Países Bajos, la CBI, la Presidenta del Comité de Flora y el zólogo del Comité de Nomenclatura.

8. Examen del comercio significativo de especímenes de especies del Apéndice II

El Presidente recordó a los participantes que parte de este punto se remitiría a un grupo de trabajo.

8.1 Progresos realizados en la realización del examen del comercio significativo

La Secretaría puso al corriente de las deliberaciones que habían tenido lugar en la SC50 sobre las Fases IV y V del examen, especialmente de los Acipenseriformes del mar Caspio, *Naja naja* de Malasia, República Democrática Popular Lao y Tailandia, y del antilope saiga (*Saiga tatarica*) (véase el punto 23 del informe resumido de la SC50). La Secretaría expuso oralmente los progresos realizados en la aplicación de las recomendaciones para la Fase V (concha reina, *Strombus giga*). En consonancia con las recomendaciones de la Fase V y la Resolución Conf. 12.8, en septiembre de 2003 se envió una notificación a las Partes recomendando que cesasen las importaciones de concha reina de Haití, Honduras y la República Dominicana. Además, el plazo límite de seis meses de la Fase V había vencido para los tres países. Honduras y la República Dominicana habían presentado informes exhaustivos antes de la fecha límite. La Secretaría estaba examinando esos informes e informará al Comité de Fauna en su próxima reunión. El Comité tomó nota del informe oral de la Secretaría sobre las Fases IV y V del examen.

La Secretaría presentó el documento AC20 Doc. 8.1. El representante europeo declaró que se pondría en contacto con su región para solicitar contribuciones. Es más, al parecer algunos datos en el informe parecían incoherentes. La Secretaría dijo que examinaría los datos con el PNUMA-CMCM y trataría de lograr datos sobre la importación. El observador del PNUMA-CMCM suplicó a los participantes que le informasen antes de una reunión cuando encontrasen datos incoherentes en los informes preparados por el PNUMA-CMCM, de modo que pudiesen verificarse y corregirse, en caso necesario.

El examen de la Fase VI, como se indica en el documento AC20 Doc. 8.1, se remitió a un Grupo de trabajo sobre el comercio significativo (Grupo de trabajo 1).

En el curso de los debates, hicieron uso de la palabra el representante regional de Europa y los observadores de Alemania, Israel y el PNUMA-CMCM.

8.2 Examen de la aplicación de las recomendaciones

El observador de TRAFFIC Internacional presentó el documento AC20 Doc. 8.2, explicando que la base de datos estaría pronto a disposición. En respuesta a varias preguntas, la Secretaría dijo que la base de datos se había diseñado para incluir animales y plantas, que la intención era que estuviese a disposición de todos, pero que el acceso a datos confidenciales podría ser

restringido, y que se enviaría una versión de demostración a algunas Partes que se habían prestado voluntariamente a probarla a fin de mejorar su interfaz. La Secretaría pensaba ponerla a disposición tanto en la web como en CD-ROM. Por último, comunicó a los participantes que en breve se enviaría una Notificación a las Partes con una puesta al día de todas las recomendaciones en vigor en relación con las prohibiciones o restricciones del comercio, de conformidad con lo dispuesto en la Resolución Conf. 12.8.

El Comité tomó nota del informe y felicito a TRAFFIC y a la Secretaría por la labor realizada. Acordó que se probase una versión de demostración de la base de datos y recomendó que, una vez que entrase en funcionamiento, se pondría a disposición en internet y en CD-ROM.

En el curso de los debates, hicieron uso de la palabra los observadores de España, Estados Unidos, Israel, México, Países Bajos, Reino Unido y la CBI.

8.3 Progresos realizados en el primer examen del comercio significativo por países

La Secretaría presentó el documento AC20 Doc. 8.3, señalando a la atención del Comité los documentos AC20 Inf. 10, preparado por la Secretaría, y AC20 Inf. 11, preparado por la Autoridad Administrativa malgache. Lamentó que Madagascar no estuviese presente en la reunión y recordó al Comité que Madagascar había solicitado un calendario para aplicar el plan de acción expuesto en el documento AC20 Inf. 10. El Presidente explicó que el Comité debería decidir como deseaba informar sobre los progresos de Madagascar, mientras que la cuestión del calendario sería abordada por el Grupo de trabajo 1.

El Comité lamentó que Madagascar no estuviese presente en la reunión y acordó que se le mantuviese informado sobre los progresos realizados en cada una de sus reuniones, con arreglo a lo enunciado en la decisión del Comité de Flora, y que fuese Madagascar quien presentase sus propios informes.

Se expresó preocupación por la lentitud con que se realizaba el examen, pese a que se reconocía la demora ocasionada por el desorden político que reinaba en Madagascar. El Comité reconoció que la flexibilidad era importante, pero que podían establecerse plazos límites más firmes que los propuestos en el plan de acción. Esta presión podría ayudar a la Autoridad Administrativa malgache a hacer avanzar las cosas a nivel gubernamental. Asimismo, se señaló que había indicadores de la existencia de comercio perjudicial, mientras seguía pendiente el examen por países.

El Comité acordó además que un examen por países no debería excluir la posibilidad de que se llevasen a cabo exámenes sobre determinadas especies. Esta cuestión se remitió al Grupo de trabajo 1, con la solicitud de que se abordasen los siguientes puntos, en particular:

- a) establecer plazos límites para tomar medidas en el marco del plan de acción; y
- b) posibles medidas a tomar por el Comité de Fauna en caso de que Madagascar no presentase informes.

En el curso de los debates, hicieron uso de la palabra los representantes regionales de África y Oceanía, los observadores de España, Estados, la CBI, *Pro Wildlife*, WWF-US y el zoólogo del Comité de Nomenclatura.

8.4 Evaluación del examen del comercio significativo

El observador de la Comisión Europea, en calidad de presidente del grupo de trabajo entre reuniones, presentó el documento AC20 Doc. 8.1, indicando que el mismo documento se había presentado a la PC14. El Comité de Flora había adoptado el Anexo con enmiendas y esta versión revisada se reproducía en el documento AC20 Inf. 17. Asimismo, añadió que sería más práctico para ambos Comités adoptar el mismo mandato. El Presidente del Comité de Fauna manifestó que el Comité podía adoptar un mandato para una evaluación sin remitirlo al Grupo de trabajo 1.

El Comité de Fauna manifestó su acuerdo con el Comité de Flora de que sería mejor iniciar la evaluación después de la CdP14, ya que era preciso que ciertas fases del examen del comercio significativo se hubiesen completado antes de determinar si la evaluación merecía la pena. También se abordó la dificultad de evaluar si los cambios en las políticas de conservación eran “un resultado del proceso” [véase el documento AC20 Inf. 17, párrafo 7) b) viii)] y se propuso una nueva redacción del texto. Por último, se estimó que no era necesario que la Secretaría participase en la presentación de un informe a la Conferencia de las Partes (párrafo 6). Habida cuenta de las repercusiones financieras de esta evaluación, se estimó que era necesario que se tomasen en consideración estos gastos al examinar las cuestiones presupuestarias en la CdP13.

El Comité adoptó el documento AC20 Inf. 17, con las siguientes enmiendas al Anexo:

- a) párrafo 2: cambiar “will commence after the 13th meeting” por “will commence immediately after the 14th meeting” y suprimir la segunda frase;
- b) párrafo 6: suprimir “[or by the Secretariat on their behalf]”;
- c) párrafo 7. b): añadir “, and whether these could be attributed to the process,” después de “short- and long-term changes”; y
- d) párrafo 7. b) viii): suprimir “as a result of the process”.

En el curso de los debates, hicieron uso de la palabra el representante regional de Oceanía, los observadores de España, Estados Unidos, Países Bajos, Reino Unido, *Humane Society* de Estados Unidos, la CBI, la Presidenta del Comité de Flora y el Presidente del Comité de Nomenclatura.

8.5 Selección de especies para proceder a su examen

El observador del PNUM-CMCM presentó el documento AC20 Doc. 8.5 recurriendo a una presentación en PowerPoint. Asimismo, se había preparado una errata (documento AC20 Doc. 8.5 Erratum) para corregir una referencia a Taiwán, Provincia de China. El observador del PNUMA-CMCM recalcó la importancia de proporcionar datos actualizados para que los datos ofrecidos por la base de datos sean fiables. Los participantes preguntaron varias cuestiones técnicas sobre la metodología y los instrumentos estadísticos utilizados para seleccionar las especies. El Presidente subrayó que dados los recursos del Comité, la lista final de 100 especies era imposible de manejar y que el Grupo de trabajo 1 debería reducir su número. El mismo proceso se había seguido en la PC14.

El Comité felicitó al PNUMA-CMCM por la labor realizada. Esta cuestión se remitió al Grupo de trabajo 1, solicitando que redujese la lista de taxa seleccionados tal vez a unas 10 especies y que informase a la plenaria como había hecho esa selección.

En el curso de los debates, hicieron uso de la palabra el representante regional de África, los observadores de Alemania, Estados Unidos, Países Bajos, Sudáfrica, la Comisión Europea, *Humane Society* de Estados Unidos y la CBI, la Presidenta del Comité de Flora y el zoólogo del Comité de Nomenclatura.

El Comité estableció el Grupo de trabajo 1 para examinar los puntos 8.1, 8.3 y 8.5, con el siguiente mandato:

1. examinar la información sobre *Falco cherrug* y formular recomendaciones de conformidad con lo previsto en el párrafo f) de la Resolución Conf. 12.8;
2. identificar los requisitos en materia de presentación de informes y los plazos para que Madagascar aplicase el plan de acción; y
3. seleccionar un limitado número de especies para la Fase VI del examen del comercio significativo.

El Grupo de trabajo 1 quedó integrado por:

- a) representantes regionales: África (Sr. Griffin) y Europa (Sra. Rodics);
- b) observadores de las Partes: Canadá, China, Dinamarca, Emiratos Árabes Unidos, España, Estados Unidos, Italia, Namibia, Países Bajos, Reino Unido, República Democrática del Congo y Sudáfrica;
- c) observadores de organismos de las Naciones Unidas: PNUMA-CMCM;
- d) observadores de organizaciones intergubernamentales y no gubernamentales: Comisión Europea, UICN – Unión Mundial para la Naturaleza, *Conservation Force*, *Humane Society* de Estados Unidos, IWMC-Alianza para la Conservación Mundial, *Pet Care Trust*, Red de Supervivencia de las Especies, TRAFFIC, *Whale and Dolphin Conservation Society* y WWF USA;
- e) el Presidente del Comité de Fauna (presidente) y el zoólogo del Comité de Nomenclatura; y
- f) la Secretaría de la CITES.

Ulteriormente en la reunión, el Presidente del Comité de Fauna, en calidad de presidente del Grupo de trabajo 1, presentó el documento AC20 WG1 Doc. 1.

En lo que respecta al punto 8.1, se informó acerca del cursillo sobre *Falco cherrug* que se celebraría en Abu Dhabi inmediatamente después de la AC20. Se esperaba que unos 45 países participasen en este cursillo CITES. Un delegado comentó que sería más adecuado incluir el primer párrafo de esa sección en la sección 8.5. El Comité adoptó la recomendación sobre el punto 8.1, con la transferencia del párrafo 1 de esta sección al principio de la sección “Doc. 8.5: Selección de especies para el examen del comercio significativo”.

En cuanto al punto 8.3, la Secretaría declaró que solicitaría a Madagascar que le indicase si había puesto en efecto una prohibición a la exportaciones de especies incluidas en los Apéndices de la CITES. El Comité convino en que era preciso incluir en el plan de trabajo plazos para que Madagascar aplicase las medidas y presentase sus informes. Sin embargo, pese al considerable tiempo que llevaba este primer examen por países, algunos delegados recalcaron que el Comité debería reconocer los esfuerzos desplegados por Madagascar y alentarlos. La Presidenta del Comité de Flora dijo que su Comité había felicitado a Madagascar por los progresos realizados en la aplicación de este examen. Tanto ella como el Presidente del Comité de Fauna acordaron enviar sus recomendaciones conjuntamente. El Comité adoptó las recomendaciones sobre el punto 8.3 y acordó incluir los siguientes plazos límites: Madagascar debería informar sobre la aplicación de las actividades urgentes a corto plazo a) a e) a más tardar el 31 de julio de 2004, y antes de la PC15 y AC21 para el resto de las actividades. Asimismo, se pidió a Madagascar que fijase un plazo para la aplicación de medidas a mediano y largo plazo antes de la PC15 y AC21. Se solicitó a la Secretaría que comunicase esos plazos límites al Comité de Flora.

En lo que respecta al punto 8.5, un delegado declaró que su país había preparado una lista semejante y se expresó satisfacción general por la selección de las especies que deberían someterse a examen. Otro observador destacó que había problemas taxonómicos asociados con el género *Uromastix*. El zoólogo del Comité de Nomenclatura dijo que se abordarían esas inquietudes, entre otras cosas, mediante la utilización de una nueva referencia taxonómica. Se señaló también que las restricciones presupuestarias habían obligado al grupo de trabajo reducir la selección en ese género. El observador de Kenya propuso la inclusión del león (*Panthera leo*) en el examen, pese a que el Presidente se mostró reacio a hacerlo sin la documentación justificativa necesaria. El observador de Kenya convino en que su país y otros Estados del área de distribución presentasen información sobre esta especie a la consideración de la AC21. El Comité adoptó las recomendaciones sobre el punto 8.5.

En el curso de los debates sobre el documento AC20 WG1 Doc. 1, hicieron uso de la palabra los representantes regionales de Asia, Europa y Oceanía, los observadores de España, Estados Unidos, Israel, Kenya, Países Bajos, República Checa, *Humane Society* de Estados Unidos, CBI, IWMC y *Pro Wildlife*, la Presidenta del Comité de Flora y el zoólogo del Comité de Nomenclatura.

9. Examen de los criterios para enmendar los Apéndices I y II

El Presidente presentó los documentos AC20 Doc. 9.1 y AC20 Doc. 9.2 (Rev. 1), explicando que algunas de las personas encargadas de los exámenes se habían centrado en determinar si las especies estaban incluidas en el Apéndice correcto en vez de evaluar el valor de los criterios, y que esos exámenes no se habían tomado en consideración. Los comentarios de los encargados de los exámenes de los taxa animales se incluyeron en el documento AC20 Doc. 9.1, mientras que los resultados de las deliberaciones celebradas en la PC14 se presentaron en el documento AC20 Doc. 9.2 (Rev. 1). En consecuencia, incumbía al Comité determinar si podía adoptar este último a la luz del primero. Un delegado lamentó que no se hubiesen adoptado los nuevos criterios en la CdP12 y albergaba la esperanza que se adoptasen en la CdP13. Se señaló que Partes de América Central, del Sur y el Caribe habían puesto objeciones a la adopción de los nuevos criterios en la CdP12 por estimar que no habían participado debidamente en el proceso. Sin embargo, en esta ocasión no había sido el caso y por ende, no será un impedimento.

El Comité estableció el Grupo de redacción 1 para analizar esta cuestión. Muchos participantes expresaron interés en formar parte de este grupo, pero el Comité decidió limitar su composición a un cierto número ya que la idea era redactar un proyecto de resolución revisada y no abordar cuestiones de orden sustantivo. El Grupo quedó integrado por:

- a) observadores de las Partes: Chile, China, Estados Unidos (copresidente), Japón, México, Namibia, Nueva Zelandia, Reino Unido y Sudáfrica;
- b) observadores de organismos de las Naciones Unidas: Organización de las Naciones Unidas para la Agricultura y la Alimentación;
- c) observadores de organizaciones intergubernamentales y no gubernamentales: Comisión Europea (copresidente), IUCN – Unión Mundial para la Naturaleza, *Defenders of Wildlife*, Coalición Internacional para la Vida Silvestre, IWMC-Alianza para la Conservación Mundial y WWF Internacional; y
- d) la Presidenta del Comité de Flora.

Ulteriormente en la reunión, los copresidentes del Grupo de redacción 1 presentaron el documento AC20 DG1 Doc. 1, señalando que el preámbulo de la resolución y el Anexo 4 no se habían enmendado. La mayoría de los cambios tenían por finalidad facilitar la comprensión de las definiciones. Comenzaron a señalar los cambios que habían realizado mediante un proyector. Sin embargo, los miembros del grupo de redacción manifestaron desacuerdo sobre los cambios propuestos y el Presidente del Comité de Fauna solicitó al grupo de redacción que se pusiese de acuerdo y postergó la discusión hasta ese momento.

Posteriormente, el Comité de Fauna tomó nota de que había un error de formato en la página de cobertura del documento AC20 DG1 Doc. 1, ya que los cambios marcados deberían haber sido aceptados. Adoptó los Anexos 1, 2a, 2b y 6 de ese documento. El Comité no abordó la enmienda al Anexo 3, ya que afectaba exclusivamente a las plantas. Se postergaron hasta el día siguiente los debates sobre los Anexos 4 y 5.

Cuando volvió a abordarse el documento, el Presidente del Comité de Fauna recordó al Comité que lo más probable era que en la CdP13 se crease un grupo de trabajo sobre el particular y que en ese momento podrían darse las últimas pinceladas.

En cuanto al Anexo 5, un observador puso en tela de juicio los porcentajes presentados y cómo se habían logrado los niveles, y declaró que el alcance indicado en la nota al pie de página en la página 14 no se aplicaba a los mamíferos marinos. Se explicó que, considerando que los umbrales números utilizados actualmente tenían escaso valor, el grupo de trabajo había optado por porcentajes que a su juicio eran más fiables. En cuanto al punto de referencia de cinco por ciento, se derivaba de un valor ya utilizado en la ordenación de la pesca. Uno de los copresidentes añadió que se entendía que la nota en la página 14 se aplicaba a los peces e invertebrados. Acto seguido el Comité de Fauna adoptó el Anexo 5 y solicitó a la Presidenta del Comité de Flora que informase a su Comité al respecto.

En lo que concierne al Anexo 4, un observador preguntó si el Comité podía adoptar este Anexo, ya que no había sido enmendado por el Grupo de redacción 1 o examinado por el Comité. La Secretaría confirmó que era posible. Es más, la Presidenta del Comité de Flora dijo que los Comités no habían comenzado de cero y que si los revisores que habían probado los criterios no habían propuesto cambios a ese Anexo, significaba que no habían encontrado problemas. En consecuencia, debería adoptarse el documento en su totalidad. Dado lo que precede, el Comité de Fauna adoptó el Anexo 4 y aplaudió la consecución de una ardua tarea en un periodo tan escaso de tiempo, felicitando en particular a los dos copresidentes del grupo de redacción.

Los copresidentes dieron las gracias a todos los que habían participado en esta labor, recalcando que había supuesto un tremendo desafío. El Presidente del Comité de Fauna declaró que mencionaría los nombres de los revisores en la Conferencia de las Partes. Observó que se habían hecho pocos cambios al texto de la presidencia, lo cual ponía de relieve que había funcionado perfectamente. Expresó su deseo de que la revisión de los criterios se concluyese en la CdP13. La Presidenta del Comité de Flora expresó igualmente su agradecimiento a todos los que habían participado en la revisión. Se acordó que la Secretaría debería acelerar la traducción del documento AC20 DG1 Doc. 1 y enviarlo a las Autoridades Administrativas de España y Francia, las cuales se encargarían de remitir las traducciones a las Partes de habla española y francesa con miras a que comprobasen su precisión, normalizasen la terminología y formularasen comentarios a la Secretaría.

En el curso de los debates, hicieron uso de la palabra el representante regional de Asia, los observadores de China, Francia, Japón, Reino Unido, FAO, *Fund For Animals*, CBI, IWMC, TRAFFIC y WWF, la Presidenta del Comité de Flora y el zólogo del Comité de Nomenclatura.

10. Examen periódico de especies de fauna y flora incluidas en los Apéndices – Informe del grupo de trabajo

El observador de Estados Unidos, como presidente del grupo de trabajo entre reuniones, presentó el documento AC20 Doc. 10 (Rev. 1), diciendo que estaba en contra de que este documento se presentase como un proyecto de resolución o decisión. El Comité felicitó al grupo de trabajo por la labor realizada. Sin embargo, se puso rápidamente de manifiesto que el documento no significaba lo mismo en todos los idiomas. Se acordó posponer el examen de este punto hasta que todos hubiesen recibido una versión corregida del documento AC20 Doc. 10 (Rev. 1) y hubieran tenido la oportunidad de formular comentarios al presidente del grupo de trabajo.

Ulteriormente en la reunión se distribuyó un nuevo documento a los participantes. El presidente del grupo de trabajo expuso los escasos comentarios que había recibido, ofreciendo explicaciones en caso necesario. Se formularon nuevos comentarios sobre el diagrama que figuraba en el Anexo 2. El presidente del grupo de trabajo recordó a los participantes que este proceso tenía por finalidad realizar una rápida evaluación y no hacer una propuesta completa, y servía sencillamente para agrupar especies. No obstante, tomó nota de los comentarios formulados y dijo que revisaría el documento en consecuencia para presentarlo a la SC51. El Presidente del Comité de Fauna dejó que se resistía a dar por concluida esta cuestión sin que el Comité hubiese aprobado un documento final. En consecuencia, solicitó al presidente del grupo de trabajo que preparase un documento revisado para presentarlo a la adopción de la presente reunión. Tras ajustar algunos fallos técnicos, se presentó el documento AC20 Doc. 10 (Rev. 2). Se hicieron aclaraciones sobre ciertos puntos sin importancia y se señaló que la nota que figuraba bajo el *Proceso para futuros exámenes*, en el párrafo 1. c) del Anexo 1, era innecesaria. La Presidenta del Comité de Flora felicitó al grupo de trabajo mixto, recalcando que este mecanismo era muy importante y siempre podría perfeccionarse si así se estimaba necesario.

El Comité adoptó las recomendaciones del grupo de trabajo mixto, como se enuncian en los Anexos 1 y 2 del documento AC20 Doc. 10 (Rev. 2), con la supresión de la nota bajo el *Proceso para futuros exámenes*, párrafo 1. c), Anexo 1, y la nueva redacción del recuadro derecho, la tercera parte de arriba abajo, Anexo 2, a partir "Mantener especies en su Apéndice actual" por "Recomendar al Comité que las especies permanezcan en el Apéndice actual", a fin de normalizar el texto en el diagrama.

En el curso de los debates, hicieron uso de la palabra los representantes regionales de Asia y América del Norte, los observadores de España, Japón, México, Reino Unido, *Defenders of Wildlife*, Comisión Europea y CBI, la Presidenta del Comité de Flora y el zoólogo del Comité de Nomenclatura.

11. Proceso para registrar establecimientos que crían en cautividad con fines comerciales, especies animales incluidas en el Apéndice I – Informe del grupo de trabajo

El observador de Chile, en calidad de presidente del grupo de trabajo entre reuniones, presentó el documento AC20 Doc. 11. El Comité felicito al grupo de trabajo por la labor realizada, señalando que se trataba de una cuestión que existía desde hacía mucho tiempo. El zoólogo del Comité de Nomenclatura señaló que la expresión “fines comerciales” se interpretaba en un sentido muy amplio y que los criadores aficionados a pequeña escala nunca se registrarían. Además, en muchos casos se había considerado la complejidad del proceso de registro y la dificultad de demostrar que el plantel parental era preconvención como factor disuasivo para el registro. Sin embargo, algunos delegados se opusieron a la idea de limitar la capacidad para objetar únicamente los registros de los Estados del área de distribución, alegando que cualquier Parte podría tener razones válidas para oponerse al registro, como los datos confidenciales sobre el origen ilegal de las existencias. Se preguntó si no se trataba de una cuestión de aplicación y, por ende, una cuestión que debería someterse al Comité Permanente. La Presidenta del Comité de Flora observó que en su Comité no se había planteado esta cuestión y que se había considerado como una forma de ayudar a los países productores a gestionar sus recursos. Señalando que la Resolución Conf. 12.10 no se estaba aplicando de forma coherente, un observador pidió una resolución más práctica. Uno de los obstáculos para el registro parecía ser el uso extendido de códigos inválidos para exportar especímenes a fin de salvar las restricciones al comercio. El Presidente recordó al Comité el claro mandato que había recibido de la Conferencia de las Partes en la Decisión 12.78, el cual no incluía una revisión de la Resolución Conf. 12.10, pero parecía necesario que el Comité formulase esa recomendación.

El Comité remitió esta cuestión a la consideración del Grupo de trabajo 3), con el siguiente mandato:

- a) examinar todas las respuestas a la Notificación a las Partes No. 2003/071, de 12 de noviembre de 2003; y
- b) formular dictámenes y recomendaciones concluyentes como se solicita en los párrafo a) y b) de la Decisión 12.78, para su inclusión en el informe de la CdP13, incluyendo las enmiendas propuestas a la Resolución Conf. 12.10, según proceda.

El Grupo de trabajo 3 quedó integrado por:

- a) representantes regionales: América del Norte (Sr. Medellín), Europa (Sra. Rodics), África (Sr. Chidziya) y Asia (Sr. Tunhikorn);
- b) observadores de las Partes: Canadá, Chile (presidente), Dinamarca, España, Estados Unidos, Francia, India, Israel, Italia, Japón, México, Namibia, Países Bajos, República Checa, Reino Unido y Sudáfrica; y
- c) observadores de organizaciones intergubernamentales y no gubernamentales: *Birds International*, *Avicultural Park Breeding and Research Centre*, *Environmental Investigation Agency*, *IWMC*-Alianza para la Conservación Mundial, Red de Supervivencia de las Especies, *TRAFFIC*, Sociedad Mundial para la Protección de los Animales, *Deutsche Gesellschaft für Herpetologie und Terrarienkunde E.V.* y *Animal Exhibitors Alliance*.

Ulteriormente en la reunión, el presidente del Grupo de trabajo 3 presentó el documento AC20 WG3 Doc. 1. Sin embargo, algunos miembros del grupo de trabajo no habían visto el documento con anterioridad y no apoyaron su contenido. En consecuencia, el Comité solicitó al presidente del Grupo de trabajo 3 que revisase el documento, tomando en consideración los comentarios formulados en la sesión y sometiese una versión revisada al día siguiente.

Al recibir nuevamente el documento, el Comité tomó nota de que debería borrarse a Dinamarca de la lista de miembros del Grupo de trabajo 3 que figuraba en el documento AC20 WG3 Doc. 1 (Rev. 1) y

adoptó el resumen propuesto para el informe del Presidente a la CdP que figuraba en la página 3 de ese documento.

En el curso de los debates, hicieron uso de la palabra el representante de América del Norte, los observadores de Chile, China, España, Estados Unidos, Israel, México, Países Bajos, la Comisión Europea, *Humane Society* de Estados Unidos, IWMC y SSN, la Presidenta del Comité de Flora y el zoólogo del Comité de Nomenclatura.

12. Relaciones entre la producción *ex situ* y la conservación *in situ* – Informe del grupo de trabajo

El representante regional de América del Norte, en calidad de presidente del grupo de trabajo entre reuniones, presentó el documento AC20 Doc. 12 e invitó a China e India a unirse al grupo de trabajo que se convocaría en la AC20, a fin de garantizar la representación de los países que tenían una gran diversidad biológica. Añadió que este documento era un resumen de varios estudios de caso, pero que al grupo de trabajo se remitiría toda la compilación así como nuevos estudios de caso.

El Comité felicito al grupo de trabajo por los progresos realizados. Sin embargo, parecía que había confusión sobre la interpretación de la Decisión 11.102 (Rev. CoP12) y la Presidenta del Comité de Flora explicó que su Comité había abordado esta cuestión junto con los sistemas de producción. Se señaló que el Comité Permanente también estaba examinando la cuestión de los incentivos económicos y que no debía duplicarse esta labor. Se expresó inquietud por el hecho de que tanto el grupo de trabajo como el Comité se estaban apartando de la cuestión objeto de consideración y ampliando su alcance en vez de centrarse en “identificar posibles estrategias”. En consecuencia, se instó al grupo de trabajo que tuviese en cuenta la intención original de la decisión al tiempo que se concentraba en cuestiones de comercio y científicas, y no en cuestiones relacionadas con el acceso y la distribución de los beneficios, ya que no era un foro del CDB.

El Comité remitió la cuestión al Grupo de trabajo 2, con el siguiente mandato:

- a) examinar toda la información recibida en respuesta a la Notificación a las Partes No. 2003/072, de 12 de noviembre de 2003, así como los resultados de los estudios de caso;
- b) identificar posibles estrategias y otros mecanismos por los que los establecimientos registrados de cría en cautividad *ex situ* pueden contribuir en pro de la recuperación y/o conservación de las especies en los países de origen;
- c) formular conclusiones claras sobre la base de la información compilada; y
- d) comunicar los resultados en un documento a la CdP13, como se indica en la Decisión 11.102 (Rev. CoP12).

El Grupo de trabajo 2 quedó integrado por:

- a) representantes regionales: América del Norte (Sr. Medellín, presidente);
- b) observadores de las Partes: Canadá, Chile, China, Estados Unidos, Francia, India, México, Países Bajos, Reino Unido, Sudáfrica y Zimbabwe; y
- c) observadores de organizaciones intergubernamentales y no gubernamentales: *Pet Industry Joint Advisory Council*, TRAFFIC, Asociación Mundial de Zoológicos y Acuarios, Asociación Americana de Zoológicos y Acuarios, *Animal Welfare Institute*, *Defenders of Wildlife*, *Deutsche Gesellschaft für Herpetologie und Terrarienkunde E.V.*, *Fund for Animals*, *International Elephant Foundation*, Real Sociedad Protectora de Animales y WWF USA.

Ulteriormente en la reunión, el presidente del Grupo de trabajo 2 presentó el documento AC20 WG2 Doc. 1. El Presidente del Comité de Fauna señaló que había un gran número de recomendaciones, algunas de las cuales requerían financiación. El observador de Estados Unidos expresó su preocupación acerca del documento. En su opinión el Grupo de trabajo 2 había ido más allá de su mandato y había convertido la cuestión en un debate de orden filosófico sobre el acceso y la distribución de beneficios sin la menor alusión a la aplicación. Explicó que su país nunca apoyaría o

aplicaría una resolución que se ajustase a lo enunciado por el Grupo de trabajo 2 y destacó que el Comité Permanente se ocupaba también de la cuestión de los incentivos económicos. El Presidente del Grupo de trabajo 2 expresó su sorpresa por el hecho de que Estados Unidos no hubiese comunicado esas preocupaciones en tanto que miembro del Grupo de trabajo y recordó a los participantes en la reunión el mandato del Comité de Fauna enunciado en las Decisiones 11.102 (Rev. CoP12) y 12.78. El Presidente del Comité de Fauna reconoció que sin duda alguna otros países compartirían la misma opinión que el observador de Estados Unidos, pero recordó a los participantes las decisiones dirigidas al Comité. En consecuencia, recomendó subrayar estas cuestiones en su informe a la CdP13 y solicitar a la Conferencia lo que debía hacer. El Comité tomó nota del documento AC20 WG2 Doc. 1 y acordó tomarlo en consideración en el informe del Presidente a la CdP13, recalando, sin embargo, que para algunas Partes sería imposible aplicar las recomendaciones del Grupo de trabajo 2.

En el curso de los debates, hicieron uso de la palabra los representantes regionales de África y América del Norte, los observadores de Chile, China, Estados Unidos, México, Países Bajos, *Animal Welfare Institute*, *Defenders of Wildlife*, CBI, Red de Supervivencia de las Especies, WAZA y WWF-US, la Presidenta del Comité de Flora y el zoólogo del Comité de Nomenclatura.

13. Transporte de animales vivos – Informe del grupo de trabajo

El observador de Austria, en calidad de presidente del grupo de trabajo entre reuniones, presentó el documento AC20 Doc. 13. El Comité felicitó al grupo de trabajo por su labor. El aspecto más difícil de esta cuestión era que la mayoría de los problemas relacionados con el transporte y el almacenamiento de los animales vivos se realizaba a escala nacional y, por ende, estaba fuera del mandato del grupo de trabajo. El presidente del grupo de trabajo declaró que vería si esos problemas podían abordarse con arreglo al mandato actual de este grupo.

El Comité remitió esta cuestión al Grupo de trabajo sobre transporte (Grupo de trabajo 4 en la presente reunión) con el siguiente mandato:

- a) examinar el documento AC20 Doc. 13 y preparar una actualización de la labor realizada en cumplimiento de la Resolución Conf. 10.21, para que la Secretaría presentase un informe al respecto a la CdP13; y
- b) redactar un informe sobre los progresos realizados en la aplicación de la Decisión 12.85, para que el Comité de Fauna informase a la CdP13.

El Grupo de trabajo 4 quedó integrado por:

- a) representantes regionales: Europa (Sra. Rodics);
- b) observadores de las Partes: Austria (presidente), Estados Unidos, Israel, República Checa, República Unida de Tanzania y Sudáfrica; y
- c) observadores de organizaciones intergubernamentales y no gubernamentales: *Pet Industry Joint Advisory Council*, *Whale and Dolphin Conservation Society*, Asociación Mundial de Zoológicos y Acuarios, Asociación Americana de Zoológicos y Acuarios, *Animal Exhibitors Alliance*, *Animal Welfare Institute*, *Humane Society* de Estados Unidos, *Pet Care Trust*, *Pro Wildlife* y Real Sociedad Protectora de Animales.

Ulteriormente en la reunión, el presidente del Grupo de trabajo 4 presentó el documento AC20 WG4 Doc. 1. El Comité tomó nota de este informe con pequeñas enmiendas y adoptó las recomendaciones formuladas en el mismo. En respuesta a una solicitud, el Presidente acordó proporcionar a los miembros del Comité una copia del Memorando de Entendimiento entre la CITES, la IATA y la WAZA.

En el curso de los debates, hicieron uso de la palabra los representantes regionales de Europa y América del Norte y los observadores de Israel, México, Países Bajos, *Humane Society* de Estados Unidos, CBI, WAZA y *Whale and Dolphin Conservation Society*.

14. Comercio de corales duros – Informe del grupo de trabajo

El observador del Reino Unido, en calidad de presidente del grupo de trabajo entre reuniones, presentó el documento AC20 Doc. 14. Un participante señaló que esta cuestión creaba problemas para las aduanas y solicitó si podía encontrarse una solución sin tardanza, posiblemente en forma de una revisión de la Resolución Conf. 11.10 (Rev. CoP12).

El Comité remitió la cuestión al Grupo de trabajo 5, con el siguiente mandato:

- a) considerar y recomendar un medio práctico para diferenciar los corales fosilizados de los no fosilizados objeto de comercio internacional; y
- b) formular conclusiones para informar a la CdP13.

El Grupo de trabajo 5 quedó integrado por:

- a) representantes regionales: Oceanía (Sr. Hay);
- b) observadores de las Partes: Bélgica, Estados Unidos y Reino Unido (presidente); y
- c) observadores de organizaciones intergubernamentales y no gubernamentales: *Ornamental Fish International*, *Pet Industry Joint Advisory Council*, TRAFFIC, y *Ornamental Aquatic Trade Association Ltd.*

Ulteriormente en la reunión, el representante regional de Oceanía (Sr. Hay) presentó el documento AC20 WG5 Doc. 1, señalando dos errores: en primer lugar, no había presidido el grupo de trabajo y, en segundo lugar, había un error de formato en el Anexo y en vez de "roca viva de coral" debería decir "roca ~~viva de coral~~". Se aclaró que la extracción de substrato no tenía un impacto ecológico y, por ende, no era preciso que se regulase. La Secretaría señaló que en caso de que se adoptase la propuesta, tal vez fuese necesario explicar el texto de la Resolución 11.10 (Rev. CoP12) en los Apéndices, en vez de hacer únicamente alusión al mismo, pero que era sencillamente una cuestión de presentación. El Comité tomó nota del documento y adoptó las recomendaciones que figuraban en el mismo con las correcciones precisadas.

En el curso de los debates, hicieron uso de la palabra los observadores de Estados Unidos, Países Bajos, Reino Unido, CBI y *Ornamental Aquatic Trade Association*.

15. Control de los sistemas de cría en cautividad, cría en granjas y recolección en el medio silvestre de especies del Apéndice II – Informe del grupo de trabajo

El representante de África (Sr. Chidziya), en calidad de presidente del grupo de trabajo, explicó que el grupo establecido en la AC19 no había realizado su labor entre reuniones debido a problemas de comunicación. Propuso que se utilizase el documento AC20 Inf. 15 como base de las deliberaciones. Este documento había sido preparado por la UICN e incorporaba los comentarios efectuados en la AC19 y los formulados por Estados Unidos. Sin embargo, el Presidente del Comité de Fauna decidió hacer caso omiso de esa sugerencia, recordando a los participantes que los documentos de información no se utilizaban en los debates y que, en cualquier caso, el precitado documento no estaba disponible en los tres idiomas de la Convención. En consecuencia, era preciso volver a convocar al grupo de trabajo a fin de que preparase un documento que se sometería al Comité para tratar de avanzar en esta cuestión. Se expresó el sentimiento general de que esta cuestión que se venía planteando desde hacía mucho tiempo se había ido parcialmente de las manos y que las deliberaciones se habían extendido a temas como la conservación *ex situ* e *in situ*. Era preciso tomar una decisión y ofrecer orientación urgentemente. Cabía señalar que la confusión era tal que al parecer algunas autoridades no autorizaban el comercio cada vez que en un permiso se utilizaba el código de origen W.

El Comité remitió la cuestión al Grupo de trabajo 6, con el siguiente mandato:

- a) revisar los documentos AC20 Infs. 15 y 18; y

- b) determinar si el Comité de Fauna debería seguir examinando esta cuestión y formular recomendaciones finales a la consideración del Comité.

El Grupo de trabajo 6 quedó integrado por:

- a) representantes regionales: África (Sr. Chidziya, presidente) y América del Norte (Sr. Medellín);
- b) observadores de las Partes: Alemania, Estados Unidos, Israel y Sudáfrica; y
- c) observadores de organizaciones intergubernamentales y no gubernamentales: IUCN – Conservación Mundial para la Naturaleza, IFAW – Fondo Internacional para la Protección de los Animales y su Hábitat, IWMC-Alianza para la Conservación Mundial, Red de Supervivencia de las Especies, TRAFFIC, *Humane Society* de Estados Unidos y *Pro Wildlife*.

Se acordó que si el grupo de trabajo debía proseguir su labor después de la AC20 habría que elegir un nuevo presidente.

Ulteriormente en la reunión, el presidente del Grupo de trabajo 6 presentó el documento AC20 WG6 Doc. 1. El Presidente del Comité de Fauna señaló que se trataba de una cuestión difícil. Como no se había logrado consenso sobre todas las recomendaciones y era preciso redactar algunas de ellas, dijo que, a su juicio, aún quedaba trabajo por hacer. Se acogió con beneplácito la recomendación de establecer un grupo de trabajo mixto con el Comité de Flora en la CdP13 y el observador de Estados Unidos propuso que ese grupo de trabajo utilizase como base de su labor los documentos AC20 WG6 Doc. 1 y AC20 Inf. 15. Asimismo, comunicó al Comité que su país presentaría una propuesta a la CdP13 sobre la cría en granjas y que esa propuesta estaba de acuerdo con el informe del Grupo de trabajo 6. Se pidió a la Presidenta del Comité de Flora que informase a su Comité sobre las decisiones adoptadas en la AC20. El Presidente del Comité de Fauna reconoció que era posible que esta cuestión no se finalizase en la CdP13. El Comité tomó nota de este informe y acordó que se tomase en consideración en el informe del Presidente del Comité de Fauna a la CdP13.

En el curso de los debates, hicieron uso de la palabra los representantes regionales de África y América del Norte, los observadores de Estados Unidos y la CBI, la Presidenta del Comité de Flora y el zoólogo del Comité de Nomenclatura.

16. Conservación y comercio de tortugas terrestres y galápagos

El representante regional de África (Sr. Griffin), en calidad de presidente del grupo de trabajo entre reuniones, presentó este punto del programa, retrazando la historia de esta cuestión y centrándose en las especies asiáticas. Dada la falta generalizada de respuestas, posiblemente debido a problemas de comunicación, el grupo de trabajo entre reuniones establecido en la AC19 sólo había podido preparar un informe durante la reunión en curso (documento AC20 Inf. 25). Este informe se había distribuido únicamente a los miembros del grupo de trabajo. El presidente del grupo de trabajo alentó a las ONG a prestar asistencia dados los problemas económicos a que hacían frente muchas Partes concernidas por esta cuestión. El observador de la UICN comunicó que se habían hecho escasos progresos en la aplicación de la Decisión 12.43 sobre la tortuga de cuña, pero añadió que se estaban realizando reconocimientos mediante microcomputadora.

El Comité remitió la cuestión al grupo de trabajo establecido en la AC19 (Grupo de trabajo 10 en la presente reunión), solicitando que informase ulteriormente a la reunión sobre dos cuestiones, a saber, la tortuga de cuña y el comercio de tortugas terrestres y galápagos asiáticos.

El Grupo de trabajo 10 quedó integrado por:

- a) representantes regionales: África (Sr. Griffin, presidente) y Asia (Sr. Tunhikorn);
- b) observadores de las Partes: Alemania, China, Estados Unidos, Francia, Japón, Kenya, Malasia, Países Bajos, República de Corea y República Unida de Tanzania;
- c) observadores de organizaciones intergubernamentales y no gubernamentales: IUCN – Unión Mundial para la Naturaleza, Coalición Internacional para la Vida Silvestre, IWMC-Alianza para la

Conservación Mundial, TRAFFIC, *Wildcare Africa Trust*, *Association of Midwestern State Fish and Wildlife Agencies*, *Deutsche Gesellschaft für Herpetologie und Terrarienkunde E.V.*, *Humane Society* de Estados Unidos y *Pro Wildlife*; y

d) el zoólogo del Comité de Nomenclatura.

Ulteriormente en la reunión, el presidente del Grupo de trabajo 10 presentó el documento AC20 WG10 Doc. 1. Se formuló una objeción al primer proyecto de recomendación dirigida a las Partes, que figura en la página 2, basándose en que las decisiones sólo deberían contener medidas a corto plazo. El Presidente del Comité de Fauna convino en que se suprimiese esta recomendación, que ya figuraba en la Resolución Conf. 11.9 (Rev. CoP12). Además, no es preciso que se recomiende a las Partes que preparen propuestas. La Secretaría declaró que algunas recomendaciones eran controvertidas. Añadió que la mayor parte de los proyectos de decisión dirigidas a la Secretaría ya figuraban en la Resolución Conf. 11.9 (Rev. CoP12), y que algunas de ellas sobrepasaban las capacidades de la Secretaría y debían encargarse a las Partes. Un observador dijo que le sorprendían los comentarios de la Secretaría ya que no había hecho alusión a los mismos al participar en la reunión del Grupo de trabajo 10. Otro delegado dijo que el Comité debería tener cuidado sobre como comunicaba las recomendaciones a la Conferencia de las Partes, sugiriendo que se redactasen como sigue "el grupo de trabajo recomienda a las Partes que ...".

El Comité tomó nota del documento AC20 WG10 Doc. 1, con la supresión de la primera recomendación dirigida a las Partes en la página 2. Acordó tomar esto en consideración en el informe del Presidente a la CdP13, en el entendimiento de que era probable que algunos proyectos de decisión se pasasen de la Secretaría a las Partes.

En el curso de los debates, hicieron uso de la palabra el representante regional de América del Norte y los observadores de Estados Unidos, IUCN y CBI.

17. Signátidos y otros miembros de la familia Syngnathidæ – Informe del grupo de trabajo

El observador de *Project Seahorse*, en calidad de presidente del grupo de trabajo entre reuniones, presentó el documento AC20 Doc. 17, explicando que no había nuevos resultados desde la AC19, en la que se había recomendado un tamaño mínimo de 10 cm para los especímenes capturados en la naturaleza. Asimismo, añadió que el *Project Seahorse* había acabado de completar la producción de una guía de identificación para los caballitos de mar que estaría lista a tiempo para la fecha fijada de inclusión en el Apéndice II. Dos delegados hicieron uso de la palabra en relación con los caballitos de mar, pero el Presidente del Comité de Fauna consideró que carecían de relevancia para la instrucción de la Conferencia de las Partes en la Decisión 12.54, concretamente para "identificar un tamaño límite mínimo.

El Comité acordó el tamaño mínimo de 10 cm para los especímenes capturados en la naturaleza que se recomiendan en el documento AC20 Doc. 17, en el entendimiento de que este límite puede revisarse en el futuro a la luz de nuevas investigaciones y de que se trataba de una medida voluntaria. El Comité solicitó a la Secretaría que informase a las Partes de esta decisión mediante una Notificación. México acordó distribuir los resultados del cursillo celebrado en Mazatlán, del 3 al 5 de febrero de 2004, con miras a asistir en la aplicación y la formulación de dictámenes no perjudiciales en la AC21.

En el curso de los debates, hicieron uso de la palabra el representante regional de Oceanía, el representante regional suplente de Asia y los observadores de China, Estados Unidos, Japón, México, CBI y *Ornamental Aquatic Trade Association*.

18. Situación biológica y comercial de los cohombros de mar de las familias Holothuridae y Stichopodidae

La Secretaría presentó el documento AC20 Doc. 18, explicando que debería considerarse junto con el documento AC20 Inf. 14, ya que el cursillo citado en este documento se había celebrado dos semanas antes. El representante de Asia, en calidad de copresidente del cursillo, dijo que había sido muy fructífero. Otro observador se hizo eco de estas palabras y un tercero declaró que en el cursillo no se había llegado a ninguna conclusión y no se habían dado directrices sobre la vía a seguir. Este último, declaró también que, a su juicio, la inclusión en los Apéndices de la CITES no sería un

instrumento adecuado para la conservación y la ordenación de los cohombros de mar, pero el Presidente le recordó que con arreglo a lo dispuesto en la Decisión 12.60, el Comité de Fauna debía presentar un documento de trabajo a la CdP13 sobre la situación de estas especies. La Secretaría añadió que aún no se habían recibido algunos comentarios sobre el cursillo, pero que se incluirían en el acta final. En cuanto a las recomendaciones formuladas por la FAO, serían publicadas por la propia FAO. En respuesta a una solicitud, la Secretaría convino en distribuir los informes anuales presentados en el cursillo, siempre y cuando se lograra financiación para sufragar la publicación de esos documentos.

El Comité remitió esta cuestión al Grupo de trabajo 7, con el siguiente mandato:

- a) examinar los resultados del cursillo técnico, como se subraya en el documento AC20 Inf. 14;
- b) redactar resultados y recomendaciones que se incluirán en un documento de trabajo sobre la situación biológica y comercial de los cohombros de mar para la CdP13, y proporcionar orientación sobre las medidas necesarias para garantizar su conservación; y
- c) determinar la forma de preparar a su debido tiempo el informe para la CdP13 a que se hace alusión en la Decisión 12.60.

El Grupo de trabajo 7 quedó integrado por:

- a) representantes regionales: Asia (Sr. Pourkazemi, presidente, y Sr. Giam, suplente);
- b) observadores de las Partes: Bélgica, China, Estados Unidos, Francia, México, Japón, la República de Corea y la República Unida de Tanzania;
- c) observadores de organismos de las Naciones Unidas: Organización de las Naciones Unidas para la Agricultura y la Alimentación; y
- d) observadores de organizaciones intergubernamentales y no gubernamentales: *Ornamental Fish International*, *Project Seahorse*, TRAFFIC y *Ornamental Aquatic Trade Association Ltd.*

Ulteriormente en la reunión, el presidente del Grupo de trabajo 7 presentó el documento AC20 WG7 Doc. 1. El Presidente del Comité de Fauna señaló que era cada día más difícil obtener apoyo financiero para taxa no incluidos en los Apéndices como estos (con excepción de una especie en el Apéndice III) y que la financiación tendría que lograrse de fuentes externas. El Presidente del Comité de Fauna propuso que el Comité tomase nota del informe y solo se tuviese en cuenta el Anexo 2, pero se indicó que no era posible ya que el punto 18 del Anexo 1 se refería a las recomendaciones en el Anexo 2. El presidente del Grupo de trabajo 7 dijo que no tenía tiempo para redactar un documento de trabajo para la CoP13, a tenor de lo indicado en el Anexo 1.

El Comité tomó nota del documento AC20 WG7 Doc. 1 y acordó informar a la Conferencia de las Partes, a través del informe del Presidente a la CdP13, de que la falta de tiempo y fondos le habían impedido llevar a cabo los estudios necesarios para abordar debidamente la cuestión y, por consiguiente, para formular las recomendaciones finales. El Presidente del Comité de Fauna indicó que incluiría la solicitud del grupo de trabajo de que se examinara con más detalle esta cuestión. El observador de Estados Unidos se ofreció a participar en la compilación de las actas del cursillo de la CITES, en consulta con el presidente del cursillo y la Secretaría.

En el curso de los debates, hicieron uso de la palabra el representante regional de Asia y los observadores de Estados Unidos, Japón, CBI, *Ornamental Fish International* y *Project Seahorse*.

19. Situación biológica y comercial de los tiburones – Informe del grupo de trabajo

El representante regional de Oceanía, en calidad de presidente del grupo de trabajo entre reuniones, presentó el documento AC20 Doc. 19 y señaló a la atención del Comité los documentos AC20 Infs. 1-8. Dio las gracias al Grupo de Especialistas en Tiburones (GET) de la UICN por su apoyo. Una delegación expresó preocupación acerca de la situación de los tiburones. El observador de la *Wildlife Conservation Society*, que había preparado el documento AC20 Inf. 1, dijo que compartía esta

preocupación y puso de relieve los desafíos en lo que concernía a la gestión de estas especies. El observador del GET/UICN presentó el documento AC20 Inf. 5 y el observador de la FAO alabaron este exhaustivo informe, explicando que su organización estaba controlando los progresos realizados en la aplicación del IPOA-Sharks y alentó a otros países a que lo aplicasen.

El Comité remitió esta cuestión al Grupo de trabajo 8, con el siguiente mandato:

- a) revisar los documentos AC20 Doc. 19 e Infs. 1-8 para evaluar los progresos realizados en la aplicación de la Resolución Conf. 12.6 y la Decisión 12.47;
- b) considerar la adopción de nombres y códigos normalizados para las especies de tiburón objeto de comercio;
- c) examinar los progresos en la aplicación del IPOA-Sharks;
- d) formular comentarios sobre las propuestas de incluir especies de tiburón en los Apéndices de la Convención; y
- e) formular declaraciones finales sobre la decisión y la resolución pertinentes para su consideración en la CdP13, y sugerir enmiendas o modificaciones, según proceda.

El Grupo de trabajo 8 quedó integrado:

- a) representantes regionales: Oceanía (Sr. Hay, presidente);
- b) observadores de las Partes: Alemania, Bélgica, Canadá, China, Estados Unidos, Irlanda, México, Namibia, Nueva Zelandia, Países Bajos, República de Corea, República Unida de Tanzania y Sudáfrica;
- c) observaciones de organismos de las Naciones Unidas: Organización de las Naciones Unidas para la Agricultura y la Alimentación;
- d) observadores de organizaciones intergubernamentales y no gubernamentales: Comisión Europea, UICN– Unión Mundial para la Naturaleza, IFAW – Fondo Internacional para el Bienestar de los Animales, *Project Seahorse*, *World Conservation Society*, WWF Internacional, *Defenders of Wildlife* y *The Ocean Conservancy*.

Ulteriormente en la reunión, el presidente del Grupo de trabajo 8 presentó el documento AC20 WG8 Doc. 1. En el párrafo sobre *Freshwater stingrays family Potamotrygoniae* en la página 4 se observó un error, que debería de decir “the observer from Wildlife Conservation Society” en vez de “the observer from OATA”. El observador de Japón expresó objeción a las conclusiones del informe y solicitó que se tomase nota del documento pero que no se adoptase, pues a su juicio era contencioso. Asimismo, el Presidente se manifestó a favor de que se tomase nota de las recomendaciones en el informe ya que el Comité disponía de escaso tiempo para examinarlo. Varios observadores alabaron el informe, pero el representante suplente de Asia lo criticó por estimar que el enfoque era sesgado y que las conclusiones infundadas habían sido presentadas por un grupo que carecía de experiencia. El presidente del Grupo de trabajo 8 se opuso enérgicamente a todas esas críticas. Denegó que el informe fuese subjetivo y declaró que al contrario, el Grupo de trabajo 8 había tenido sumo cuidado al redactar las recomendaciones. Asimismo, declaró que era incorrecto sugerir que “muchos miembros del grupo de trabajo no estaban de acuerdo” e indicó que los miembros tenían amplios conocimientos técnicos sobre tiburones. A la pregunta de cómo se transmitirían las recomendaciones a la CdP13, el Presidente del Comité explicó que las comunicaría a la luz de lo dispuesto en la Decisión 12.47. Un observador señaló que como solo un miembro del Comité había logrado participar en el Grupo de trabajo 8, el Comité debería ser prudente al comunicar las recomendaciones a la Conferencia de las Partes.

El Comité tomó nota del documento AC20 WG8 Doc. 1 y acordó tomarlo en consideración al comunicar a la CdP13.

En el curso de los debates, hicieron uso de la palabra el representante regional de Asia, los observadores de China, Estados Unidos, Japón, México, Comisión Europea, FAO, UICN, CBI, *Wildlife Conservation Society*, CMCM y WWF, y el zoólogo del Comité de Nomenclatura.

El observador de Japón hizo la siguiente declaración:

Japón ha expresado reiteradamente su enérgica objeción a los intentos de incluir especies de tiburones en los Apéndices de la CITES, debido a que, a nuestro juicio, no creemos que esas inclusiones complementen o sirvan de ayuda a la conservación y ordenación de los tiburones, que es responsabilidad de las organizaciones especializadas de pesca, como la FAO, y las organizaciones regionales de ordenación de la pesca.

Como ya sabe, este es un tema particularmente controvertido y no hemos dispuesto de tiempo suficiente para examinar el informe del grupo de trabajo. En vez de que el Comité de Fauna adopte este informe del grupo de trabajo, solicitamos que aborde es informe de la misma manera en que se abordan otros informes controvertidos, a saber, tomando sencillamente nota del mismo.

20. Comercio de especies exóticas

El representante regional de Oceanía, en calidad de presidente del grupo de trabajo entre reuniones, presentó el documento AC20 Doc. 20. Explicó que aún no se había completado la compilación de una lista de especies invasoras incluidas en los Apéndices de la CITES, que estaba realizando el Grupo de Especialistas en Especies Invasoras de la CSE/UICN, y que aunque no se terminaría para la CdP13, podía considerarse que se había cumplido con la Decisión 10.76. Se recalcó la importancia de trabajar conjuntamente con el CDB en este asunto, y se propuso que el CDB y la UICN colaborasen para completar la lista. Asimismo, se sugirió que el grupo de trabajo de la CITES revisase la labor realizada por el CDB a fin de evitar duplicaciones. También podía pensarse en la posibilidad de crear una carpeta de hojas sueltas de las especies invasoras en colaboración con otras organizaciones. La Presidenta del Comité de Flora dijo que su Comité había considerado que esta cuestión tenía baja prioridad. El Presidente del Comité de Fauna hizo suya esta opinión y declaró que la Conferencia debía de adoptar una nueva decisión si las Partes querían que se continuase trabajando en esta cuestión. Se señaló que pese a que no era el objetivo de la Convención, la CITES puede ofrecer uno de los instrumentos más eficaces para evitar que se exporten ciertas especies y se desarrollen sin ningún control fuera de su área de distribución original.

El Comité acordó que se había cumplido la Decisión 10.76 y que no era preciso realizar otras tareas.

En el curso de los debates, hicieron uso de la palabra los representantes regionales de América del Norte y Oceanía, el observador de Chile y la Presidenta del Comité de Flora.

21. Taxonomía y nomenclatura normalizada

El zoólogo del Comité de Nomenclatura informó acerca de la reunión que había celebrado su Comité el 31 de marzo, después de la reunión del Comité de Fauna. Explicó, entre otras cosas, que unos 60 delegados habían asistido a la reunión y que ulteriormente se distribuiría un informe escrito. Se había preparado el documento NC4 Doc. 2 ya que en la PC13 y AC19 se había señalado que no todas las Partes estaban familiarizadas con las prácticas de trabajo del Comité de Nomenclatura. El zoólogo del Comité de Nomenclatura propuso que se distribuyese una copia de ese documento a todas las Partes. Asimismo, señaló que tomaría en consideración los comentarios formulados sobre este documento en el informe del Comité de Nomenclatura a la CdP13. Sugirió que las cuestiones de nomenclatura se examinasen en el Comité I de la Conferencia de las Partes antes de que se presentasen en la plenaria. Algunos delegados destacaron la necesidad de distribuir sistemáticamente los documentos examinados en las reuniones del Comité de Nomenclatura, lamentando asimismo la falta de un informe escrito en la PC14. Sin embargo, se recordó que el Comité de Nomenclatura no era un grupo de trabajo de ninguno de los Comités científicos y que en su mandato se indicaba claramente que debía informar únicamente a la Conferencia de las Partes. Los debates se centraron en la elección realizada en la CdP12 de referirse exclusivamente a la Lista de especies CITES en la resolución sobre nomenclatura normalizada como a la referencia de nomenclatura normalizada. La

Presidenta del Comité de Flora declaró que su Comité deseaba que en esa resolución se mencionasen otras referencias de nomenclatura, como las listas de orquídeas producidas por el Real Jardín Botánico de Kew, tal como había sido el caso previamente.

El Comité tomó nota del informe oral del zoólogo del Comité de Nomenclatura.

En el curso de los debates, hicieron uso de la palabra el representante regional de América del Norte, los observadores de Israel, CBI e IWMC y la Presidenta del Comité de Flora.

22. Otras cuestiones

El observador de Estados Unidos explicó que se había distribuido una versión errónea del documento AC20 Inf. 24, y que la versión correcta se distribuiría en breve.

22.1 Manual de identificación

La Secretaría presentó el documento AC20 Doc. 22.1.

El Comité tomó nota del informe de la Secretaría.

22.2 Máster en gestión, Baeza, España

El observador de España y la Presidenta del Comité de Flora presentaron este punto, señalando a la atención del Comité el documento AC20 Inf. 30. La Presidenta del Comité de Flora explicó que se trataba del cuarto curso y que en total en el Máster habían participado 113 estudiantes, muchos de los cuales trabajaban hoy en día en Autoridades Administrativas, organizaciones no gubernamentales o en la Secretaría CITES. Los primeros tres cursos se habían celebrado consecutivamente, pero el cuarto se había celebrado dos años después debido a la falta de recursos. Señaló que el curso beneficiaba a todas las Partes, pero que España se encargaba de sufragarlo en su mayor parte. En consecuencia, invitaba al Comité de Fauna a seguir el ejemplo del Comité de Flora invitando a las Partes a apoyar financieramente el curso y solicitar a la Secretaría que hiciese lo posible por recaudar fondos.

El Comité acordó que en su informe a la CdP13 el Presidente del Comité de Fauna debería instar a las Partes a apoyar el curso Máster, teniendo en cuenta los beneficios que aportaba a todas las Partes y que debería recomendar que se encargase a la Secretaría que recaudase fondos externos para financiarlo.

En el curso de los debates, hicieron uso de la palabra el representante regional de América del Norte y los observadores de Estados Unidos, Sudáfrica y la Comisión Europea.

23. Discursos de clausura

El Presidente recalcó que el día de trabajo adicional del que se había beneficiado el Comité había sido extremadamente valioso para finalizar el programa. Dio las gracias al Comité, los observadores, los intérpretes y la Secretaría por su dedicación y el trabajo realizado. Asimismo, expresó su agradecimiento, en nombre del Comité, a Sudáfrica y a su Autoridad Administrativa por organizar la reunión. Muchos otros participantes se hicieron eco de estas palabras. El representante de Oceanía también dio las gracias al Presidente, en nombre de todo el Comité.

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



Twentieth meeting of the Animals Committee
Johannesburg (South Africa), 29 March-2 April 2004

REVIEW OF SIGNIFICANT TRADE IN SPECIMENS OF APPENDIX-II SPECIES
(RESOLUTION CONF. 12.8 AND DECISION 12.75)

Members of the working group

The Chairman of the Animals Committee (Chair);

Regional representatives: Europe and Africa;

Observers from Parties: Canada, China, the Democratic Republic of the Congo, Denmark, Italy, Malaysia, Namibia, the Netherlands, South Africa, Spain, United Arab Emirates, United Kingdom of Great Britain and Northern Ireland, United States of America;

Observers from inter-governmental and non-governmental organizations: European Commission, IUCN – The World Conservation Union, Conservation Force, Fauna and Flora International (rapporteur), Humane Society of the United States, IWMC-World Conservation Trust, Pet Care Trust, Species Survival Network, TRAFFIC (rapporteur), UNEP-WCMC, Whale and Dolphin Conservation Society, World Wildlife Fund USA;

The zoologist of the Nomenclature Committee; and

The CITES Secretariat.

Terms of reference

1. Examine the information on *Falco cherrug* and formulate recommendations in compliance with Resolution Conf. 12.8, paragraph f);
2. Identify reporting requirements and time-frames for the implementation of the Action Plan for Madagascar; and
3. Select a limited number of species for Phase VI of the Review of Significant Trade.

Summary of the discussions and recommendations

Doc. 8.1 Review of Significant Trade in *Falco cherrug*

Secretariat reported that the joint budget for 2004 for the Animals and Plants Committees for Significant trade process was USD 73,000 while experience shows that each review costs approximately USD 10,000. These financial constraints suggested to the Secretariat that the Committee should consider prioritising just one species per taxonomic group.

Falco cherrug came into the Review of Significant Trade at AC19 as an 'exceptional' case according to Resolution Conf. 12.8. The range States were contacted by the Secretariat regarding possible problems of implementing Article IV for trade in this species, and to comment upon the report of the United Arab Emirates that had been the basis for the selection of the species by AC (the report is presented in Doc. AC20 Doc. 8.2, Annex 2). Range States had 60 days to reply. These responses were available to the Working Group in Doc AC20 Doc. 8.1 Annex 1. It was agreed that the Working Group should select from the listed range States to eliminate those which are clearly implementing Article IV and identifying those which require further attention.

Considerable discussion followed about information available from importing Parties.

It was agreed that the Animals Committee should refer all the range States that have not responded to the initial information request for further action by the Secretariat in accordance with paragraph g) of Resolution Conf. 12.8. The working group also agreed that none of the Parties that sent in responses should be kept in the process. Some discussion resulted as to whether the United Arab Emirates should be kept in the process. However, it was noted that the United Arab Emirates had responded to Resolution Conf. 12.8 in a very positive way, detailing the way it is now dealing with the non-detriment findings required under Article IV and as such it is an example to the Parties. It was therefore not included in the further review process.

The European representative on the Animals Committee stressed that it was important to focus on the key range States where implementation of Article IV seemed problematic, and the Working Group identified the following countries in this regard: Iran, Kazakhstan, Mongolia, Pakistan, Russian Federation, Saudi Arabia, Turkmenistan and Uzbekistan.

After further discussion regarding the situation in China, it was determined that it be left in the category of other countries that had not yet reported.

In response to concerns raised about lack of sufficient controls of captive breeding operations and illegal trade in some countries, it was noted that there will be a workshop in Abu Dhabi in May 2004 involving both falconry countries and countries with captive breeding operations in an effort to address these issues.

Doc. 8.3 Progress on the first country-based Review of Significant Trade (Madagascar)

After some discussion about how best to proceed in developing milestones and timeframes for the Action Plan, it was determined that the working group would focus its efforts on identifying timeframes for short term activities only, and that these actions would be separated into Urgent Short Term Actions and other Short Term Actions.

Urgent Short Term Actions must be reported on by Madagascar to the Secretariat prior to SC51, while all other Short Term Actions must be reported on by Madagascar to the Secretariat prior to AC21. These categories are based on all activities labeled as 'Short Term' in AC20 Inf. 10. The Secretariat, in consultation with the Chairman of AC, should report on the compliance by Madagascar with Urgent Short Term Actions at SC51.

Urgent Short Term Activities are:

- a. Draw up a set of terms of reference for the Scientific Authority to be agreed by the SA and MA (p. 5);
- b. Identify and provide background information on the conservation status of Malagasy species (p. 5);

- c. Establish a mechanism, to be agreed by the SA and MA, to ensure that advice from the SA is acted on in a timely fashion (p. 6);
- d. Design and implement an agreed, transparent quota setting system (p. 7);
- e. Design and implement a system to allow MA to track actual exports against quotas allocated (p. 8);

Other Short Term Actions [to be reported on by AC21] include:

- a. Undertake a cost-benefit analysis of wildlife trade and use the results of this analysis to inform the policy framework (p. 3);
- b. Draw up revised legislation and submit this to the national legislature for adoption (p. 4);
- c. Identify and provide background resources concerning the different roles of the SA (p. 5);
- d. Design and implement a mechanism for monitoring implementation of the action plan (p. 7);
- e. Implement a coordination and communications strategy (p. 7);
- f. Formalize exporters' association (p. 8);
- g. Design a training programme (p. 9);
- h. Implement a coordination and communication strategy (p. 9);
- i. Produce and distribute identification manuals (p. 10);
- j. Produce and distribute manuals of procedure (p. 10);
- k. Procure other resources as needed (p. 10);

The working group recommends that the Secretariat contact Madagascar to express its concern about Madagascar's failure to adequately explain its current export policy for CITES-listed species, and to clarify urgently whether there is a moratorium in place for trade in CITES-listed species.

It was noted that funding is critically needed to ensure that the Action Plan is fully implemented. The working group also recommended that funding be made available to ensure that Madagascar can attend the AC, PC and SC meetings to report on progress with the implementation of the Action Plan.

The working group also recommended that Madagascar be requested to identify timeframes for accomplishing medium and long term actions, and that these timeframes be reported to the Secretariat prior to AC21.

The Secretariat advised that it was important to establish a position for a technical adviser in Madagascar to oversee the implementation of the Action Plan. The working group recommended that efforts to establish such a position should proceed.

Doc. 8.5 Selection of Species for Review of Significant Trade

The working group determined species for review of significant trade by analyzing species that appeared as candidates both in Doc. 8.5 prepared by UNEP-WCMC and AC20 Inf. 12.

- a. *Monodon monoceros*: Narwhal was not selected for review in Phase VI. The working group noted that the species remained in Phase III because secondary recommendations for Denmark (Greenland) and Canada, formulated in 1996, had not been complied with. That secondary recommendation reads: "The responsible authorities of Canada and Greenland should initiate a scientifically based survey programme for the Baffin Bay stock. If one is not already in operation, to form the basis of an improved population monitoring programme." It was agreed by the working group, including Canada and Denmark (Greenland), that this secondary recommendation should be

addressed by Canada and Denmark (Greenland) by 31 July 2004. The Secretariat, in consultation with the Chairman of the Animals Committee, will determine whether the recommendation has been implemented, and report to the Standing Committee accordingly.

- b. *Poicephalus senegalus*: Accepted for Phase VI. Particular concerns were raised for Guinea, Mali, Senegal and Togo.
- c. *Psittacus erithacus*: Accepted for Phase VI. Particular concerns were raised for the Democratic Republic of Congo, Cameroon, Congo, Sierra Leone, Guinea, Liberia, and Cote d'Ivoire.
- d. *Gracula religiosa*: Accepted for Phase VI.
- e. *Callagur borneoensis*: Accepted for Phase VI.
- f. *Phelsuma comoroensis*: Accepted for Phase VI.
- g. *Phelsuma dubia*: Accepted for Phase VI.
- h. *Phelsuma v-nigra*: Accepted for Phase VI.
- i. *Uromastyx spp.*: Though there are 16 recognised species in the genus, based on trade figures and other information, the working group selected five species for review in Phase VI, including: *U. acanthinura*, *U. benti*, *U. dispar*, *U. geyri*, and *U. ocellatus*. It was also suggested that, in the Secretariat's letters to range States, that a specific inquiry to Mali about trade reported only at the genus level be made.
- j. *Furcifer cephalolepis*: Accepted for Phase VI.
- k. Tridacnidae: Despite the fact that there are nine recognized species of Tridacnidae, based on trade figures and other information the working group selected six species for review in Phase VI, including: *Tridacna crocea*, *T. maxima*, *T. squamosa*, *T. derasa*, *T. gigas*, and *Hippopus hippopus*.

The observer from the United Kingdom noted that the European Union Scientific Review Group had independently concluded that the international trade in these species was of concern.

There were several other species discussed for consideration of entry into Phase VI, though no further species were added.

Arctocephalus pusillus was discussed at length. Based on additional information provided by Namibia regarding quotas and export volumes, it was not selected for review.

For *Mantella* species it was noted that the working group has concerns about the status of several critically endangered species, including *M. aurantiaca*, *M. cowani*, *M. milotympanum*, and *M. viridis*. If Madagascar does not currently have an export moratorium in place, it was recommended that the AC reconsider whether these species or the entire genus be included in the significant trade process.

Pandinus imperator was also discussed as a potential candidate for review. Though it was not discussed, it was agreed that future trade be monitored for possible significant trade review in the future.

Prioritization of Species Selected for Phase VI

The working group was tasked with prioritizing the species it selected for consideration for Phase VI. The top priorities for the working group are as follows:

- a. *Psittacus erithacus*
- b. *Callagur borneoensis*
- c. *Uromastyx acanthinura*, *U. benti*, *U. dispar*, *U. geyri*, *U. ocellatus*
- d. *Phelsuma dubia*, *P. comorensis*, *P. v-nigra* and *Furcifer cephalolepis* (considered together because all are at least in part traded from the Comoros).
- e. Tridacnidae [see paragraph k) above]

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



Twentieth meeting of the Animals Committee
Johannesburg (South Africa), 29 March-2 April 2004

Relationship between *ex situ* production and *in situ* conservation [Decision 11.102 (Rev. CoP12)]

REPORT OF THE WORKING GROUP

Members of the working group

Rodrigo Medellín, representative of North America (Chair);

Observers from Parties: Canada, Chile, China, France, Kenya, Mexico, Netherlands, South Africa, United States of America

Observers from inter-governmental and non-governmental organizations: American Zoo and Aquarium Association, Animal Exhibitors Alliance, Animal Welfare Institute, Fund for Animals, DGHT, Defenders of Wildlife, International Elephant Foundation, Pet Industry Joint Advisory Council, TRAFFIC, Royal Society for the Prevention of Cruelty to Animals, World Association of Zoos and Aquariums and WWF (USA),

Terms of reference

1. Examine all information received in response to the Notification 2003/072 and the results of the case studies.
2. Formulate clear conclusions on the basis of the compiled information.
3. Identify possible strategies by which registered *ex-situ* captive breeding operations may contribute to enhancing recovery and/or conservation of the species.
4. Compile the findings regarding the different aspects of Decision 11.102 (Rev. CoP12) and identify possible strategies and other mechanisms for inclusion in the report to CoP13.

Summary of the discussions and recommendations

Given the importance of operations that breed Appendix-I species for commercial purposes, the need to enhance cooperation with countries of origin and to create a positive impact on *in situ* conservation, the Chair suggested that the group focus on the implementation of the mandate for commercial captive breeding operations of Appendix-I species.

The Chair suggested using the existing case studies as a source of ideas as to how *ex situ* operations can have a positive impact on *in situ* conservation programmes. There was significant discussion about how to use the studies or whether the case studies provided adequate basis upon which reliable recommendations could be made. Several members of the group noted the brevity and lack of detail in many case studies and suggested that the case studies be peer reviewed to ensure accuracy of the

information. After considerable debate, the group reached consensus to use the existing case studies initially as a source of ideas to identify appropriate strategies for assessing the impact of *ex situ* captive breeding operations for commercial purposes on *in situ* conservation, and to continue to examine case studies in detail.

Despite Notification to the Parties No. 2003/072 inviting Parties and organizations to provide case studies, the working group does not have enough submissions of case studies of captive breeding operations of Appendix-I species for commercial trade to assess the effect of commercial captive breeding of CITES-listed animal species on the *in situ* conservation of those species. Therefore, the WG decided to continue with the process of compiling additional case studies prepared by Parties and organizations with an emphasis on new case studies from commercial operations on the relationship between *ex situ* breeding operations and *in situ* conservation for captive-breeding operations of Appendix-I species for commercial trade.

Recommendation:

To issue a Notification to the Parties to request the submission of more case studies on the relationship between *ex situ* breeding operations and *in situ* conservation programmes for captive-breeding operations of Appendix-I species for commercial trade. This Notification should be issued immediately after AC20 and should request such submissions to be made by 2 August 2004.

[Participants from three NGOs disagreed and interpreted the need of the consultant as referring to doing a full review of *ex-situ* breeding operations]

Furthermore, the group recognized the need to have a detailed and standardized analysis of the submitted case studies (and if necessary, promote the preparation of additional ones). The Working Group felt that, given the time required to carry out this analysis and the lack of availability of the WG members, especially parties, this should be entrusted to a consultant, subject to identification of appropriate funds.

Recommendation:

Hire a consultant that will compile, critically analyse, and synthesize the case studies and if necessary, approach Parties to encourage preparation of additional case studies. The consultant will then submit the report to the working group detailed assessments showing the effect of *ex situ* commercial captive breeding operations of CITES Appendix-I species on *in situ* conservation. The terms of reference for this work by a consultant would be modified from the original terms of reference of the working group as follows:

Using the consultant's expertise, responses to the Notification to the Parties and input from specialized organizations, the AC, and the PC, evaluate the relationship between *ex situ* production and *in situ* conservation by:

- i) requesting organizations to provide information on the *in-situ* conservation costs and benefits of different captive-production systems;
- ii) assess the effect of commercial and non-commercial captive breeding of Appendix-I animal species on the *in situ* conservation of those species; and
- iii) take into account the work of the Convention on Biological Diversity on issues of access and benefit sharing in relation to *ex situ* production.
- iv) identify factors that may facilitate or hinder effective contributions to *in-situ* conservation

Once the consultant has prepared the above, s/he will communicate his/her findings to the Working Group so that it may continue with the next phase of the Terms of Reference as follows:

Identify possible strategies and other mechanisms by which (nationally or internationally) registered or non-registered *ex situ* breeding operations may contribute to enhancing the recovery or conservation of CITES-listed species *in situ* by:

- i) identifying examples of *in situ* recovery or conservation programmes for species produced in *ex-situ* breeding operations, and examining in what form and under what conditions operations could usefully contribute to these programmes;

- ii) assessing the effect of reintroduction of ex-situ captive-bred specimens for the conservation and recovery of the species;
- iii) examining mechanisms for generating sustainable funding for in situ conservation from ex situ breeding operations and ensuring funds generated make identifiable and measurable contributions to in-situ conservation;
- iv) evaluating the capacity and need of range States to develop or manage in situ recovery and conservation programmes for species produced in ex situ breeding operations.

The Chair of the WG identified the need to synergize with the working group on the registration of operations that breed Appendix-I species for commercial purposes. This goes directly towards the main mandate of the group as stated in Resolution Conf. 11.102, namely:

“continue to examine the complex issues related to the origin of founder breeding stock and the relationship between ex situ breeding operations and in situ conservation of the species and, in collaboration with the Plants Committee, the American Zoo and Aquarium Association, the European Association of Zoos and Aquaria and the World Association of Zoos and Aquariums, **identify possible strategies and other mechanisms by which registered ex situ breeding operations may contribute to enhancing the recovery and/or conservation of the species within the countries of origin**, and report its findings at the 13th meeting of the Conference of the Parties.”

Specifically, our working group will produce text to be inserted into the document produced by the WG on registration of captive breeding operations of Appendix-I species for commercial purposes (Working Group 3):

Recommendation: insert the following text in document WG3 Doc. 1:

How will your operation contribute to the in situ recovery and/or conservation of the species?

- a) reintroduction YES? HOW? IF NOT? WHY?
- b) financial support YES? HOW? IF NOT? WHY?
- c) capacity building, YES? HOW? IF NOT? WHY?
- d) education/public awareness, YES? HOW? IF NOT? WHY?
- e) other.YES? HOW? IF NOT? WHY?

These questions will allow subsequent monitoring of the operation to assess whether or not the ex situ operation is having a positive impact on the in situ conservation programme. [One participant from Defenders of Wildlife expressed very serious concern that the questions were too ambiguous to allow the detailed analysis by Parties required to ensure positive contributions are made. One participant from the Fund for Animals took exception with the position of the WG about obtaining information on the relationship between ex situ operations and in situ conservation, both through the process of registration of facilities and through the provisions of Article III on export without having the benefit of reviewing the case studies (see below)].

Many Appendix-I species from non-registered breeding operations are not exported under article 7.4 and therefore might not be covered by the previous point. Therefore, the WG identified the need to solve this issue with the following:

Recommendation: Parties should consider asking the same questions as in the previous point when assessing whether a specimen meets the requirements for being considered “bred in captivity” as defined in Resolution Conf. 10.16.

The group recognized the need to prepare a document entitled “Guidelines for assessing contributions of ex-situ breeding operations on in-situ conservation” for Parties to use in evaluating this issue. The group will begin working on these very important guidelines immediately.

The working group appreciates that non-registered ex situ commercial breeding operations of Appendix-I species cannot be forced either by CITES to contribute to in situ conservation operations. We therefore encourage Parties with Appendix-I breeding operations outside range States to develop bilateral or multilateral projects with those range States in order to ensure effective and monitorable in situ conservation programmes. Range States with ex situ breeding operations should enter into similar arrangements with the ex situ breeding operations in their countries.

Recommendation:

Parties with Appendix-I breeding operations outside of the range States for that species are encouraged to enter into bilateral or multilateral projects with those range states in order to establish effective and monitorable in situ conservation programmes. Range States with ex situ breeding operations should enter into similar arrangements with the ex situ breeding operations in their countries. All such arrangement should include provisions for effective implementation and monitoring.

The group identified the need to address potential adverse effects of ex situ commercial operations. Strategies for addressing the potential adverse impacts can be considered in the context of non-detriment findings made by the Parties during the course of issuing export permits for specimens of captive-bred species.

Potential adverse impacts to be considered in making non-detriment findings should include the possibility that completely closed ex situ breeding operations may create disincentives to conserve wild populations.

Recommendation:

Parties should consider the potential adverse impacts of commercial breeding operations on in situ conservation when conducting non-detriment findings in the course of issuing export permits for captive-bred Appendix-I species.

The WG will reconvene at the CoP13 to continue its work as this is an ongoing process that requires continuous updating. Several representatives of NGOs expressed serious concern that the mandate of the WG in the original terms of reference and those provided for AC 20 had not been met.

The group will establish a listserver to compile and optimize communication among the Working Group, and specifically work on the "Guidelines" document.

Members of the Working Group:

Rodrigo Medellín, Regional representative, North America (Chairman).

A) PARTIES :

Veronique Brondex, Canada
Agustin Iriarte, Chile
Meng Sha, China
Sylvie Guillaume, France
Onesmas Kahindi, Kenya
Jose Bernal, Mexico
Tine Griede, Netherlands
Deon von Wielligh, South Africa
Todd Willens, United States

B) NGOs:

Adam Roberts, Animal Welfare Institute
Deborah Olson, International Elephant Foundation
Kristin Vehrs, American Zoos and Aquarium Association (AZA)
Carroll Muffett, Defenders of Wildlife
Marshall Myers, Pet Industry Joint Advisory Council
Peter Dollinger, World Association of Zoos and Aquaria
Karen Steuer, WWF-US
Clare Patterson, TRAFFIC
Robert Atkinson, RSPCA-UK
Martin Taylor, Fund for Animals
Ingo Pauler, DGHT
Joan Galvin, AEXA

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



Twentieth meeting of the Animals Committee
Johannesburg (South Africa), 29 March-2 April 2004

Process for registering operations that breed Appendix-I animal species for commercial purposes
(Resolution Conf. 12.10 and Decision 12.78)

REPORT OF THE WORKING GROUP

Members of the working group

Chile (Chair);

Regional representatives: Asia, Europe and North America;

Observers from Parties: Canada, Czech Republic, Denmark, France, Israel, Italy, Japan, the Netherlands, Mexico, South Africa, United Kingdom, United States of America;

Observers from inter-governmental and non-governmental organizations: Animal Exhibitors Alliance, Birds International Avicultural Park Breeding and Research Centre Environmental Investigation Agency, Deutsche Gesellschaft für Herpetologie und Terrarienkunde E.V., Species Survival Network, TRAFFIC, World Society for the Protection of Animals; and

The CITES Secretariat.

Terms of reference

1. Examine all responses to Notification to the Parties No. 2003/071.
2. Formulate concluding findings and recommendations as requested under Decision 12.78, paragraphs a), b) and c) for inclusion in the report to CoP13, including proposed amendments to Resolution Conf. 12.10.

Summary of the discussions and recommendations

1. Examination of the responses to the Notification indicated that most problems rest with CBO's (captive breeding operations) not submitting applications, and much less with problems of rejected applications.
2. For this reason, the WG felt that we should focus on ways to make the application process more "user-friendly" for the CBO's.

3. The consensus of the WG was not to amend Resolution Conf. 12.10 or the Annexes, which are the result of 7 years of work on this issue, especially since the amendments made at CoP 12 that made the process easier, have not had much time to be "field-tested".
4. The WG recommends that the Secretariat disseminate a Notification encouraging MA's to work with their CBO's to prepare and submit applications. The Notification should also include a copy of Canada's application form as a sample (which is available at: www.cites.ca).
5. The WG encourages Parties when preparing applications, to consult with other relevant Parties that may potentially have objections, so as to minimize possible delays. This hopefully will minimize the occasional problem where a single party may halt or delay the registration process.
6. The following table summarizes the WG's findings related to paragraphs a) and b) of Decision 12.78. The WG on *in situ* production and *ex situ* conservation, dealt with paragraph c) of Decision 12.78.

a. Perceived problems limiting the wider use of the procedure	b. Recommendations for resolving them
1. Preparing the application is too complicated or complex, especially for small operations	<ul style="list-style-type: none"> ● MA should work closely with the CBO to prepare the information required in Annex I, or establish a support group with breeders and government, in order to facilitate the procedure ● Simplify the language by using a basic application form, such as the one used by Canada..
2. It is difficult to provide proof of legal acquisition of breeding or parental stock	<ul style="list-style-type: none"> ● Where actual documentation is difficult to obtain, MA may accept signed affidavits in lieu of actual copies of old or unobtainable documents, as is provided for in Resolution Conf. 12.10.
3. Concerns over "laundered" Appendix-I specimens getting into international trade	<ul style="list-style-type: none"> ● Secretariat will disseminate, together with the notification of a new CBO being added to the registry, details of the specific marking method (and the identifying codes or prefixes used by the CBO, where possible) used by the registered CBO. ● Adequate enforcement by all Parties to eliminate illegal trade
4. Some Parties are allowing import of Appendix-I species under Article III, so registration is deemed as unnecessary	<ul style="list-style-type: none"> ● No Parties should allow trade for commercial purposes of Appendix I species, unless it conforms strictly to Resolution Conf. 5.10 and Conf. 12.10 ● The WG recommends that the Standing Committee examine the issue of international trade in Appendix I species from non-registered CBOs.
5. National legislation of some importing countries prohibits the importing MA from identifying the purpose of import of Appendix I species as commercial.	<ul style="list-style-type: none"> ● Encourage importing countries to amend legislation to facilitate import of Appendix-I species from registered CBO's.
6. Concern that commercial trade of Appendix I species may stimulate poaching of the species	<ul style="list-style-type: none"> ● Adequate enforcement by all Parties to eliminate illegal trade
7. Concern that there are not enough incentives for CBO's to apply for registration	<p>Provide incentives to CBO's such as:</p> <ul style="list-style-type: none"> ● Faster processing time of permit applications ● MA can provide the CBO with a formal certificate of approval as an internationally registered breeding facility ● Possibly reduced export permit fees

Suggested Summary for Chairman 's Report to the CoP

1. Most of the problems limiting wider use of the registration procedure rest with CBO's (captive breeding operations) not submitting applications, and much less with problems of rejected applications.
2. The AC recommends not to amend Resolution Conf. 12.10 at this time.
3. The AC recommends that the Secretariat issue a Notification to the Parties recommending that they:
 - a) work with CBO's to facilitate preparing application for registration
 - b) provide incentives to registered CBO's to encourage them to register their operation.
 - c) ensure that all trade in Appendix I species is in accordance with Resolution Conf. 12.10 and Resolution Conf. 5.10.

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



Twentieth meeting of the Animals Committee
Johannesburg (South Africa), 29 March-2 April 2004

Transport of live animals

REPORT OF THE WORKING GROUP

Members of the working group

Austria (Chair);

Regional representative: Europe;

Observers from Parties: the Czech Republic, Israel, the Netherlands, South Africa and the United Republic of Tanzania;

Observers from inter-governmental and non-governmental organizations: Pet Industry Joint Advisory Council, Whale and Dolphin Conservation Society, World Association of Zoos and Aquariums, American Zoo and Aquarium Association, Animal Exhibitors Alliance, Animal Welfare Institute, Pro Wildlife and Royal Society for the Prevention of Cruelty to Animals; and

The CITES Secretariat.

Terms of reference

- a) Review document AC20 Doc. 13 and produce an update on the work accomplished in compliance with Resolution Conf. 10.21, for reporting by the Secretariat at CoP13.
- b) Draft a report on progress with the implementation of Decision 12.85, for reporting by the Animals Committee at CoP13.

Summary of the discussions and recommendations

1. At its 10th meeting (CoP10, Harare, 1997), the Conference of the Parties adopted Resolution Conf. 10.21 and DIRECTS the Animals Committee to deal with matters to the transport of live animals.
2. Resolution Conf. 10.21 RECOMMENDS the following:

A) Directed to the Animals Committee

- a) *suitable measures be taken by the Parties to promote the full and effective use by Management Authorities of the Guidelines for Transport and Preparation for Shipment of Live Wild Animals and Plants and that they be brought to the attention of carriers, freight forwarders and international organizations and conferences competent to regulate conditions of carriage by air, land and sea or inland waterways;*
- b) *Parties invite the above organizations and institutions to comment on and amplify these Guidelines, so as to promote their effectiveness;*
- c) *the regular communication of the CITES Secretariat and the Standing Committee with the Live Animals and Perishables Board of the International Air Transport Association (IATA) be continued and that a relationship with the Animals Transportation Association (AATA) be developed;*
- d) *for as long as the CITES Secretariat and the Standing Committee agree, the IATA Live Animals Regulations be deemed to meet the CITES Guidelines in respect of air transport;*
- e) *except where it is inappropriate, the IATA Live Animals Regulations should be used as a reference to indicate suitable conditions for carriage by means other than air;*
- f) *the IATA Live Animals Regulations be incorporated into the domestic legislation of the Parties;*
- g) *applicants for export permits or re-export certificates be notified that, as a condition of issuance, they are required to prepare and ship live specimens in accordance with the IATA Live Animals Regulations for transport by air and the CITES Guidelines for Transport of Live Specimens for carriage by means other than air;*
- h) *to the extent possible, shipments of live animals be examined and necessary action taken to determine the well-being of the animals by CITES-designated persons or airline personnel during extended holding periods at transfer points;*
- i) *where Parties to the Convention have designated ports of entry and exit, animal-holding facilities be provided; and*
- j) *to the extent possible, Parties ensure that animal-holding facilities are open for inspection of shipments, with the concurrence of the transport company, by CITES-designated enforcement personnel or designated observers; and that any documented information be made available to the appropriate authorities and transport companies;*

B) Directed further the Animals Committee, in consultation with the Secretariat

- a) *to establish the format for the presentation of data on mortality and injury or damage to health in transport; and*
- b) *to conduct a systematic review of the scope and causes of the mortality and injury or damage to health of animals during the shipment and transport process and of means of reducing such mortality and injury or damage to health;*
 - i) *the review should include a process for making recommendations to the Parties designed to minimize mortality, on the basis of consultation with exporting, importing, re-exporting and transit countries, IATA and AATA, and additional information from scientists, veterinarians, zoological institutions, trade representatives, carriers, freight forwarders and other experts; and*
 - ii) *these recommendations should be focused on individual species and countries of export, import, re-export or transit where appropriate, particularly those that have significant high mortality rates in transport, and should be designed to provide positive solutions to identified problems;*

C) Directed to the Secretariat

- a) *to convey these recommendations to the exporting, importing or re-exporting Parties concerned, IATA and AATA after they have been approved by the Standing Committee; and*
- b) *in consultation with the Animals and Standing Committees, to monitor the implementation of these recommendations and of other aspects of this Resolution and report its findings and recommendations at each meeting of the Conference of the Parties;*

INVITES non-governmental organizations, particularly veterinary, scientific, conservation, welfare and trade organizations with expertise in the shipment, preparation for shipment, transport, care or husbandry of live animals, to provide the necessary financial, technical and other assistance to those Parties in need of and requesting such assistance to ensure the effective implementation of the provisions of the Convention for the transport and preparation for shipment of live animals subject to international trade;

NOTES that in order to improve implementation of the IATA Live Animals Regulations by the Parties there is a need for greatly increased awareness of the Regulations through:

- a) more effective methods of training of personnel of airlines and enforcement agencies; and
 - b) improved methods of liaison and information;
3. As a consequence, the TWG was re-established at AC14 (Caracas, May 1998) and at AC19 (Geneva, August 2003) in order to support the AC for the implementation of this Resolution. The TWG's work was the subject of a report presented by the Secretariat at the 12th meeting of the Conference of the Parties (CoP12, Santiago, 2002). Parties showed interest in this subject and some, such as Ghana, Guinea, Saudi Arabia and Uganda, asked for help in improving the preparation of animals for transport, for information about bad consignments and transport and announced their interest to strengthen collaboration with CITES in order to improve transport conditions for live animals.
4. At its 12th meeting (CoP12, Santiago, 2002) the following decisions were adopted:

Directed to the Animals Committee

12.85 The Animals Committee, in collaboration with interested non-governmental organizations and the Secretariat should:

- a) *develop recommendations regarding transport of live animals by road, rail or ship to supplement, where necessary, the IATA Live Animal Regulations.*
- b) *investigate cost-effective options for containers and packing materials that could be recommended for adoption in the IATA Live Animals Regulations.*
- c) *assist in identifying model practices concerning the transport and preparation for shipment of live wild animals, and develop recommendations to the Parties regarding the proper handling and transportation of live animals, particularly in exporting countries.*
- d) *Report at the 13th meeting of the Conference of the Parties on progress with the implementation of paragraphs a) to c) above.*

Directed to the Secretariat

12.86 The Secretariat shall, in consultation with the Animals Committee, liaise with the International Air Transport Association (IATA) and the World Association of Zoos and Aquariums (WAZA) with a view to concluding a Memorandum of Understanding (MOU) in order to

- a) strengthen further collaboration in order to improve transport conditions of live animals,
- b) establish an official training program on animal transport, and
- c) facilitate the exchange of technical information relevant to animal transport, between the Secretariat, the IATA-Live Animals and Perishables Boards and the WAZA Executive Office:

Evaluation of the IATA-LAR for transport other than by air (Conf. 10.21Aa,Ab,Ad,Ae / Decision 12.85)

5. *In accordance with paragraph a) of Decision 12.85, information was submitted to the TWG from NGO's and from specialists of the European Association of Zoos and Aquaria (EAZA) and the Animal Transport Association (AATA). This was discussed during the meeting of the Transport Working Group at the AC20 meeting in Johannesburg.*
6. *The TWG recommends that the Animals Committee use the IATA Guidelines as the basic document and with the information provided in paragraph 6 prepare an addendum of the different requirements for shipment of animals by road, rail and ship. The addendum will include cost effective options for containers and packing materials for all means of shipment as required in Dec. 12.85 (b). The TWG agreed to prepare a draft version of this addendum for AC21. Once the addendum is finalized, the TWG recommends that the CITES Secretariat publish this addendum in the form of a database, hard copy and/or CD-Rom.*
7. The TWG debated Dec. 12.85 (c) and recommends to the Animals Committee that this issue is still important and should continue on the work program of the Animals Committee.

Collaboration with IATA, AATA, EAZA (Conf: 10.21 A, Bb)

Collaboration with IATA

8. The TWG contacted the IATA Live Animals and Perishables Board. The TWG Chairman attended the 14th Board meeting in Montreal in October 2003. Proposals for amendments to the IATA Live Animals Regulations (LAR) were submitted in advance for the (then cancelled) 13th IATA-LAPB meeting by the CITES-AC-TWG; these proposals were amended during the 14th IATA-LAPB.

Collaboration with AATA

9. The TWG Chairman will attend the 30th AATA annual conference to be held in Vienna from April 19th – 21st, 2004 and will be on the AATA-board for a period of three years. He will be there the moderator at the session "*International Cooperation between – CITES, IATA, WAZA, OIE, AATA*"
10. The main focus of this conference will be the upcoming new membership to the EU and all the problems with this new situation. The main agenda items of the conference were further focused on the transport of exotics.

Collaboration with EAZA

11. The chairman of the TWG attended the 20th EAZA Annual Conference Leipzig (Germany); 17th September 2003. He asked the EAZA-TWG for assistance on the subject of developing recommendations for rail, road and sea transport.

Preparation of a Memorandum of Understanding (MOU) between the CITES Secretariat, IATA and WAZA (Decision 12.86)

12. As a result of the recent reorganization of the IATA management, the IATA- Live Animals and Perishables Board (IATA-LAB) discussed the draft MoU during the 14th Meeting and submitted their result to the CITES-AC-TWG chairman as follows:

"I herewith would like to inform you that the MoU. initiative did not come to fruition during this meeting, as I failed to obtain support towards it. The LAPB still wishes however to continue our collaboration and has asked the training department in IATA to make contact as required. Perhaps the difficult situation many of our members and our industry face have complicated the picture even further. I nevertheless wish to thank all of you for the time and efforts spent towards this and assure you of my continued interest in working together to the benefit of the animals in our care".

13. The TWG recommends that the Animals Committee request the Secretariat to contact IATA to finalize the text of the MoU and respectfully requests the opportunity to see the draft.

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



Twentieth meeting of the Animals Committee
Johannesburg (South Africa), 29 March-2 April 2004

Trade in hard corals [Resolution Conf. 11.10 (Rev. CoP12) and Decision 12.62

REPORT OF THE WORKING GROUP

Members of the working group

Regional representative: Oceania (Mr Hay) (Chair);

Observers from Parties: Belgium, the United Kingdom (Chairman) and the United States; and

Observers from inter-governmental and non-governmental organizations: Ornamental Aquatic Trade Association Ltd., Ornamental Fish International, Pet Industry Joint Advisory Council, TRAFFIC, and

The CITES Secretariat.

Terms of reference

- a) Consider and recommend a practical means of distinguishing fossilized corals from non-fossilized corals in international trade; and
- b) Formulate conclusions for reporting at CoP13.

Summary of the discussions and recommendations

The group consisted of the representative on the Animals Committee for Oceania, the observer Parties of Belgium, the United Kingdom (Chair) and the United States, and the observers of the Ornamental Aquatic Trade Association Ltd., Ornamental Fish International, PJAC and TRAFFIC. Other members of the group were not present at the meeting and their comments had been invited by email prior to the 20th meeting of the Animals Committee.

The group had the following terms of reference, namely to '*consider and recommend a practical means of distinguishing fossilised corals from non-fossilised corals in international trade*' and '*to formulate conclusions re Decision 12.62 for reporting to CoP13*'.

The group considered the approaches suggested to defining and distinguishing fossilised corals in trade suggested by Australia, Mexico, an independent consultant, the United Kingdom and the United States. The group also considered comments submitted by Belgium, Indonesia, OATA and the Fiji Aquarium

Trade. These approaches typically, but not exclusively, focused on an approach to considering fossils as being dead, permanently buried and which may, or may not, be mineralogically altered / lithified.

Despite the variety of approaches suggested to the group, no consensus was possible on a definition of fossil corals that satisfied the range of interests represented on the group. Moreover, the group considered that none of the suggested approaches offered a solution that would provide unambiguous guidance to CITES authorities, Custom officials, traders and others on what did, or did not, constitute a fossil coral and so what would, or would not, be exempt from the provisions of the Convention. In particular, the definitions suggested did not enable unequivocal identification of fossil corals and left greater scope for interpretation than was desirable from an enforcement point of view. Without such unambiguous guidance, the group could not recommend adoption of any of the approaches suggested. Regardless of this outcome, the group noted with gratitude the considerable effort that had gone into the approaches offered for their consideration.

In the absence of consensus, the group looked to alternative approaches to providing the Convention with a pragmatic approach to determining what constituted a fossil coral, based on the definitions contained in Resolution Conf. 11.10 (Rev. Cop12) and the annotations in the CITES Appendices. Ultimately, the group considered that an amendment to the annotation which exempts fossil corals from the provisions of the Convention offered the best approach to achieving a workable conclusion. Accordingly, the amendments proposed in Annex 1 to this document offer a solution that all working group participants felt able to recommend to the Committee. This amendment would have the practical result of exempting from the provisions of CITES all coral rock (other than live rock) and all coral substrate, but would retain live rock under the purview of the Convention. In other words, those examples of coral rock in trade that had no impact on coral reefs (namely coral rock taken from land) or had minimal impact (coral substrate), would be exempt from CITES controls. However, live rock, whose removal may potentially have the greatest impact on coral reefs, would be retained under the regulation of the Convention and its export would be governed by the provisions of Part X of Resolution Conf. 12.3.

The group considered the implications of this approach and its practicality of implementation. It was considered that this approach would enable all those involved in the trade and its regulation to be clear about which specimens in trade were, or were not, exempt from CITES controls. This approach could also be supported by a contribution to the identification manual describing the various types of specimens likely to be encountered by enforcement officials. It was felt that the risk of traders attempting to transport live rock as coral substrate in order to evade CITES controls were low and any such attempts at evasion would be prohibitively expensive and uneconomic. However, the group noted that inevitably cultured live rock, namely live rock derived from coral deposits on land and moved to the seabed to enable their colonisation by non-CITES invertebrates, would be subject to CITES control. The group noted that such cultured live rock could be marked to identify it in trade and that the export of such material could readily be permitted by CITES authorities without affecting the role that coral rock has in the ecosystem. Artificial live rock, made of moulded cement and then placed on the seabed, would clearly not be covered by the Convention even though it may contain ground up coral fragments, and is readily distinguished from genuine live rock by enforcement officials. Finally, the group considered the implications of this approach for the movement of geological specimens containing coral for either scientific study or for the fossil trade. The group felt that such specimens would generally fall under the categories of coral rock exempted as fossils.

The group recommends this approach to the Animals Committee. It notes that if a proposal is made by the Depositary Government to exempt all fossils from the provisions of the Convention, the wording offered in Annex 1 to amend the appendices would have to be modified to incorporate the proposed amendment.

Proposed amendment to the appendices.

Amend the annotation for Helioporidae spp., Tubiporidae spp., Scleractinia spp., Milleporidae spp. and Stylasteridae spp. to read:

'Fossils, **namely all categories of coral rock, except live rock, as defined in Resolution Conf. 11.10 (Rev. CoP12)**, are not subject to the provisions of the Convention.'

Proposed amendment to Resolution Conf. 12.3. Permits and Certificates

X. Regarding permits and certificates for coral specimens

RECOMMENDS that:

- a) on permits and certificates for trade in specimens that are readily recognizable as coral live rock, where the genus cannot readily be determined, the scientific name for the specimens should be 'Scleractinia';
- b) any Party wishing to authorise export of coral live rock [as defined in Resolution Conf. 11.10 (Rev. CoP12) Annex] identified to ordinate level only should, in view of the inability to make a non-detriment finding for coral live rock pursuant to Article IV, paragraph 2(a), apply the provisions of Article IV, paragraph 3; and
- c) Parties that authorise export of ~~coral~~ live rock should:
 - i) establish an annual quota for exports and communicate this quota to the Secretariat for distribution to the Parties; and
 - ii) through their Scientific Authorities, make an assessment (which would be available to the Secretariat on request), based on a monitoring programme, that such export will not affect the role that coral live rock has in ecosystems affected by the extraction of such specimens;

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



Twentieth meeting of the Animals Committee
Johannesburg (South Africa), 29 March-2 April 2004

Report of the Working Group

CONTROL OF CAPTIVE BREEDING, RANCHING AND WILD
HARVEST PRODUCTION SYSTEMS FOR APPENDIX-II SPECIES

Members of the working group

Regional representatives: Africa (Mr Chidziya, Chair) and Europe (Ms Rodics);

Observers from Parties: Czech Republic, Germany, Israel, South Africa and the United States; and

Observers from international and non-governmental organizations: IUCN – The World Conservation Union, Species Survival Network and Pro Wildlife; and

The CITES Secretariat.

Terms of Reference

- a) Review the suggestions made in document AC20 Inf. 15 and 18; and
- b) Determine whether the Working Group should proceed working on this issue and formulate final recommendations for consideration by the Committee.

Summary of the discussions and recommendations

1. The WG upholds the major recommendations that it reached in AC19, that the existing source codes (C, F, D, R, W) should be maintained in order to remain simple, practical and clear.
2. The WG notes that source codes are often not used correctly or consistently. The WG recommends the following uses for the source codes:
 - a) The code C should be used only for: *Animals bred in captivity in accordance with Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5 (specimens of species included in Appendix I that have been bred in captivity for non-commercial purposes and specimens of species included in Appendices II and III).*

- b) With regard to the code R, the WG recommends that Resolution Conf. 11.16 be amended to include operations other than those linked to a down-listing from Appendix I to Appendix II. The WG recommends the following definition of "Ranching" be included in the amended Resolution Conf. 11.16, and also in Resolution Conf. 12.3: Ranching is defined as the rearing in a controlled environment of specimens, such as eggs or hatchlings, of life stages which suffer high mortality rates in the wild, that are taken from the wild through controlled collection under a management plan that provides for sustainable use of the species. There was not full consensus in the WG on this issue, as some felt that the R code should be used only for those species down-listed from Appendix-I to Appendix II
 - c) The code F should be defined in Resolution Conf. 12.3 and used for animal specimens resulting from the exchange of gametes under captive conditions or propagated asexually in captivity (F1 or subsequent generations) that do not fulfill the definition of 'bred in captivity' in Resolution Conf. 10.16 (Rev.).
 - d) The code D should be used as defined in Resolution Conf. 12.3 i.e: *Appendix-I animals bred in captivity for commercial purposes and Appendix-I plants artificially propagated for commercial purposes, as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 4.*
 - e) The WG recommends that source code I be renamed to Y, because there is a large potential for confusion when code I is used, since both source code and Appendix appear together in one box on the permits. In this case the I source code can be mistook for I for Appendix I. Some participants expressed concerns to the suggested changes because of the cost implications.
 - f) By default, W will be used for wild specimens of animals, and should refer to those from any source other than those mentioned above (source codes O and U have not yet been discussed).
3. The WG was made aware that the Plants Committee has looked at the issue of source codes too. The WG recommends that although animal and plant production systems are often quite different, they can also have similarities and overlaps. The WG recommends the formation of a joint working group at CoP 13 tasked with examining the documents that have been developed, that list and define different production systems for animals and plants and determine the appropriate source codes for each.
4. In order to improve implementation of source codes by both importing and exporting Parties, this information should eventually be disseminated as guidelines for production systems and the appropriate source code for each. These materials should also include a description of elements that should be considered in making non-detriment findings within each production system. In addition, the information must stress that Parties be reminded that source codes are not a substitute for non-detriment findings.

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



Twentieth meeting of the Animals Committee
Johannesburg (South Africa), 29 March-2 April 2004

Conservation of and trade in sea cucumbers in the families Holothuridae and Stichopodidae
(Decisions 12.60 and 12.61)

REPORT OF THE WORKING GROUP

Members of the working group

Regional representative for Asia, Mohamad Pourkazemi (Chair);

Regional representatives: Schwann Tunhikhorn, regional representative of Asia, Choo-Hoo Giam (Alternate representative of Asia);

Observers from Parties: Belgium, China, France, Japan, Mexico, the Republic of Korea, the United Republic of Tanzania and the United States of America;

Observers from inter-governmental and non-governmental organizations: Observers from Ornamental Aquatic Trade Association Ltd., Ornamental Fish International, Project Seahorse and TRAFFIC; and

The CITES Secretariat.

Terms of reference

1. examine the outcomes of the Technical Workshop;
2. draft findings and recommendations to be included in a discussion paper on the biological and trade status of sea cucumbers for CoP13; provide guidance on actions needed to secure their conservation status; and
3. determine how the reporting requirements in accordance with Decision 12.60 will be implemented.

Summary of the discussions and recommendations

The Chairman presented an overview of the objectives of the technical workshop and the findings and recommendations identified by the workshop participants on national fisheries management, priorities for international conservation, and potential CITES issues.

Several members of the WG concluded that the findings and recommendations identified a number of critical issues regarding the conservation, management and trade in sea cucumbers. The participants that attended the workshop reminded the WG that there was no consensus on certain aspects of the KL workshop. They also suggested that a thorough evaluation of the document was premature, because not all range states present at the workshop had provided comments and WG members had an insufficient amount of time to evaluate the report.

The Secretariat reminded the WG that its main tasks were to consider the KL workshop and FAO workshop outputs when formulating the priority actions that could be included in a discussion document for CoP13.

The group initiated discussions on several of the proposed national management options, adaptive management strategies, the importance of stakeholder involvement in the management process, and the role the Animals Committee should play in the future.

The WG then discussed the format, outline and content for the discussion document (Annex I) and began identifying possible recommendations and conservation actions for sea cucumbers (Annex II). The WG was unable to identify members that were able to draft the discussion document due to the short available time and the detailed review that is necessary, and recommends that the Secretariat contract this out to an appropriate organization or individual.

CONSERVATION OF AND TRADE IN SEA CUCUMBERS IN THE FAMILIES
HOLOTHURIDAE AND STICHOPODIDAE

Outline of the discussion document to be submitted by the Animals Committee pursuant to Decision 12.60 regarding priority actions to secure the conservation status of sea cucumbers

The WG agreed that these sections maybe re-organized as necessary.

1. Summary of recommendations and actions
2. Background
3. Decision 12.61
4. Species in trade (scale and routes)
5. Biology
6. Taxonomy and Identification
7. Distribution and Movement
8. Morphology
9. Survival
10. Feeding
11. Reproduction
12. Current Fisheries Management Arrangements
13. Trade Volumes, Uses and Controls
14. Aquaculture and Restocking
15. Conservation Initiatives (national policy and user initiatives)
16. Decision to Secretariat
17. Outcomes of Technical Workshop
18. Animals Committee Recommendations
19. References

Maximum Length: 12 pages

Animals Committee Recommendations

The WG does not feel that it is appropriate to comment on the value of a CITES listing because there is insufficient information and evaluation at this stage to determine whether this is appropriate. The WG feels that conservation and sustainable use of sea cucumbers may be achieved through CITES coordination with FAO and other regional bodies, but recommends that further CITES considerations for certain countries or species should be examined in the future and the effects assessed.

The Animals Committee makes the following recommendation to the Conference of the Parties:

Request the CITES Secretariat

1. In coordination with the Animals Committee, to encourage FAO to continue and, as far as possible, increase its efforts to address the challenges of managing sea cucumber fisheries for sustainability, as identified in the FAO Advances in Sea Cucumber Aquaculture and Management Workshop in Dalian (ASCAM) and the CITES Technical Workshop on the Conservation of Sea Cucumbers in the Families Holothuridae and Stichopodidae (KL Workshop).
2. In consultation with the FAO Secretariat, and possibly at the meeting of the FAO Subcommittee on Fish Trade and COFI, to evaluate and recommend voluntary measures for trade monitoring and, where appropriate, export controls.
3. To seek financial support to continue activities relating to sea cucumber trade inter-sessionally, as outlined below.
4. In consultation with the FAO Secretariat, to contract a detailed review of data not available at the KL workshop, including the status of sea cucumber biology, fisheries, trades, management and conservation actions.
5. In consultation with the FAO Secretariat, and in evaluating actions taken by the Parties to manage and conserve sea cucumber populations, to consider the necessity of a follow-up workshop on sea cucumber biology, fisheries, trades, management and conservation in the next two years, and take action accordingly.
6. In consultation with the FAO Secretariat where appropriate, work with the World Customs Organization (WCO) to develop harmonized codes useful for sea cucumber trade monitoring and management.

Request the Animals Committee

8. In dialogue with the FAO Secretariat, and mindful of FAO action, to review the outputs of the KL and FAO ASCAM workshops, and give opinions on the feasibility and priorities of proposed recommendations. Should a further CITES workshop on sea cucumbers be held (as per 5 above), then those outcomes should also be considered.

Request the Parties

9. To endorse the recommendations of the FAO ASCAM workshop, and urge their Fisheries Agencies to act accordingly, with actions including:
 - research on biology, fisheries and trade;
 - research to resolve taxonomy and identification difficulties;
 - monitoring the status and trends of stocks;
 - consultation with the fishing industry and other stakeholders in the development and adoption of voluntary conservation guidelines;
 - establishment of national management plans; and
 - regional co-operation in management and conservation, particularly for acquisition and sharing of fisheries and trade data.

10. To urge their CITES Scientific and Management Authorities to improve coordination with their fisheries management agencies on monitoring, assessment, and management of sea cucumber fisheries and trades.
11. To explore the benefits of trade certification for sea cucumbers, through appropriate organiza

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



Twentieth meeting of the Animals Committee
Johannesburg (South Africa), 29 March-2 April 2004

Biological and trade status of sharks (Resolution Conf. 12.6 and Decision 12.47)

REPORT OF THE WORKING GROUP

Members of the working group

Oceania (Chair);

Observers from Parties: Belgium, HKSAR-China, Germany, Ireland, Mexico, Netherlands, New Zealand, Republic of Korea, South Africa, United Republic of Tanzania, United States

Observers from inter-governmental and non-governmental organizations: European Commission, IUCN Shark Specialist Group, IFAW, The Ocean Conservancy (rapporteur), Defenders of Wildlife, OATA, Project Seahorse, Wildlife Conservation Society, Ornamental Fish International

The CITES Secretariat.

FAO attended the meeting as an observer only.

Terms of reference

- a) Review documents AC20 Doc. 19 and Infs. 1-8 to assess progress with the implementation of Resolution Conf. 12.6 and Decision 12.47.
- b) Consider the adoption of standard names and codes for shark species in trade.
- c) Review progress with the implementation of IPOA-Sharks.
- d) Provide comments to proposals to include shark species in the Appendices of the Convention.
- e) Formulate concluding statements on the relevant Decision and the Resolution for consideration at CoP13, and suggest amendments or modifications as appropriate.

Summary of discussions and recommendations

Shark Species Codes

Introducing AC20 Inf. 2, 3 & 4, Defenders of Wildlife noted that these sought to provide a system compatible with the World Customs Organization (WCO) six digit code system, were flexible and adaptable for species and products, and could be expanded to provide information at any taxonomic level. Working Group members expressed appreciation for the progress on the codes, but cautioned against too complex a system and noted the need to liaise with FAO.

The following work plan was recommended to assist the Secretariat in implementation of Decision 11.151:

- 1) Liaison with the FAO Secretariat (April – May 2004)
 - a) One or more members of the Working Group will brief FAO staff on Decision 11.151 and discuss any parallel work within the FAO Committee on Fisheries Sub-Committee on Fish Trade; and
 - b) On behalf of the Secretariat, Working Group members will revise AC20 Inf. Docs. 2, 3 and 4 as necessary to match, if possible, trade and species code recommendations from FAO.
- 2) Consultation with WCO on process (June – July 2004)
 - a) On behalf of the Secretariat, WG members will contact appropriate staff at WCO to discuss Decision 11.151 and current revision of harmonized trade codes.
 - b) After consultation on timelines, submission protocol and desired input, WG members will further revise AC20 Inf. Docs. 2, 3 and 4 to match WCO needs. This may or may not involve proposing all species codes to WCO.
- 3) Secretariat liaison (August – September 2004)
 - a) It was recommended that the Secretariat should formally respond to WCO's letter of 2003, submitting new versions of Inf. 2, 3 and 4 on behalf of CITES Parties. Further contact between the CITES Secretariat and WCO would be possible after this point.
 - b) The Secretariat should update Parties at CoP13 and perhaps rescind Dec. 11.151 as complete.

FAO IPOA-Sharks implementation

IUCN introduced AC20 Inf. 5. Although twice as many states had reported progress towards implementation of the IPOA-Sharks than was the case two years ago, with particularly good progress by some African States noted, there was not much evidence of improved shark fisheries management. It was suggested that it was important for the Animals Committee to continue the review by determining whether species-specific catch and landings data collection activity and the monitoring and management of shark fisheries had improved. TRAFFIC (which had not been able to attend the Working Group) had suggested that the CITES Animals Committee focus its attention in future upon the 20 shark fishing States that are responsible for over 80% of world shark landings reported to FAO.

The Group recommended that the Animals Committee should submit AC20 Inf.5 on FAO IPOA-Sharks implementation to CoP13, following the incorporation of a few late responses to Notification 2003/068 requesting information from Parties, and continue to monitor implementation of the IPOA-Sharks. The Working Group expressed appreciation for the voluntary efforts of the IUCN Shark Specialist Group and urged consideration of financial support for future shark projects.

The Group highlighted the need for capacity building efforts in developing countries and high seas fisheries for implementation of the IPOA-Sharks, as addressed in Res. Conf. 12.6. Further support from FAO for initiatives such as training workshops and species identification manuals was urgently needed. It was noted that requests for support from FAO would normally carry greater weight if made directly by

FAO Members. The observer from FAO informed the meeting that the Organization would continue in its efforts to encourage implementation of the IPOA-Sharks with the resources available to it, and to cooperate with CITES as appropriate.

Species Specific Recommendations

Pursuant to Res. Conf. 12.6, the Shark Working Group of the Animals Committee considered AC20 Inf. 1, 6, 7, 8, 19, 21, 22 & 23. The Working Group offers the following species-specific recommendations aimed at improving the conservation and management status of sharks and regulation of international trade in these species. These recommendations are offered separately and distinct from the CITES listing process, regardless of the outcome of pending and future listing proposals. The members of the Working Group are not in a position to provide endorsement or rejection of shark listing proposals; range States will respond separately to the proposals.

Spiny Dogfish Shark *Squalus acanthias*

Germany introduced AC20 Inf. 7, the draft spiny dogfish listing proposal, annotation and decision, requesting and receiving feedback from participants. The problem of identification of fins of this species in trade was noted. These are a by-product of the fisheries that are driven by international trade demand for meat (which is traded under the species name). It was suggested that because the fins are not readily recognisable as a spiny dogfish product, they might not need to be covered by a CITES listing. The Secretariat advised that this should not be an impediment to listing. It was suggested that an annotation might exclude the fins. The Shark Working Group reviewed the technical merits of Germany's draft proposal, and most members agreed that spiny dogfish appeared to meet the criteria for listing in CITES Appendix II. The Working Group concluded that the conservation and management status of the species is unfavourable in most regions, with many Northern Hemisphere populations severely depleted, and recommends the following:

- *Range States and Regional Fishery Management Organizations should take steps to improve data collection and management for spiny dogfish. In particular, the U.S. and Canada are encouraged with urgency to work together to link existing assessment programs and establish bilateral, science-based management measures for spiny dogfish.*
- *Parties that are Member States of the European Union are encouraged with urgency to seek and implement, via national and EU level measures, scientific advice on developing a conservation plan that allows the rebuilding of the relevant stocks.*
- *In regions where information on stock status is poor, Range States are encouraged to develop precautionary and adaptive management measures to ensure that spiny dogfish catches are sustainable.*
- *Parties are encouraged to report dogfish catches, landings and trade data to FAO and to train customs officials in using existing spiny dogfish codes.*

*The Shark Working Group noted AC20 Inf. 22, Conservation and Management Status of Spiny Dogfish Shark (*Squalus acanthias*). The Group encouraged cross-reference with Germany's listing proposal and submission of an updated version of Inf. 22 to CoP13 by the IUCN.*

Porbeagle Shark *Lamna nasus*

Germany introduced AC20 Inf. 6, the draft porbeagle listing proposal and resolution, requesting feedback from participants. In response to a question on whether the species was caught in target or bycatch fisheries, it was noted that it is both a target species and a highly valuable retained component of multispecies fisheries that may primarily target other species. The term bycatch is inappropriate for such a valuable species that may make the fishery of other target species economically viable. It was also noted that porbeagle can be released alive from longlines. The Shark Working Group reviewed the technical merits of Germany's proposal and most members agreed that the porbeagle shark appears to meet the criteria for listing in CITES Appendix II.

The Working Group concluded that North Atlantic populations have been severely depleted and noted that quotas in European Community waters apply only to non-EU fleets through access agreements. As these quotas greatly exceed total landings by these states, they are not considered to be an effective management measure in this case. The Working Group recommended the following:

- *ICCAT members are encouraged to collect and report data on catches and discards of porbeagle sharks, as per ICCAT Resolution 95-2, which has yet to be fulfilled, and undertake stock assessments in order to develop management recommendations. Other relevant Regional Fishery Management Organizations are encouraged to establish and implement similar programs. (Mexico advised that the ICCAT resolution may have been implemented).*
- *The US and Canada are encouraged to enhance existing management for their shared porbeagle stock by establishing a cooperative, bilateral research and fisheries management program.*
- *The World Customs Organization (WCO) is encouraged with urgency to establish a harmonized international code for porbeagle sharks.*

White Shark *Carcharodon carcharias*

The Wildlife Conservation Society introduced AC20 Inf. 1, 19 and 23, noting evidence of population declines in this low abundance, high value species that is sought after for trophies and enters trade as curios and fins. The constraints of the current Appendix III listing regarding controlling trade were noted and the Working Group suggested that the draft listing proposal be amended to explain how uplisting would improve trade monitoring. The Shark Working Group concluded that conservation and management status of white sharks is unfavourable in some regions and that some of the international agreements listed in AC20 Inf.1 aimed at improving the conservation of this species are not being sufficiently implemented.

The Working Group recognized that AC20 Inf. 1 included information additional to that presented in Australia's proposal that might be of value to Parties and to the FAO assessment process. The Working Group encourages Australia to consider incorporating it into their proposal. The representative of Oceania agreed to transmit these comments to Australia.

The group reviewed the technical merits of Australia's white shark proposal and most members agreed that the species appears to meet the listing criteria for inclusion in Appendix II.

Freshwater Stingrays Family *Potamotrygonidae*

IUCN introduced AC 20 Inf. 8 on South American freshwater stingrays, submitted by the Management Authority of Brazil. These species are very valuable in the international aquarium trade as well as being used for food locally. There is concern that illegal trade is underway. Aquarium trade exports are regulated by Brazil through quotas, but apparently not in neighbouring states, creating management challenges for shared stocks. The Chair advised that CITES listing of species is difficult if there is not adequate protection within the proponent range State. The observer from Ornamental Fish International offered assistance with reviewing species in trade outside Brazil. The observer from OATA suggested that a study of the real economic benefits to local communities of trade in specimens for aquaria be undertaken, adjusted for purchasing power parity at all stages in the marketing chain. The Working Group noted that the document would benefit from the inclusion of more species abundance, distribution and trend data once the updated Red List Assessments are available.

The Working Group recommended that:

- Range States for these species jointly examine cross border trade that may be facilitating illegal trade and consider an Appendix III listings, where appropriate, to control illegal exports.
- The document be revised, with the addition of more species abundance, distribution and trend data, and submitted to COP13 or AC21.

Identification of other key species

IUCN introduced AC 20 Inf. 21, a review of the Shark Specialist Group's (SSG) progress with assessing the threatened status of sharks. The SSG has so far assessed ~ 25% of taxa. AC 20 Inf. 21 identifies taxa that are threatened globally or regionally, usually as a result of unsustainable fishing. Many of these species enter international trade. The Shark Working Group noted that there is considerable overlap between these species and the ~ 70 species listed in Paragraph 16, Oceanic Sharks, of Annex 1, Highly Migratory Species, of the United Nations Convention on the Law of the Sea (UNCLOS), as requiring international cooperation to ensure the conservation and optimum utilization of such species. These are: *Hexanchus griseus*, *Cetorhinus maximus*, Family Alopiidae, *Rhincodon typus*, Family Carcharhinidae, Family Sphyrnidae, and Family Isurida [an old name for Family Lamnidae].

A selection of taxa from these two sources is listed in Table 1: a provisional list of some key species and higher taxa of sharks. These represent a small proportion of the approximately 1,100 living species of chondrichthyan fishes (sharks, skates, rays and chimaeras) and the species in UNCLOS Annex 1. Additional columns in the table indicate why these taxa were selected by the SSG; a combination of factors including:

- listed on UNCLOS,
- listed or proposed for listing on Appendices of CITES or the Convention on Migratory Species (CMS),
- shared or high seas stocks (thus requiring joint management by fishing States for successful sustainable management),
- declining as a result of unsustainable levels of exploitation,
- included on the IUCN Red List of Threatened Species,
- effectiveness of management, and/or
- entering international trade.

The Shark Working Group discussed the list of taxa in Table 1. Views were expressed that it was either too long (including some taxa that may be of relatively low priority for the development of recommendations by the Animals Committee under Res. Conf. 12.6 or are already listed on the Appendices), or too short (excluding additional key species that required recommendations for improving their conservation status and the regulation of international trade in their products). Inclusion of Table 1 was eventually agreed to, provided that its purpose was made clear. Despite the wording of Res. Conf. 12.6 directing the Animals Committee to examine key species 'for consideration and possible listing under CITES', Table 1 was not intended to provide a comprehensive species list for this purpose. The list and the recommendations below were offered separately and distinct from the CITES listing process, regardless of the outcome of any pending or future listing proposals. It was noted that the Shark Specialist Group's initial review of the threatened status of sharks would not be completed until 2005 at the earliest and would be followed by further reviews as additional data became available. The Table should, therefore, be considered as a provisional first list of key species requiring special attention from Parties (additional lists of key species and recommendations should be produced for future meetings of the Animals Committee). Effective management of these species could preclude the need for future CITES listings.

The Shark Working Group had insufficient time to develop recommendations for all key taxa in Table 1, but focused on some of those considered to be of particularly high conservation priority by some Group members (lack of recommendations for other species does not mean that they are not also in need of conservation or management measures). The following are listed in taxonomic order, excluding those species already reviewed above.

Sawfishes Family Pristidae

This entire family is being classified by IUCN as Critically Endangered. Records are now extremely rare, but products (particularly fins and rostra) are valuable and still enter trade in small quantities. The Working Group recommended that Parties that are or have been range states for Pristidae undertake, as a matter of urgency, a review of the status of these species in their coastal waters, rivers and lakes, and, if

necessary, introduce conservation and trade measures to reduce extinction risk. (The US has already listed smalltooth sawfish as Endangered and prohibited all take of the species within its 200 mile EEZ).

Gulper sharks Genus *Centrophorus*

These species live in low productivity deep ocean environments. They have low growth, reproductive and metabolic rates and are long-lived, even more so than other deepwater sharks. Fisheries are driven by international demand for liver oil and meat and result in extremely rapid stock depletion. An FAO Deep Sea Workshop in December 2003 had recommended that “a precautionary approach to the management of these and other deepsea species is absolutely essential” (including monitoring of catches, landings and trade at species level, preparation of good identification guides, improved use of observers, and development of standard carcass forms to improve reporting, which should include both species and their products). The Working Group recommended that Parties support this approach.

School, tope, or soupfin shark *Galeorhinus galeus*

These sharks, valued for their meat and fins, are (or have been) important in target and multispecies fisheries in temperate waters world-wide. Most stocks are shared between several Range States, and in most regions are seriously depleted. Only a small number of States have achieved successful management of this biologically-vulnerable species. The Working Group recommended that Range States request FAO’s assistance with developing a capacity building workshop for this species in order to train managers from developing States and other States where coastal shark fisheries are not being managed. This would also serve as a case study for the management of other coastal shark fisheries. This was drawn to the attention of the FAO observer.

The Shark Working Group identified the following three taxonomic groups that contain a significant proportion of species subjected to unregulated unsustainable fishing pressures, leading to severe stock depletion, and whose high value products enter international trade in large numbers:

- *Requiem sharks Genus *Carcharhinus**
- *Guitarfishes, Shovelnose rays Order *Rhinobatiformes**
- *Devil rays Family *Mobulidae**

They recommended that Range States pay particular attention to the management of fisheries and trade in these taxa, including undertaking reviews of their conservation and trade status. It was noted that many of the Carcharhinid sharks were high seas pelagic species that could only be managed through the joint efforts of States, Regional Fisheries Management Organisations and other international bodies.

Additional Recommendations

In addition to the above species-specific recommendations, the Shark Working Group urges:

- *The development, adoption and implementation of new international instruments, regional agreements and regional fishery management organizations (RFMOs) for the conservation and management of sharks, particularly on the high seas where the provisions of the Fish Stocks Agreement need to be implemented for sharks.*
- *The adoption of science-based shark conservation standards as a prerequisite for EU partnership agreements for fishing outside EU waters.*
- *FAO and RFMOs be requested to consider recommendations for activities and guidelines to reduce mortality of listed and endangered species of sharks in bycatch and target fisheries, and to develop waterproof shark identification guides for fishermen, to improve shark species identification and data collection.*
- *CITES consider the development of a waterproof field identification guide for CITES-listed species of shark.*

Work Program for Sharks Under CITES (Resolutions, Decisions)

The Chair reviewed the related mandate under Res. Conf. 12.6 and Decision 12.47, and asked the Secretariat whether new language was needed for the consideration of COP13. The Secretariat suggested that the Resolution might not need revision, but that if the text requires updating, this could be taken up by the AC or CoP 13. The Working Group agreed to report back to the Animals Committee that the actions directed to the Animals Committee and Secretariat in Decisions 12.47, 12.48 and 12.49 have now been completed and that Parties should be informed accordingly.

The Working Group recognised that Res. Conf. 12.6 directs the Animals Committee to make species-specific recommendations at the 13th meeting and subsequent meetings of the Conference of the Parties if necessary on improving the conservation status of sharks and the regulation of international trade in the key species that it has identified. It therefore suggested that the list of taxa in Table 1 and associated recommendations would benefit from further work, possibly including the identification and prioritisation of additional key species. The Working Group recommended that this could be achieved during an intersessional shark workshop and asked the Animals Committee to recommend this and other appropriate means to fulfil the requirements of Res. Conf. 12.6 up to and beyond COP13.

Table 1. Provisional list of some key shark species identified under Res. Conf. 12.6 by the 20th Meeting of the Animals Committee.

This Table is not intended to provide a comprehensive species list for consideration and possible listing under CITES. It is offered separately and distinct from the CITES listing process, regardless of the outcome of any pending or future listing proposals and represents a provisional first list of key species requiring special management attention from Parties. Effective management of these species could preclude the need for future CITES listings.

Species name	UNCLOS	CITES/CMS	Shared stocks	Declining	IUCN Red List *	Management **	International trade
<i>Hexanchus griseus</i> Bluntnose sixgill shark	Yes		?	Yes	NT	No	?
<i>Squalus acanthias</i> Spiny dogfish		Consultation for CITES II	Yes	Yes	NT (VU/EN)	Some	Yes
Genus <i>Centrophorus</i> , Gulper Sharks (~ 10 species)			Yes	Yes	DD–CR	Mostly none	Liver oil (meat?)
Family Squatinidae Angel Sharks (~ 20 species)			Some	Yes (some)	LC–EN	Mostly none	?
<i>Rhincodon typus</i> Whale shark	Yes	CITES II CMS II	Yes	Yes	VU	Mostly none	Yes
Family Odontaspidae, Sand tigers (3 species)			Yes	Yes	DD–VU, (NT–CR)	Mostly none	Fins, aquaria
Genus <i>Alopias</i> , Thresher sharks (3 species)	Yes		Yes	Yes	DD under review (NT)	Mostly none	Meat and fins
<i>Cetorhinus maximus</i> Basking shark	Yes	CITES II	Yes	Yes	VU (EN)	Mostly none	Fins
<i>Carcharodon carcharias</i> Great white shark	Yes	CITES III & consultation I, CMS I & II	Yes	Yes	VU	Some	Jaws and fins
Genus <i>Isurus</i> Mako sharks (2 species)	Yes		Yes	Yes	DD under review (NT)	Mostly none	Meat and fins
<i>Lamna ditropis</i> Salmon shark	Yes		Yes	In NW Pac?	DD	Mostly none	Meat and fins
<i>Lamna nasus</i> Porbeagle shark	Yes	Consultation for CITES II	Yes	Yes	NT (VU–EN)	Mostly none	Meat and fins
<i>Galeorhinus galeus</i> School/tope/soupfin shark			Yes	Yes	VU (NT–EN)	Mostly none	Meat and fins
Genus <i>Mustelus</i> Smoothhound sharks (25 species)			Yes	Some	LC–VU	Mostly none	Meat
Family Carcharinidae (12 genera, 54 species)	Yes						

Genus <i>Carcharhinus</i> (31 species, including:)	Yes						
<i>Carcharhinus albimarginatus</i> Silvertip shark	Yes		Yes	Yes	DD (under review)	None	Fins
<i>Carcharhinus amblyrhynchoides</i> Graceful shark	Yes		?	Yes	NT	None	Fins
<i>Carcharhinus amblyrhynchos</i> Gray reef shark	Yes		?	Yes	NT	Mostly none	Fins
<i>Carcharhinus amboinensis</i> Pigeye or Java shark	Yes		Yes	Yes	DD (NT)	None	Fins
<i>Carcharhinus brachyurus</i> Bronze whaler	Yes		Yes	Yes	NT (LC,DD,VU)	Mostly none	Fins
<i>Carcharhinus brevipinna</i> Spinner shark	Yes		Yes	Yes	NT (VU)	Mostly none	Fins and meat

* Where a range of Red List assessments are given for species groups, these refer to different taxa within these groups. Where a range is provided for a single species, these refer to the global assessment (with regional assessments in brackets). See key on next page.

** Effective shark management or conservation activity is limited to only a few states (there is no space to provide details here) and there is no dedicated or effective shark fisheries management on the high seas.

Table 1 continued.

Species name	UNCLOS	CITES/CMS	Shared stocks	Declining	IUCN Red List *	Management **	International trade
<i>Carcharhinus falciformis</i> Silky shark	Yes		Yes	1 stock > 90%	LC (under review)	None	Fins
<i>Carcharhinus galapagensis</i> Galapagos shark	Yes		Yes	Yes	NT (DD)	None	Fins
<i>Carcharhinus leucas</i> Bull shark	Yes		Yes	Yes	NT	Mostly none	Fins
<i>Carcharhinus limbatus</i> Blacktip shark	Yes		Yes	Yes	NT (VU)	Mostly none	Fins and meat
<i>Carcharhinus longimanus</i> Oceanic whitetip shark	Yes		Yes	1 stock > 99%	NT (under review)	None	Fins
<i>Carcharhinus melanopterus</i> Blacktip reef shark	Yes		?	Yes	NT	Mostly none	Fins
<i>Carcharhinus obscurus</i> Dusky shark	Yes		Yes	1 stock > 80%	NT (VU)	Mostly none	Fins
<i>Carcharhinus perezii</i> Caribbean reef shark	Yes		?	?	NE	Mostly none	Fins
<i>Carcharhinus plumbeus</i> Sandbar shark	Yes		Yes	Yes	NT	Mostly none	Fins
<i>Galeocerdo cuvier</i> Tiger shark	Yes		Yes	Yes	NT	Mostly none	Fins
Genus <i>Glyphis</i> River sharks (6 species)	Yes		?	Yes	EN–CR	Mostly none	Jaws, fins
Genus <i>Negaprion</i> Lemon sharks (2 species)	Yes		Yes	Yes	NT, VU (EN)	Mostly none	Fins
<i>Prionace glauca</i> Blue shark	Yes		Yes	Yes	NT (under review)	None	Fins
Family Sphyrnidae. Hammerheads (8 species)	Yes		Most	Most	LC, DD, NT (3) NE (3)	Mostly none	Fins
Batoid fishes (skates and rays)							
Family Pristidae, Sawfishes (7 species)			Some	Yes	All CR	Mostly none	Fins and rostra
Order Rhinobatiformes: Guitarfishes, Shovelnose rays (~ 57 species)			Some?	Yes	Most NE, some threatened	Mostly none	Fins are top quality
<i>Dipturus batis</i> Common Skate			Some	Yes	EN (CR) under review	Unmanaged	?
Family Potamotrygonidae Freshwater Stingrays (16-18 species)			Some	Yes	DD, under review	Partial	Ornamental
Genus <i>Mobula</i> , Devil rays (9 species)			Some	Yes	NT (2), VU (1), NE (6)	Unmanaged	Gill rakers
<i>Manta birostris</i> Manta Ray			Yes	Yes	DD/VU	Unmanaged	Gill rakers

* Where a range of Red List assessments are given for species groups, these refer to different taxa within these groups. Where a range is provided for a single species, these refer to the global assessment (with regional assessments in brackets).

** Effective shark management or conservation activity is limited to only a few states (there is no space to provide details here) and there is no dedicated or effective shark fisheries management on the high seas.

Key to Red List Assessments

NE : Not Evaluated

LC : Least Concern

DD : Data Deficient (many of these will be reviewed in 2004)

NT :Near Threatened

VU : Vulnerable)

EN : Endangered)
Threatened

CR : Critically Endangered)

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



Twentieth meeting of the Animals Committee
Johannesburg (South Africa), 29 March-2 April 2004

Improving regional communication and the regional representation

WORKING GROUP REPORT

Members of the working group

Netherlands (Chair);

Regional representatives: Schwann Tunhikorn (Asia), Katalin Rodics (Europe), Rodrigo Medellín (North America), Chair and regional representative for Europe in the Plants Committee, Margarita Clemente

Observers from Parties: Chile, the Netherlands,

Observers from UN bodies: UNEP World Conservation Monitoring Centre; and

The CITES Secretariat.

Summary of the discussions and recommendations

1. The working group discussed the issues in Document 5.7 and the result of the working group of the Plants Committee in Doc. AC 20 Inf. 16 and produced the draft proposal to the Conference of the Parties presented in the Annex.
2. The working group discussed the issue of the double role of the Chairman as Regional Representative. The working group felt that this problem could be solved by collaboration between the Chairman and his/her alternate. The working group therefore considered that no further action is needed.
3. The working group discussed the number of Representatives from Central and South America and the Caribbean. Due to different opinions and lack of time, the working group did not reach a conclusion.

Introduction

Concerns have been raised in the Plants and Animals Committees about a lack of adequate regional representation and regional communication. Complaints have been expressed regularly by representatives. Good regional representation and a regular regional communication are essential requirements for the effective operation of the Committees, in order to fulfil their tasks as resolved in Resolution Conf. 11.1 (Rev. CoP12). The Plants and Animals Committees see a need to improve regional representation and regional communication and have discussed these issues at PC13, PC14 and AC20.

The principal problems appear to be:

- a) Lack of time and means for the Regional Representatives to communicate;
- b) Lack of response from the Parties in the region;
- c) Lack of guidance.

The Plants and Animals Committees consider it urgent to solve these problems because they hamper the proper functioning of the Committees and thus their task to facilitate the work of the Conference of the Parties and to carry out work in between meetings of the Conference of the Parties.

Regional representatives

Regional Representatives should maintain a regular communication with the Parties in their region to be able to represent the region. Regional representatives find it difficult to carry out this task because they do not have, or are not allowed sufficient time, and/or they do not have the necessary facilities, and/or they do not get adequate support from their government and/or employer. Regional Representatives need full support of their government and their employer, in order to be provided with the necessary means (time, finances, office, equipment, communication facilities, email and internet). A formal commitment of their government and employer is required.

The Plants and Animals Committee recommend amendment of Resolution Conf. 11.1 (Rev. CoP12) on the Establishment of Committees, as follows:

- “a) The proposals for candidates as representatives should be supported by the relevant governments and institutions in a formal commitment in order to ensure ~~as far as possible~~ possible that they will obtain the necessary means to undertake their activities;”

A Regional Representative should be prepared, and be able and willing to spend a certain amount of time on his tasks for the Committee. It is not sufficient to have only a curriculum vitae of the candidate; a formal commitment is required.

The Plants and Animals Committees recommend amendment of Resolution Conf. 11.1 (Rev. CoP12) on the Establishment of Committees, as follows:

- “b) The names of the proposed candidates, their formal commitment to fulfill the duties of regional representatives as specified in Annex 2, and their curricula vitae, should be circulated to the Parties of the region concerned at least 120 days before the meeting of the Conference of the Parties at which the representatives will be elected;”

Many good reasons may necessitate the replacement of a Regional Representative, such as: end of term; personnel or private matters; non-functioning etc.

“Directs the Plants Committee and the Animals Committee to discuss at every meeting the follow up of representatives to ensure continuity in an effective regional representation. directs the Secretariat to assist the Chairman in consulting regions, if needed.”

A particular problem exists for the Chairmen of the Committees. The Plants and Animals Committees are concerned that it will be impossible or at least very difficult to find a Chairman from a developing country, because of lack of means. To enable proper functioning of Chairmen from developing countries as well as from developed countries, the Conference of the Parties needs to develop another mechanism, including a budget line.

To fulfill the advisory function to the Conference of the Parties as specified in RESOLVES a), or Annex 2 of Resolution Conf. 11.1 (Rev. CoP12), Animals and Plants Committees Representatives should be enabled to participate in the Conference of the Parties.

The Plants and Animals Committee recommend amendment of Resolution Conf. 11.1 (Rev. CoP12) on the Establishment of Committees, as follows:

- g) to the extent possible, the Secretariat shall make provision for the payment, if requested, of reasonable and justifiable travel expenses, including attendance to the relevant Committee meetings and to the Conference of the Parties, of members, and other expenses of the chairmen of the Standing Committee, the Animals Committee and the Plants Committee; in particular for representatives from developing countries and countries with economies in transition.

Response from the Parties

When Regional Representatives initiate communication with Parties, they frequently do not get a response. In 2003, it appeared that only 31 Parties out of 162 responded to requests for information for the regional reports. Parties should be obliged to respond to communications of the Regional Representatives. When a regional representative sends a message to a Party, there should be a person assigned with the task of responding. The contact-person, preferably in the Scientific Authority, should be relatively free to communicate. They should be allowed to give a provisional or less formal answer, without asking approval of his or her supervisors or the Management Authority. They should also provide the regional representatives with relevant information on their own initiative.

Resolution Conf. 11.1 (Rev. CoP12), Annex 2, under the second RESOLVES, c) requires that contact persons should be identified in the countries of a region. This requirement is probably overlooked or misunderstood by the Parties. Implementation of this requirement could greatly improve communications in the region.

Directs the Secretariat to issue a notification in 2005 that all Parties must inform the Secretariat of the name and address of the contact persons for the Plants Committee and for the Animals Committee before 1 April 2005.

“Directs the Secretariat shall compile a register of contact persons and publish this on the website.”

Guidance

Resolution Conf. 11.1 (Rev. CoP12) describes several duties of the regional representatives. Their tasks could be worked out in more detail in a manual for representatives. This manual should contain chapters for the Management Authorities of Parties and governments to explain the role and duties of regional representatives.

“Directs the Plants and Animals Committees to form a joint drafting group comprising two representatives from each Committee, the Secretariat and Chris Schürmann to develop such a manual in 2005.”

The Secretariat could further guide the regional representatives by producing an annual agenda, specifying what actions are required and when.

“Directs the Secretariat to produce an annual agenda for regional representatives.”

“Directs the Secretariat to verify whether the level of communication of information from the Secretariat to the Regional Representatives is sufficient for every Representative. The Secretariat will ensure that all relevant information on CITES issues, including all documents, will be send directly to all Representatives, either in hard copy or by email, as requested by the specific Representative.”

Draft amendment to Resolution Conf. 11.1 (Rev. CoP12)

Regarding regional representation in the Animals and Plants Committees

RECOMMENDS that the following guidelines be implemented:

A. Election of the candidates

- "a) The proposals for candidates as representatives should be supported by the relevant governments and institutions in a formal commitment in order to ensure ~~as far as possible~~ that they will obtain the necessary means to undertake their activities;"
- "b) The names of the proposed candidates, their formal commitment to fulfill the duties of regional representatives as specified in Annex 2. and their curricula vitae, should be circulated to the Parties of the region concerned at least 120 days before the meeting of the Conference of the Parties at which the representatives will be elected;"

Regarding the establishment of committees

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

RESOLVES that:

- g) to the extent possible, the Secretariat shall make provision for the payment, if requested, of reasonable and justifiable travel expenses, including attendance to the relevant Committee meetings and to the Conference of the Parties, of members, and other expenses of the chairmen of the Standing Committee, the Animals Committee and the Plants Committee; in particular for representatives from developing countries and countries with economies in transition.

Draft Decisions

“Directs the Plants Committee and the Animals Committee to discuss at every meeting the follow up of representatives to ensure continuity in an effective regional representation.”

“Directs the Secretariat to assist the Chairman in consulting regions, if needed.”

Directs the Secretariat to issue a notification in 2005 that all Parties must inform the Secretariat of the name and address of the contact persons for the Plants Committee and for the Animals Committee before 1 April 2005.

“Directs the Secretariat shall compile a register of contact persons and publish this on the website.”

“Directs the Plants and Animals Committees to form a joint drafting group comprising two representatives from each Committee, the Secretariat and Chris Schürmann to develop such a manual in 2005.”

“Directs the Secretariat to produce an annual agenda for regional representatives.”

“Directs the Secretariat to verify whether the level of communication of information from the Secretariat to the Regional Representatives is sufficient for every Representative. The Secretariat will ensure that all relevant information on CITES issues, including all documents, will be send directly to all Representatives, either in hard copy or by email, as requested by the specific Representative.”

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



Twentieth meeting of the Animals Committee

Johannesburg (South Africa), 29 March-2 April 2004

Conservation of and trade in tortoises and freshwater turtles [Resolution Conf. 11.9 (Rev. CoP12) and Decisions 12.41, 12.42 and 12.43]

REPORT OF THE WORKING GROUP

Members of the working group

Regional representative of Africa, Michael Griffin (Chair);

Observers from Parties: China, France, Germany, Italy, Japan, Kenya, Korea, Malaysia, United Republic of Tanzania, United States of America;

Observers from inter-governmental and non-governmental organizations: Deutsche Gesellschaft für Herpetologie und Terrarienkunde, Humane Society of the United States, International Wildlife Coalition, IUCN – the World Conservation Union, IWMC – World Conservation Trust, Midwest States Fish and Wildlife Association, Pro Wildlife, TRAFFIC, Wildcare Africa Trust.

The zoologist of the Nomenclature Committee; and

The CITES Secretariat.

Summary of the discussions and recommendations

The CITES Animals Committee Working Group on Tortoises and Freshwater Turtles met on the afternoon and evening of 1 April 2004.

Asian Turtle Trade [Resolution Conf. 11.9 (Rev. CoP12)]

The Working Group considered AC20 Inf. 25, which resulted from deliberations at AC19 and intersessional work. Inf. 25 contains a wide variety of topics and views, which were not universally shared by all participants in the Working Group.

After extensive consideration, the Working Group felt that, while essential for turtle conservation, formulating general recommendations for the functioning of CITES would be beyond the focus of the Working Group. Consequently, the Working Group drafted 8 recommendations which could be forwarded as Decisions to be proposed for CoP13:

Recommendations directed to the Secretariat:

- To facilitate, where necessary, the compilation and provision of information on Tortoises and Freshwater Turtles for the use by enforcement officers, including facilitation of translation of the information in local languages. This information primarily concerns identification, local names, distribution and illustrations, and compilation can draw on existing identification guides;
- To contact the World Customs Organisation in order to be informed about the possibility of obtaining specific Harmonised Codes for turtles and turtle products in trade; if such is possible, then to facilitate development and adoption of such codes;
- To facilitate the development of Non-Detriment Finding Guidelines specific to Tortoises and Freshwater Turtles, building on the existing IUCN guidelines, in consultation with IUCN, Scientific and Management Authorities, and others;
- To facilitate development of partnerships between interested organisations or other bodies to, in co-operation with range States, develop and operate rescue centres for confiscated Tortoises and Freshwater Turtles;
- To encourage Non-Governmental Organisations to develop, produce and distribute appropriate posters and other materials for public education and awareness of Tortoise and Freshwater Turtle Conservation;
- To make available the Proceedings of the Kunming Workshop.

Recommendations directed to Parties:

- To develop proposals to include threatened species of Tortoises and Freshwater Turtles in the appropriate CITES Appendices, with reference to Res. Conf. 9.24 and 9.25 (rev) and the recommendations contained in the results of the Kunming Workshop (AC19 Doc15.3) and AC19 Doc.15.1 Annex 1. Non-Governmental Organisations are strongly encouraged to assist Parties in these endeavours, where appropriate;
- To ensure that transport of live Tortoises and Freshwater Turtles is in compliance with IATA guidelines.

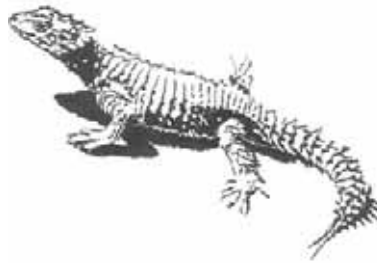
Pancake Tortoises (Decision 12.43)

A subgroup of the Working Group then considered progress on Decision 12.43 regarding Pancake Tortoises (*Malacochersus tornieri*). The group considered available and new information and identified 4 priority actions:

- An investigation of genetic variability among wild populations and farm stock;
- Verification of occurrence in States that are not currently understood as Range States;
- Inspections of farms with regard to captive management conditions;
- Completion of the desktop review of the species.

The Secretariat will work with Management and Scientific Authorities of all known and unconfirmed Range States, as well as with technical specialists, to implement these actions as soon as possible within the available resources.

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



Twentieth meeting of the Animals Committee
Johannesburg (South Africa), 29 March-2 April 2004

Review of the criteria for amendment of Appendices I and II

REPORT OF THE DRAFTING GROUP

Participants in the drafting group

The United States of America and the European Commission (Co-Chairs);

Observers from Parties: Chile, China, Japan, Mexico, New Zealand, South Africa, Spain, the United Kingdom, Zimbabwe;

Observer from United Nations bodies: Food and Agriculture Organization of the United Nations;

Observers from inter-governmental and non-governmental organizations: IUCN – The World Conservation Union, Defenders of Wildlife, International Wildlife Coalition, IWMC-World Conservation Trust, WWF International; and

The Chairman of the Plants Committee

Terms of reference

Summary of the discussions and recommendations

The drafting group used as a base document, AC20 Doc. 9.2 (Rev. 1) and amended the Annex of that document as shown below.

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES

Proposed revision of Resolution Conf. 9.24 (Rev. CoP12)

Criteria for amendment of Appendices I and II

RECALLING that Resolution Conf. 9.24, adopted by the Conference of the Parties at its ninth meeting (Fort Lauderdale, 1994) recommended that the text and the annexes of this Resolution be fully reviewed before the 12th meeting of the Conference of the Parties with regard to the scientific validity of the criteria, definitions, notes and guidelines and their applicability to different groups of organisms;

RECALLING that the Conference of the Parties at its 12th meeting (Santiago, 2002), approved procedures for this review, laid down in Decision 12.97;

CONSIDERING the fundamental principles in paragraphs 1 and 2 of Article II of the Convention, which specify the species to be included in Appendices I and II;

RECOGNIZING that to qualify for inclusion in Appendix I a species must meet biological and trade criteria;

RECALLING that Article II, paragraph 2(a), provides for the inclusion of species which may become threatened with extinction in Appendix II, in order to avoid utilization incompatible with their survival;

RECOGNIZING that for the proper implementation of this provision it is necessary to adopt appropriate criteria, considering both biological and trade factors;

RECALLING that paragraph 2(b) of Article II provides only for the inclusion in Appendix II of species which must be subject to regulation in order that trade in specimens of certain species included in Appendix II in accordance with Article II, paragraph 2(a), may be brought under effective control;

CONSIDERING, however, that this provision should also apply where there is a need to bring under effective control trade in specimens of species included in Appendix I;

RECOGNIZING that the range States of a species subject to an amendment proposal should be consulted by the proponent, or on its behalf by the Secretariat, in accordance with the relevant Resolutions of the Conference of the Parties, and that all Parties shall be consulted by the Secretariat in accordance with Article XV, paragraph 1(a), of the Convention;

RECOGNIZING further that the Secretariat, in accordance with the same Article, shall consult intergovernmental bodies having a function in relation to marine species;

CONSIDERING the Secretariat should also consult other intergovernmental bodies having a function in relation to any species subject to a proposal for amendment;

RECALLING that the international trade in all wild fauna and flora is under the purview of the Convention;

EMPHASIZING the importance of Resolution Conf. 3.4, adopted at the third meeting of the Conference of the Parties (New Delhi, 1981), regarding the need to provide to developing countries technical assistance in matters relating to the Convention, and specifically in the application of the criteria for amendment of Appendices I and II;

NOTING the objective to ensure that decisions to amend the Convention's Appendices are founded on sound and relevant scientific information, take into account socio-economic factors, and meet agreed biological and trade criteria for such amendments;

RECOGNIZING the importance of the application of Rio Principle 15, the Precautionary Approach, in cases of uncertainty;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

ADOPTS the following Annexes as an integral part of this Resolution:

- Annex 1: Biological criteria for Appendix I;
- Annex 2a: Criteria for the inclusion of species in Appendix II in accordance with Article II, paragraph 2(a), of the Convention;
- Annex 2b: Criteria for the inclusion of species in Appendix II in accordance with Article II, paragraph 2(b), of the Convention;
- Annex 3: Special cases;
- Annex 4: Precautionary measures;
- Annex 5: Definitions, explanations and guidelines; and
- Annex 6: Format for proposals to amend the Appendices;

RESOLVES, that when considering proposals to amend Appendix I or II, the Parties shall, by virtue of the precautionary approach and in case of uncertainty either as regards the status of a species or the impact of trade on the conservation of a species, act in the best interest of the conservation of the species concerned and adopt measures that are proportionate to the anticipated risks to the species;

RESOLVES that, when considering proposals to amend Appendices I and II, the following applies:

- a) species that are or may be affected by trade should be included in Appendix I in accordance with Article II, paragraph 1, if they meet at least one of the biological criteria listed in Annex 1;
- b) species should be included in Appendix II under the provisions of Article II, paragraph 2 (a), if they satisfy the criteria listed in Annex 2a;
- c) species should be included in Appendix II under the provisions of Article II, paragraph 2 (b), if they satisfy the criteria listed in Annex 2b;
- d) species should be included in more than one Appendix at the same time, and higher taxa should be included in the Appendices, only if the species or higher taxa concerned satisfy the relevant criteria listed in Annex 3;
- e) *species of which all specimens in trade have been bred in captivity or artificially propagated should not be included in the Appendices if there is negligible probability of trade taking place in specimens of wild origin;*
- f) species included in Appendix I for which sufficient data are available to demonstrate that they do not meet the criteria listed in Annex 1 should be transferred to Appendix II only in accordance with the relevant precautionary measures listed in Annex 4;
- g) species included in Appendix II in accordance with Article II, paragraph 2(a), that do not meet the criteria listed in Annex 2a, should be deleted only in accordance with the relevant precautionary measures listed in Annex 4; and species included in accordance with Article II, paragraph 2(b),

because they look like the species subject to the deletion, or for a related reason, should also be deleted only in accordance with the relevant precautionary measures;

- h) the views, if any, of intergovernmental bodies with competence for the management of the species concerned should be taken into account;

RESOLVES that proposals to amend Appendices I and II should be based on the best information available, and when appropriate, presented in the format in Annex 6;

ENCOURAGES proponents that submit proposals to transfer species to Appendix I or to establish zero export quotas for species under review in accordance with the provisions of the Significant Trade Review process, to take account of the applicable findings of that review.

RESOLVES that annotations to proposals to amend Appendix I or Appendix II should be made in accordance with the applicable Resolutions of the Conference of the Parties, be specific and accurate as to affected parts and derivatives and should, to the extent possible, be harmonized with existing annotations;

ENCOURAGES Parties, when sufficient relevant biological data are available, to include a quantitative evaluation in the supporting statement of the amendment proposal;

RESOLVES that, to monitor the effectiveness of protection offered by the Convention, the status of species included in Appendices I and II should be regularly reviewed by the range States and proponents, in collaboration with the Animals Committee or the Plants Committee, subject to the availability of funds;

URGES Parties and co-operating organizations to provide financial and technical assistance, when requested, in the preparation of proposals to amend the Appendices, the development of management programmes, and the review of the effectiveness of the inclusion of species in the Appendices. Parties should be open to using other available international mechanisms and instruments for these purposes in the broader context of biodiversity; and

REPEALS Resolutions Conf. 9.24 (Rev. CoP12) (Santiago, 2002) - Criteria for Amendment of Appendices I and II.

Biological criteria for Appendix I

The following criteria must be read in conjunction with the definitions, explanations and guidelines listed in Annex 5, including the footnote with respect to application of the definition of “decline” for commercially exploited aquatic species.

A species is considered to be threatened with extinction if it meets, or is likely to meet, **at least one** of the following criteria.

- A. The wild population is small, and is characterized by **at least one** of the following:
- i) an observed, inferred or projected decline in the number of individuals or the area and quality of habitat; or
 - ii) [a small number of sub-populations or] each sub-population being very small; or
 - iii) a majority of individuals being concentrated [geographically] during one or more life-history phases ; or
 - iv) large short-term fluctuations in population size; or
 - v) a high vulnerability to either intrinsic or extrinsic factors .
- B. The wild population has a restricted area of distribution and is characterized by **at least one** of the following:
- i) fragmentation or occurrence at very few locations; or
 - ii) large fluctuations in the area of distribution or the number of sub-populations; or
 - iii) a high vulnerability to either intrinsic or extrinsic factors; or
 - iv) an observed, inferred or projected decrease in any one of the following:
 - the area of distribution; or
 - the area of habitat; or
 - the number of sub-populations; or
 - the number of individuals; or
 - the quality of habitat; or
 - the recruitment.
- C. A marked decline in the population size in the wild, which has been **either**:
- i) observed as ongoing or as having occurred in the past (but with a potential to resume); or
 - ii) inferred or projected on the basis of any one of the following:
 - a decrease in area of habitat; or
 - a decrease in quality of habitat; or
 - levels or patterns of exploitation; or
 - a high vulnerability to either intrinsic or extrinsic factors ; or
 - a decreasing recruitment.
- D. The status of the species is such that if the species is not included in Appendix I, it is likely to satisfy one or more of the above criteria within a period of five years. [The working Group expressed differing views on the retention of this criterion, but it is retained here pending a final decision by the CoP]

Criteria for the inclusion of species in Appendix II
in accordance with Article II, paragraph 2(a), of the Convention

The following criteria must be read in conjunction with the definitions, explanations and guidelines listed in Annex 5, including the footnote with respect to application of the definition of “decline” for commercially exploited aquatic species.

A species should be included in Appendix II when, on the basis of available trade data and information on the status and trends of the wild population(s), **at least one** of the following criteria is met:

- A. It is known, or can be inferred or projected, that the regulation of trade in the species is necessary to avoid it becoming eligible for inclusion in Appendix I in the near future; or
- B. It is known, or can be inferred or projected, 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 would be threatened by continued harvesting or other influences.

Criteria for the inclusion of species in Appendix II
in accordance with Article II, paragraph 2(b), of the Convention

Species may be included in Appendix II in accordance with Article II, paragraph 2(b), if **either one** of the following criteria is met:

- A. 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, such that enforcement officers who encounter specimens of CITES-listed species , are unlikely to be able to distinguish between them; or
- B. There are compelling reasons other than those given in criterion A above to ensure that effective control of trade in currently listed species is achieved.

Special cases

Split-listing

Listing of a species in more than one Appendix should be avoided in general in view of the enforcement problems it creates.

When split-listing does occur, this should generally be on the basis of national or regional populations, rather than subspecies. Split-listings that place some populations of a species in the Appendices, and the rest outside the Appendices, should normally not be permitted.

For species outside the jurisdiction of any State, listing in the Appendices should use the terms used in other relevant international agreements, if any, to define the population. If no such international agreement exists, then the Appendices should define the population by region or by geographic coordinates.

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.

Higher taxa

If all species of a higher taxon are included in Appendix I or II, they should be included under the name of the higher taxon. If some species in a higher taxon are included in Appendix I or II and all the rest in the other Appendix, the latter species should be included under the name of the higher taxon, with an appropriate annotation made in accordance with the provisions of the relevant resolutions on the use of annotations in the Appendices.

Parties contemplating preparing a proposal to transfer an individual plant species from a higher-taxon listing in Appendix II to a separate listing in Appendix I should consider:

- i) the ease with which it can be propagated artificially;
- ii) the extent to which it is currently available in cultivation from artificially propagated specimens; and
- iii) any practical problems in identifying the species, particularly in the form in which it may be traded.

Precautionary measures

When considering proposals to amend Appendix I or II, the Parties shall, by virtue of the precautionary approach and in case of uncertainty either as regards the status of a species or the impact of trade on the conservation of a species, act in the best interest of the conservation of the species concerned and adopt measures that are proportionate to the anticipated risks to the species.

A.

1. No species listed in Appendix I shall be removed from the Appendices unless it has been first transferred to Appendix II, with monitoring of any impact of trade on the species for at least two intervals between meetings of the Conference of the Parties.
 2. Species included in Appendix I should only be transferred to Appendix II if they do not satisfy the relevant criteria in Annex 1 and only when one of the following precautionary safeguards is met:
 - a) 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; or
 - b) the species is likely to be in demand for trade, but its management is such that the Conference of the Parties is satisfied with:
 - i) implementation by the range States of the requirements of the Convention, in particular Article IV; and
 - ii) appropriate enforcement controls and compliance with the requirements of the Convention; or
 - c) 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; or
 - d) a ranching proposal is submitted consistent with the applicable Resolutions of the Conference of the Parties and is approved.
 3. No proposal for transfer of a species from Appendix I to Appendix II shall be considered from a Party that has entered a reservation for the species in question, unless that Party agrees to remove the reservation within 90 days of the adoption of the amendment.
 4. No species should be deleted from Appendix II if such deletion would be likely to result in it qualifying for inclusion in the Appendices in the near future.
 5. No species should be deleted from Appendix II if, within the last two intervals between meetings of the Conference of the Parties, it has been subject to a recommendation under the provisions of the Significant Trade Review process to improve its conservation status.
- B. The following review procedures shall apply when a species is transferred to Appendix II pursuant to paragraph A.2.c) above.
1. Where the Plants Committee, the Animals Committee or a Party becomes aware of problems in compliance with the management measures and export quotas of another Party, the Secretariat shall be informed and, if the Secretariat fails to resolve the matter satisfactorily, it shall inform the Standing Committee which may, after consultation with the Party concerned, recommend to all Parties that they suspend trade with that Party in specimens of CITES-listed species, and/or request the Depositary Government to prepare a proposal to transfer the population back to Appendix I.

2. If, on review of a quota and its supporting management measures, the Animals or Plants Committee encounters any problems with compliance or potential detriment to a species, the relevant Committee shall request the Depositary Government to prepare a proposal for appropriate remedial action.
- C. With regard to quotas established pursuant to paragraph A.2.c) above.
1. If a Party wishes to renew, amend or delete such a quota it shall submit an appropriate proposal for consideration at the next meeting of the Conference of the Parties;
 2. When a quota has been established for a limited period of time, after that period the quota will become zero until a new quota has been established.
- D. Species that are regarded as possibly extinct should not be deleted from Appendix I if they may be affected by trade in the event of their rediscovery; these species should be annotated in the Appendices as "p.e." (i.e., possibly extinct).

Definitions, explanations and guidelines

NOTE: Where numerical guidelines are cited in this Annex, they are presented only as examples, since it is impossible to give numerical values that are applicable to all taxa because of differences in their biology.

Species

In Article I of the Convention the term species is defined as “any species, subspecies or geographically separate population thereof”.

Species and subspecies refer to the biological concept of a species, and do not require any further definition.

The two terms also cover varieties.

“Geographically separate population” refers to parts of a species or a subspecies within particular geographical boundaries. This can also refer to populations or subpopulations, or, for the sake of convenience in certain cases, to ‘stocks’ as the term is understood in fisheries management.

Until now, the Conference of the Parties has interpreted ‘geographically separate populations’ as populations delimited by geopolitical boundaries, whereas they have rarely used the other option of geographical boundaries.

Affected by trade

A species “is or may be affected by trade” if:

1. it is known to be in trade (using the definition of ‘trade’ in Article I of the Convention), and that trade has or may have a detrimental impact on the status of the species; or
2. it is suspected to be in trade, or there is demonstrable potential international demand for the species, that may be detrimental to its survival in the wild.

Area of distribution

Area of distribution of a species is defined as the area contained within the shortest continuous imaginary boundary which can be drawn to encompass all the known, inferred or projected sites of occurrence, excluding cases of vagrancy and introductions outside its natural range (though inferring and projecting area of occurrence should be undertaken carefully, and in a precautionary manner). The area within the imaginary boundary should, however, exclude significant areas where the species does not occur, and so in defining an area of distribution, account should be taken of discontinuities or disjunctions in the spatial distribution of species. This encompasses the concept of area of occupancy. For migratory species, the area of distribution is the smallest area essential at any stage for the survival of that species (e.g., colonial nesting sites, feeding sites for migratory taxa, etc.). The determination that a species has a restricted area of distribution is taxon-specific and should take into account considerations such as habitat specificity, population density and endemism.

Decline

A decline is a reduction in the abundance, or area of distribution, or area of habitat of a species. The assessment of decline by reference to area of habitat may be more appropriate where there are intrinsic difficulties in measuring the number of individuals.

Decline can be expressed in two different ways: (i) the overall long-term extent of decline or (ii) the recent rate of decline. The long-term extent of decline is the total estimated or inferred percentage

reduction from a baseline level of abundance or area of distribution. The recent rate of decline is the percentage change in abundance or area of distribution over a recent time period. The data used to estimate or infer a baseline for extent of decline should extend as far back into the past as possible.

The judgement that a decline is marked is taxon-specific and can be justified by a number of considerations for example, the population dynamics of a related taxonomic group. A general guideline for a marked historical extent of decline is a percentage decline to 5%-30% of the baseline, depending on the biology and productivity of the species. Productivity is the maximum percentage growth rate of a population. It is a complex function of reproductive biology, fecundity, individual growth rates, natural mortality, age at maturity and longevity. More productive species tend to have high fecundity, rapid individual growth rates and high turnover of generations.

The extremes of 5% and 30% will be applicable to only a relatively small number of species, but some species may even fall outside of these extremes. However, both these figures are presented only as examples, since it is impossible to give numerical values that are applicable to all taxa because of differences in their biology (see footnote with respect to application of decline to commercially exploited aquatic species).

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. If the population is small, a percentage decline of 20% or more in the last 5 years or 2 generations (whichever is the longer) may be more appropriate. However, these figures are presented only as examples, since it is impossible to give numerical values that are applicable to all taxa because of differences in their biology.

The historical extent of decline and the recent rate of decline should be considered in conjunction with one another. In general, the higher the historical extent of decline, and the lower the productivity of the species, the more important a given recent rate of decline is.

* Application of decline for commercially exploited aquatic species:

In marine and large freshwater bodies, a narrower range of 5-20% is deemed to be more appropriate in most cases, with a range of 5-10% being applicable for species with high productivity, 10-15% for species with medium productivity and 15-20% for species with low productivity. Nevertheless some species may fall outside this range. Low productivity is correlated with low mortality rate and high productivity with high mortality. One possible guideline for indexing productivity is the natural mortality rate, with the range 0.2 – 0.5 per year indicating medium productivity.

In general, historical extent of decline should be the primary criterion for consideration of listing in Appendix I. However, in circumstances where information to estimate extent-of-decline is limited, rate-of-decline over a recent period could itself still provide some information on extent-of-decline.

For listing in Appendix II, the historical extent of decline and the recent rate of decline should be considered in conjunction with one another. The higher the historical extent of decline, and the lower the productivity of the species, the more important a given recent rate of decline is. A general guideline for a marked recent rate of decline is the rate of decline that would drive a population down within approximately a 10-year period from the current population level to the historical extent of decline guideline (i.e. 5-20% of baseline for exploited fish species). There should rarely be a need for concern for populations that have exhibited an historical extent of decline of less than 50%, unless the recent rate of decline has been extremely high.

Even if a population is not declining appreciably, it could be considered for listing in Appendix II if it is near the extent-of-decline guidelines recommended above for consideration for Appendix I-listing. A range of between 5% and 10% above the relevant extent-of-decline might be considered as a definition of 'near', taking due account of the productivity of the species.

A recent rate-of-decline is important only if it is still occurring, or may resume, and is projected to lead to the species reaching the applicable point for that species in the Appendix I extent-of-decline guidelines within approximately a 10-year period. Otherwise the overall extent-of-decline is what is important. When sufficient data are available, the recent rate-of-decline should be calculated over approximately a 10-year period. If fewer data are available, annual rates over a shorter period could be used. If there is evidence of a change in the trend, greater weight should be given to the more recent consistent trend. In most cases, listing would only be considered if the decline is projected to continue.

In considering the percentages indicated above, account needs to be taken of taxon- and case-specific biological and other factors that are likely to affect extinction risk. Depending on the biology, patterns of exploitation and area of distribution of the taxon, vulnerability factors (as listed in this annex) may increase this risk, whereas mitigating factors (e.g. large absolute numbers or refugia) may reduce it.

In estimating or inferring the historical extent of decline or the recent rate of decline, all relevant data should be taken into account. A decline need not necessarily be ongoing. If data are available only for a short period and the extent or rate of decline based on these data are cause for concern, the guidelines above (extrapolated as necessary or relevant) should still apply. However, natural fluctuations should not normally count as part of a decline, but an observed decline should not necessarily be considered part of a natural fluctuation unless there is evidence for this. A decline that is the result of legal activities carried out pursuant to a scientifically based harvesting programme that reduces the population to a planned level, not detrimental to the survival of the species, would not normally be covered by the term "decline".

Fluctuations

Fluctuations in population size or area of distribution are considered large when the population size or area in question varies widely, rapidly or frequently. The judgement that there are large short-term fluctuations in the number of individuals is taxon specific. For instance, it depends on the generation length of the taxon.

Fragmentation

Fragmentation refers to the case where most individuals within a taxon are found in small and relatively isolated sub-populations, which increases the probability that these small sub-populations will become extinct and the opportunities for re-establishment are limited.

Generation length

Generation length is the average age of parents of the current cohort (i.e., newborn individuals in the population). Generation length therefore reflects the turnover rate of breeding individuals in a population. Generation length is greater than the age at first breeding and less than the age of the oldest breeding individual, except in taxa that breed only once. Where generation length varies under threat, the more natural (i.e., pre-disturbance) generation length should be used.

Inferred or projected

This refers to estimations using indirect or direct methods. Inferences may be made on the basis either of direct measurements or from indirect evidence. Projection involves extrapolation to infer likely future values.

~~Projection is a statistical concept that in scientific research connotes that measurements have been made and extrapolated in time towards the future. On the other hand inference connotes measurement using indirect evidence.~~

Near future

Refers to a time period in which it can be projected or inferred that a species would satisfy one (or more) of the criteria in Annex I unless it is included in Appendix II. This will be taxon- and case-specific but should be greater than 5 years [and less than 20 years]*..

Population issues

Population

Population refers to the total number of individuals of the species (as "species" is defined in Article 1 of the Convention and in this Annex).

* Final agreement on an outer limiting figure was not reached.

Wild population

Wild population refers to the total number of free-living individuals of the species within its area of distribution, as defined in this annex.

Sub-population

Sub-populations are defined as geographically or otherwise distinct groups in the population between which there is limited genetic exchange.

Population size

When providing details on the size of a population or sub-population, it should be made clear whether the information presented relates to an estimate of the total number of individuals or to the effective population size (i.e., individuals capable of reproduction, excluding individuals that are environmentally and behaviourally or otherwise reproductively suppressed in the wild) or to another appropriate measure, index or component of the population.

In the case of species biologically dependent on other species for all or part of their life cycles, biologically appropriate values for the host or co-dependent species should be chosen.

Small wild population

The judgement that a wild population is small is taxon-specific and can be justified by a number of considerations. For example, the population of a related taxonomic group. 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 but the number could be higher for higher productivity species. However, this figure is presented only as an example, since it is impossible to give numerical values that are applicable to all taxa. There will be many cases where this numerical guideline does not apply.

Very small wild sub-population

The judgement that a wild sub-population is very small is taxon-specific. For some species where data exist to make an estimate, a figure of less than 500 individuals has been found to be an appropriate guideline (not a threshold) of what constitutes a very small wild sub-population. However, this figure is presented only as an example, since it is impossible to give numerical values that are applicable to all taxa. There will be many cases where this numerical guideline does not apply.

Possibly extinct

A species is possibly extinct when exhaustive surveys in known and/or suspected habitat, and at appropriate times (diurnal, seasonal, annual), throughout its historic range have failed to record an individual. Before a species can be declared possibly extinct, surveys should take place over a time-frame appropriate to the species' life cycle and life form.

Recruitment

Recruitment is the total number of individuals added to any particular demographic class of a population by either sexual or asexual reproduction.

Threatened with extinction

Threatened with extinction is defined by Annex 1. The vulnerability of a species to threats of extinction depends on its population demographics, biological characteristics (such as body size, trophic level, life cycle, breeding structure or social structure requirements for successful reproduction), and vulnerability due to aggregating habits, natural fluctuations in population size, and/or residency/migratory patterns.

This makes it impossible to give numerical threshold values for population size or area of distribution that are applicable to all taxa.

Vulnerability

Vulnerability can be defined as the susceptibility to intrinsic or external effects which increase the risk of extinction (even when mitigating factors are taken into account). There are a number of taxon- or case-specific biological and other factors that may affect the extinction risk associated with a given percentage decline, small population size or restricted area of distribution. These can be, but are not limited to, aspects of any of the following:

INTRINSIC FACTORS:

- Life history (e.g., low fecundity, slow growth rate of the individual, high age at first maturity, long generation time)
- Low absolute numbers or biomass or restricted area of distribution
- Population structure (age/size structure, sex ratio)
- Behavioural factors (e.g., social structure, migration, aggregating behaviour)
- Density (for sessile or semi-sessile species)
- Specialized niche requirements (e.g., diet, habitat)
- Species associations such as symbiosis and other forms of co-dependency
- Reduced genetic diversity
- Dependence (prone to continuing decline even in the absence of exploitation)
- Endemism
- Seed dispersal mechanism
- Specialized pollinators

EXTRINSIC FACTORS

- Selectivity of removals (that may compromise recruitment)
- Threats from alien invasive species (hybridisation, disease transmission, depredation, etc.)
- Habitat degradation (contamination, soil erosion, alteration by alien invasive species, etc.)
- Habitat loss/destruction
- Habitat fragmentation
- Harsh environmental conditions
- Threats from disease
- Rapid environmental change (e.g., climate regime shifts)
- Stochastic events.

Format for proposals to amend the Appendices

NOTE: Annex 6 needs to be made consistent with the rest of the document.

The following provides information and instructions for the submission of a proposal to amend the Appendices and the appropriate supporting statement. Proponents should be guided by the need to provide to the Conference of the Parties sufficient information, of sufficient quality and in sufficient detail, to allow it to judge the proposal against the criteria established for the proposed action. Analogy with related taxonomic groups or species that are ecologically similar may be used to guide judgements. Parties are reminded 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. This means that the relevant published and unpublished sources of information should be used, although for some species the amount of scientific information will be limited. Where research has been undertaken specifically to obtain information for the proposal, it should be presented in sufficient detail to be assessed by the Parties. Furthermore, this means that it may not be possible to address all elements of the proposal format.

A. Proposal

The proponent should indicate the specific amendment to the Appendices and any relevant annotations or qualifications. The proponent should justify the basis on which the species meets the relevant criteria.

- Inclusion in Appendix I or transfer from Appendix II to Appendix I. Specify which of the criteria in Annex 1 of the Resolution are satisfied
- Inclusion in Appendix II
 - in accordance with Article II 2(a)
 - specify which of the criteria in Annex 2a of the Resolution are satisfied
 - in accordance with Article II 2(b)
 - for reasons of look-alike problems (criterion A of Annex 2b). In this case, the names of the similar species already included in the Appendices should be given in section C11, "Additional remarks"
 - for other reasons (such as those referred to in Annexes 2a, paragraph B and/or 3 to this Resolution)
- Transfer from Appendix I to Appendix II in accordance with a precautionary measure specified in Annex 4 to this Resolution. Specify which of the criteria in Annex 2 of this Resolution are satisfied; specify why the criteria in Annex 1 of this Resolution are no longer satisfied; specify which of the measures in Annex 4 of this Resolution are satisfied or implemented
- Deletion from Appendix II. Specify why the criteria in Annex 2 of this Resolution are not satisfied
- Other action (provide explanation) (e.g., amendment of a quota)

Annotations

If a specific annotation to the listing in the Appendices is proposed, the proponent should:

- ensure that the proposed annotation is in compliance with the applicable Resolution;

- indicate the practical intent of the annotation;
- harmonize new annotations with existing annotations; and
- be specific and accurate as to affected parts and derivatives.

B. Proponent

The proponent may only be a Party to the Convention, in accordance with Article XV of the Convention.

C. Supporting statement

1. Taxonomy

The proponent should provide sufficient information to allow the Conference of the Parties to identify clearly the taxon that is the subject of the proposal.

1.1 Class

1.2 Order

1.3 Family

1.4 Genus, species or subspecies, including author and year

If the species concerned is included in one of the standard lists of names or taxonomic references adopted by the Conference of the Parties, the name provided by that reference should be entered here. If the species concerned is not included in one of the adopted standard references, the proponent should provide references as to the source of the name used.

1.5 Scientific synonyms

The proponent should provide information on other scientific names or synonyms under which the species concerned may be known currently, especially if these names are used in the trade in the species.

1.6 Common names (including, where appropriate, trade names)

1.7 Code numbers

If the species concerned is already included in the Appendices, refer to the code numbers in the CITES Identification Manual.

2. Overview

Provide a brief overview of key elements of the proposal. Parties should cite key sections of the supporting statement. Also explain how the species complies with the criteria in this Resolution.

3. Species characteristics

The information required in this section is a summary of surveys, literature searches, and relevant studies. The references used must be listed in section 12 of the proposal. It is understood that the quality of the information available will vary a lot, but these instructions indicate the type of information that is required. If the proposal relates to a geographically separate population or subspecies, it should consider, where relevant, the biological species in its entirety to provide the appropriate context.

3.1 Distribution

Specify the currently known range of the species. If possible, provide information to indicate whether or not the distribution of the species is continuous and, if it is not, indicate to what degree it is fragmented.

3.2 Habitat

Specify the types of habitats occupied by the species and, when relevant, the degree of habitat specificity and the extent of each habitat type over the range of the species.

3.3 Biological characteristics

Provide a summary of general biological and life history characteristics of the species (e.g., reproduction, recruitment, survival rate, migration, sex ratio, regeneration or reproductive strategies).

3.4 Morphological characteristics

Provide a general description of the morphological diagnostic characteristics of the species, including colour, and information on morphological features by which the species can be differentiated from taxonomically closely related species.

3.5 Role of the species in its ecosystem

If available, provide information about the role of this species in its ecosystem, and other relevant ecological information, as well as the potential impact of this proposal on that role.

4. Status and trends

This section includes qualitative and quantitative information that allow past and present trends to be evaluated pursuant to the criteria. The sources used must be referenced in section 12 of the proposal. It is understood that the quality of the information available will vary. The instructions below indicate the type of information that should be provided if possible. If the proposal relates to a geographically separate population or subspecies, it should consider, when relevant, the biological species in its entirety to provide the appropriate context. If available, the proposal should include any relevant quantitative analyses, stock assessments, etc. The proposal should note whether conclusions are based on observations, inferences or projections.

4.1 Habitat trends

Give information on the nature, rate and extent of habitat change (e.g., loss, degradation or modification), noting when applicable the degree of fragmentation and discernable changes in the quality of habitat. Where appropriate, the relationship between habitat and population trends should be described.

4.2 Population size

Give an estimate of the current total population or number of individuals differentiated by relevant age classes where possible, or other indices of population abundance, based on the most recently available data. Provide information on the source of the data used. Where appropriate provide the number of sub-populations, and their estimated sizes. Population size may be estimated by reference to population density, having due regard to habitat type and other methodological considerations.

4.3 Population structure

Provide basic information on the current structure of the population and any past or current changes over time in that structure (e.g., social structure, population demographics, proportion of mature individuals or sex ratio).

4.4 Population trends

Basic, quantitative and qualitative information, when available, should be provided on current and past trends in the species's abundance (provide sources). The period over which these trends, if any, have been measured should be indicated. If the species naturally undergoes marked fluctuations in population size, information should be provided to demonstrate that the trend transcends natural fluctuations. If generation-time has been used in estimating the trend, state how the generation-time has been estimated. [NOTE: The present wording assumes that Annex 6 applies to uplisting proposals only]

4.5 Geographic trends

Provide information, when available on current and past trends in the species' distribution, indicating the period over which these trends, if any, have been measured. If relevant give data on the degree and periodicity of fluctuations in the area of distribution.

5. Threats

Specify the nature, intensity and if possible relative importance of human-induced threats (e.g., habitat loss and/or degradation; over-exploitation; effects of competition/predation by introduced species and effects of hybridization, toxins and pollutants; etc.).

6. Utilization and trade

6.1 National utilization

Specify the types and extent of all known uses of the species, indicating trends if possible. Provide details of harvest methods. Indicate the extent to which utilization is from captive-bred, artificially propagated, or wild specimens.

Provide details of any stockpiles known to exist, and the measures that might be taken to dispose of them.

6.2 Legal trade

Quantify the level of international trade, identifying the source of statistics used (e.g., Customs statistics, CITES annual report data, FAO data, industry reports, etc.). Provide justification for inferences made about trade levels. Provide information about the nature of the trade (e.g., primarily for commercial purposes, primarily live specimens, primarily parts and derivatives, primarily of captive-bred or artificially propagated specimens, etc.) and about how the proposed amendment is expected to affect the nature of the trade.

6.3 Parts and derivatives in trade

To the extent possible, list parts and derivatives, including types of products in trade, Customs tariff codes specific to those parts and derivatives, and major importing and exporting countries that trade in those parts and derivatives.

6.4 Illegal trade

To the extent possible, quantify the level of illegal trade, nationally and internationally, and describe its nature. Assess the relative importance of this trade in relation to legal offtake for national use or legal international trade. Provide information on how the proposed amendment is expected to affect the nature of the trade.

6.5 Actual or potential trade impacts

Discuss the importance of current and/or future exploitation for international trade relative to overall use (domestic included) as a threat to the species in question.

7. Legal instruments

7.1 National

Provide details of legislation relating to the conservation of the species, including its habitat, either specifically (such as endangered-species legislation) or generally (such as legislation on wildlife and accompanying regulations). Indicate the nature of legal protection (i.e. is the species totally protected, or whether harvesting is regulated or controlled). Provide an assessment of the effectiveness of this legislation in ensuring the conservation and/or management of the species.

Provide similar information relating to legislation governing the management of trade in the species in question. Provide an assessment of the effectiveness of this legislation in controlling illegal trade in the species.

7.2 International

Provide details of international instruments relating to the species in question, including the nature of the protection afforded by such instruments. Provide an assessment of the effectiveness of these instruments in ensuring the conservation and/or management of the species.

Provide similar information on international instruments relating to the management of trade in the species in question. Provide an assessment of the effectiveness of these instruments in controlling illegal trade in the species.

8. Species management

8.1 Management measures

Provide details of programmes in place in the range States to manage populations of the species in question (e.g., controlled harvest from the wild, captive breeding or artificial propagation, reintroduction, ranching, quota systems, etc.). Include, where appropriate, details such as planned harvest rates, planned population sizes procedures for the establishment and implementation of quotas, and mechanisms for ensuring that wildlife management advice is taken into account.

Where applicable, provide details of any mechanisms used to ensure a return from utilization of the species in question to conservation and/or management programmes (e.g., pricing schemes, community ownership plans, export tariffs, etc.).

8.2 Population monitoring

Provide details of programmes in place to monitor the status of wild populations and the sustainability of offtake from the wild.

8.3 Control measures

8.3.1 International

Provide information on measures in place, in addition to CITES, to control the movement of specimens of the species in question across international borders. Include information about marking schemes in place, if any.

8.3.2 Domestic

Provide information on controls in the range States aimed at ensuring a sustainable harvest from the wild of the species in question. Include information on education, compliance and enforcement activities as appropriate and an assessment of the effectiveness of the programmes.

8.4 Captive breeding and artificial propagation

Where applicable, provide details of commercial captive-breeding or artificial propagation operations, including plantations, for the species in question within the country in question, including the size of captive stocks and the production, and the extent to which these operations are either contributing to a conservation programme or meeting a demand that would otherwise be met by specimens from the wild. Discuss any management implications of captive-breeding or artificial propagation programmes. Also provide information on the extent of captive-breeding or artificial propagation outside the country or countries of origin to the extent possible.

8.5 Habitat conservation

Provide information, where available, regarding the number, size and type of protected areas relevant to the habitat of the species, and on habitat conservation programmes outside protected areas.

8.6 Safeguards

In the case of proposals to transfer species from Appendix I to Appendix II or deletion from Appendix II, or proposals involving substantive annotations, provide information on any relevant safeguards.

If the proposed amendment is likely to lead to an increase in trade in the species concerned, explain why this would not result in unsustainable trade in similar species.

9. Information on similar species

Give the names of species of which specimens in trade look very similar. Provide details on how they may be distinguished, including, in particular, details on those commodities or parts and derivatives most common in trade, and explain whether or not it is reasonable to expect an informed non-expert to be able to make a firm identification. Provide details on how to resolve potential difficulties in distinguishing specimens of the species proposed for listing from those of similar species, in particular those specimens most common in trade.

10. Consultations

Provide details of the consultation undertaken to secure comments on the proposal from the range States of the species, either through direct contact or via the CITES Secretariat. Comments received from each country should be provided. Where comments were sought but not received in sufficient time to enable their inclusion in the supporting statement, this should be noted, as well as the date of the request.

In cases of proposals to transfer Appendix-II species that are subject to actions pursuant to Resolution Conf. 8.9 (Rev.) to Appendix I the proponent should consult the affected range State(s) and, as appropriate, the Animals Committee or Plants Committee. The proponent should state the reasons to justify why the amendment proposal was made. In cases of consultation with Parties via the CITES Secretariat, information from range States and non-range States should be separated.

In the case of species that are also managed through other international agreements or intergovernmental bodies, provide details of the consultations undertaken to obtain the comments of those organizations or bodies, and indicate how those comments have been addressed in the supporting statement. Where comments were sought but not received in sufficient time to enable their inclusion in the supporting statement, this should be noted, as well as the date of the request.

11. Additional remarks

12. References