

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

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Eighth Meeting of the Conference of the Parties  
Kyoto (Japan), 2 to 13 March 1992

SUMMARY REPORT OF THE BUDGET COMMITTEE MEETING

Session: 4 March 1992: 14h10-15h50

Chairman: M. Hosking (New Zealand)  
Secretariat: I. Topkov  
J. Flores  
O. Owolabi  
UNEP: A.T. Brough  
Rapporteur: G. Furness

The Chairman opened the meeting at 14h10, thanking the members of the Committee for taking on their job and stressing that, while delegations would have to be concerned about their treasuries, they must also act in the best interests of CITES. The Secretariat must have the resources to do its work, and the Committee's analysis must be thorough but also reasonable. The Chairman noted that other Committee Chairmen might have to be invited to consult with the Budget Committee. It was agreed that in the main Swiss francs would be used in budget calculations. The Committee must have completed its work in time to report to Committee II on the morning of 6 March.

1. Financial Report for 1989-1990-1991

The representative of UNEP noted that expenditures had been consistently below budget over the three years 1989-1991. This did not mean that a reserve had built up but rather reflected the failure of some Parties to pay their contributions on time or at all. UNEP had had to advance the Secretariat funding to pay salaries, office costs, etc. Of unpaid contributions, CHF 1,400,000 was outstanding for 1980-89, CHF 547,000 for 1990 and CHF 1,260,000 for 1991. He asked for the Committee's advice on what to do about arrears of the German Democratic Republic (USD 115,605) and the USSR (USD 1,200,000), which no longer existed as States, and those of other Parties, which amounted to USD 64,000.

The delegation of Germany said there were legal problems in paying the arrears of the former German Democratic Republic. The delegation of the Russian Federation indicated that the former USSR had accepted the financial amendment in 1991 and had paid its contributions to CITES and Ramsar for 1991 only. Considerable discussion ensued in which it was generally recognized that the former German Democratic Republic and USSR were exceptional cases but concern was expressed that forgiving arrears would only tend to induce Parties to let them build up. The Chairman requested the representative of UNEP to prepare a statement on this for submission to the Committee at its next session.

After delegations expressed serious concern about the continuing shortfall in contributions and the delegation of Australia suggested that status or balance sheets of the Trust Fund be provided when the budget was examined, the Chairman concluded that there was consensus to accept document Doc. 8.7 and forward it to Committee II. The Secretary General reported that Brazil had just made its 1990 and 1991 contributions, totalling CHF 120,000, and that the Secretariat had just received Canada's contribution for 1991.

2. Anticipated Expenditure for 1992

The Secretary General reported that of eight positions approved, only six had been filled. In addition, two full-time translators had not been hired although the full amount saved had been spent on part-time translation in the four months leading up to the meeting. After brief discussion, the Committee agreed to forward document Doc. 8.8 to Committee II.

3. Budget 1993-1995 and Medium-term Plan for 1993-1998

The representative of UNEP reviewed the reasons why the budget for 1993 was significantly higher than the estimated expenditure for 1992, as explained in detail in document Doc. 8.9. The Secretary General noted that any increase in the budget automatically increased the overhead paid to UNEP. The representative of UNEP noted that the Conference of the Parties had agreed earlier to establish a working group (which may well be intersessional) on criteria for listing taxa in the appendices, which was likely to incur expenses; the delegation of Switzerland suggested that funding could probably be found in the budget allocated for the Panel of Experts on African Elephant.

In general discussion of the document, the delegation of France noted that the budget appeared to nearly double from 1992 to 1993. The delegation of the United States of America, echoed by the delegation of Australia and others, stated that while they wanted to support CITES, given current economic conditions they would have to look carefully at where cuts could be made with minimum damage to the Convention. The delegation of Canada felt there could be savings if Parties paid their contributions in full and on time, but the representative of UNEP felt it was dangerous to assume this would happen. The Chairman considered it essential to build in a contingency factor as in past budgets, but the representative of UNEP pointed out this would make the budget appear even larger. It was agreed that the Committee report would stress the importance of Parties paying on time and in full. The Secretary General added that the Budget Committee should convey to Committee II that, in providing funding for the next meeting of the Conference of the Parties, it should take into consideration the costs of holding a meeting in a country like Japan. The representative of UNEP noted that it was United Nations practice for the host country to pay any added costs of holding a meeting away from the headquarters of the organization concerned.

The Committee then turned to a line-by-line examination of the budget. There was general agreement that the two unfilled regional officer posts had lower priority; their travel costs could also be saved. A lengthy discussion followed on the relative merits of hiring two translators on a permanent basis or contracting translation out and continuing to use regular staff for routine translation. A conclusion was not reached and the Chairman stated that deliberations would continue the following day.

The Chairman adjourned the meeting at 15h50.

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Interpretation and Implementation of the Convention

Trade in Plant Specimens

NURSERY REGISTRATION

Attached is the amended draft resolution regarding nursery registration (Annex 1 to document Doc. 8.28).

The following procedure was agreed upon by Committee I in its meeting of 2 March 1992:

1. After agreement on this text, the draft resolution will be approved by the Parties, but not yet adopted. The reason for this is that several Parties are not in the position to adopt this draft resolution without the final version of the 'Criteria for nursery registration'.
2. The 'Criteria for nursery registration' (draft Notification to the Parties, Annex 2 of document Doc. 8.28) will be referred to the Plants Committee.
3. The Plants Committee and the CITES Secretariat will seek advice from the Parties, trader organizations and plant specialist groups, to develop a set of criteria which will be evaluated and approved by the Plants Committee in its first meeting after this meeting of the Conference of the Parties (Autumn 1992).
4. The 'Criteria for Registration' will be submitted to the Standing Committee for approval immediately after that meeting and, when approved, both documents will be circulated to the Parties for adoption through postal procedures.

Before the end of the meeting of the Conference of the Parties, the Plants Officer of the CITES Secretariat will organize a meeting to discuss these criteria with all interested Parties and organizations present here in Kyoto.

## DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES\*

### Nursery Registration

NOTING that Resolution Conf. 5.15, adopted at the fifth meeting of the Conference of the Parties (Buenos Aires, 1985), provided an initiative for plant nursery registration, but that such a registration has never been communicated to the CITES Secretariat;

CONSIDERING that a uniform implementation of the provisions of the Convention is necessary for it to function well;

#### THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS with regard to plant nursery registration:

- a) that the Parties provide to the Secretariat, for registration, all appropriate information on the nurseries located in their territories which regularly produce artificially propagated specimens of Appendix-I plant species and inter-generic hybrids thereof for commercial purposes to which Article VII, paragraph 4, of the Convention applies;
- b) that the criteria for such registration be prepared by the Secretariat in consultation with the Plants Committee, and other appropriate experts, and be communicated to the Parties by means of a Secretariat Notification to the Parties following their approval by the Standing Committee;
- c) that each registered nursery be inspected on an annual basis by a plant specialist from the Management or Scientific Authority or other qualified entity appointed by the Management Authority of the State in which it is located, and that the results of these inspections, including the list of the Appendix-I species propagated, be communicated to the Secretariat before the 15 May of each year;
- d) that in accordance with Article VII, paragraph 4, of the Convention, Parties strictly implement the provisions of Article IV with respect to specimens of species included in Appendix I originating from operations which artificially propagate such specimens for commercial purposes (taking into account Resolution Conf. 8.##; see Annex to document Doc. 8.27);
- e) that comparable documentation granted under Article X of the Convention for artificially propagated specimens of Appendix-I species by States which are not party to the Convention not be accepted by the Parties without consultation with the Secretariat; and
- f) that notwithstanding the right of each Party to remove a nursery in that country from the Register, any Party which becomes aware of a failure of a registered nursery to comply satisfactorily with the requirements for inclusion in the Register may propose to the Secretariat that such a nursery be deleted from the Register, but that the Secretariat only make the deletion after consultation with the Party concerned;

DIRECTS the Secretariat to compile, critically evaluate and update a Register of the nurseries which artificially propagate specimens of plant species included in Appendix I and their hybrids for commercial purposes, on the basis of information received from the Parties and to communicate this Register to the Parties; and

DECIDES that Resolution Conf. 5.15 (Buenos Aires, 1985) be repealed.

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\* This document has been prepared by Committee I on the basis of document Doc. 8.28 Annex 1.

CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES  
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Eighth Meeting of the Conference of the Parties  
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DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES\*

Recognition of the Benefits of Trade in Wildlife

NOTING that the majority of species of wild fauna and flora which CITES seeks to protect and enhance occur in the developing countries of the world;

RECOGNIZING that the sustainable use of wild fauna and flora whether consumptive or non-consumptive, provides an economically competitive land-use option;

BEING AWARE that, unless conservation programmes take into account the needs of local people and provide incentives for sustainable use of wild fauna and flora, conversion alternative forms of land use may occur;

RECOGNIZING that over-utilization is detrimental to the conservation of wild fauna and flora;

RECOGNIZING further that legal trade should not lead to increases in illegal trade anywhere in the range;

RECOGNIZING further that the returns from legal use may provide funds and incentives to support the management of wild fauna and flora to contain the illegal trade;

ACKNOWLEDGING that the aesthetic, scientific, cultural, recreational and other largely non-consumptive uses of wild fauna and flora are also of enormous importance;

RECOGNIZING that there are many species for which trade would be detrimental to their survival;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOGNIZES that commercial trade may be beneficial to the conservation of species and ecosystems and/or to the development of local people when carried out at levels that are not detrimental to the survival of the species in question.

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\* This document has been prepared and approved by Committee I on the basis of document Doc. 8.48 Annex.

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DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES\*

Additional Criteria for the Establishment of Captive-Breeding Operations  
and for the Assessment of Ranching Proposals for Crocodylians

RECALLING that certain species of crocodylians were included in Appendix I in 1973 at the Plenipotentiary Conference;

RECOGNIZING that, since such inclusion, it has been demonstrated that certain populations of these species are more appropriately included in Appendix II, and that their transfer thereto has been subject to various conditions;

NOTING that transfer of populations from Appendix I to Appendix II, or their retention in Appendix II may be accomplished with reference to Resolution Conf. 1.2 adopted at the first meeting of the Conference of the Parties (Berne, 1976) or Conf. 3.15 adopted at the third meeting of the Conference of the Parties (New Delhi, 1981) or Conf. 7.14 adopted at the seventh meeting of the Conference of the Parties (Lausanne, 1989), and that there is a need to clarify the associated mechanisms, conditions and controls;

AWARE that ranching of crocodylians on the basis of controlled egg or hatchling collection can be potentially a valuable, positive conservation tool, whereas taking of wild adult animals needs more careful control;

CONSCIOUS of the danger of providing greater incentives for the establishment of captive-breeding operations which may damage efforts to conserve wild populations, than for ranching operations which, in principle, are more beneficial to crocodylian conservation;

CONSIDERING the recommendations and the general intent of Resolutions Conf. 2.12, 3.15, 4.15, 5.21, 6.17, 6.21, 6.22, 7.10 and 7.14 adopted respectively at the second (San José, 1979), third (New Delhi, 1981), fourth (Gaborone, 1983), fifth (Buenos Aires, 1985), sixth (Ottawa, 1987) and seventh (Lausanne, 1989) meetings of the Conference of the Parties;

EMPHASIZING that the overriding objective of the Convention is to conserve wild populations of the species listed in the appendices and that positive incentives must be offered to programmes designated to achieve this aim;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS that Parties allowing the establishment of commercial captive-breeding operations for an Appendix-I crocodylian do not allow wild-caught animals to form the breeding stock unless justified in a national management plan demonstrating conservation value;

DIRECTS the Secretariat to include a new captive-breeding operation in its Register of Operations which Breed Specimens of Species Included in Appendix I in Captivity for Commercial Purposes under the provisions of Resolutions Conf. 4.15, 6.21 and 7.10 only when it has been proved that the breeding stock has not been established in a manner not detrimental to the survival of the species in the wild, within its area of natural distribution;

RECOMMENDS also with respect to ranching proposals that:

- a) Parties achieving or having achieved the transfer of their populations of crocodylians to Appendix II under the provisions of Resolution Conf. 3.15 be required to limit the manner of exploitation of wild populations to those

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\* This document has been prepared and approved by Committee I on the basis of document Doc. 8.25 Annex.

techniques described in the proposal and not, for example, to later initiate new short-term programmes for taking wild animals without notifying the Secretariat;

- b) those based solely on egg or hatchling collection be accepted as a matter of routine provided that appropriate inventories, harvest-level controls and monitoring programmes are proposed and that sufficient safeguards are established in the proposal to ensure that adequate numbers of animals are returned to the wild if necessary;
- c) those which include a component of a wild-adult harvest be examined much more stringently than those based purely on egg or hatchling collection; and
- d) any wild-adult harvest component of a ranching proposal normally be limited to a reasonable number commensurate with the control of nuisance animals and sport hunting together; and

RECOMMENDS finally that any Party wishing to establish a long-term commercial harvest of wild adults be required to satisfy the criteria adopted under the Convention and especially the Berne Criteria (Resolution Conf. 1.2) for the transfer of its population to Appendix II.

BUDGET ESTIMATES FOR THE CITES TRUST FUND  
IN SWISS FRANCS  
1993-1994-1995

(Figures provided in USD are only indicative using the exchange rate of; 1 USD = 1.4 CHF)

Description		1993		1994		1995		Total		Notes
		CHF	USD	CHF	USD	CHF	USD	CHF	USD	
1100	11 professional staff posts funded by the Trust Fund; D-1, 2P-5, 3P-4, 3P-3, 2P-2	1,702,400	1,216,000	1,835,400	1,311,000	2,010,400	1,436,000	5,548,200	3,963,000	See Doc. 8.9 Annex 4: Manning Table (Professional Staff)
	Sub-total	1,702,400	1,216,000	1,835,400	1,311,000	2,010,400	1,436,000	5,548,200	3,963,000	
1201	Consultants for COP			77,000	55,000	28,000	20,000	105,000	75,000	
1202	Consultants (general)	70,000	50,000	70,000	50,000	70,000	50,000	210,000	150,000	
1203	Research assistance			25,000	17,857			25,000	17,857	Reduced allocation only to cover assistance during the meeting of the Parties
	Sub-total	70,000	50,000	172,000	122,857	98,000	70,000	340,000	242,857	
1300	9 support staff; 2G-6, 3G-5, 4G-3	753,200	538,000	789,160	563,686	846,804	604,860	2,389,164	1,706,546	See Doc. 8.9 Annex 5: Manning Table (Support Staff)
	Sub-total	753,200	538,000	789,160	563,686	846,804	604,860	2,389,164	1,706,546	
1313	Report writers			56,000	40,000			56,000	40,000	
1314	Conference translators			20,000	14,286			20,000	14,286	
1315	Conference interpreters			73,000	52,143			73,000	52,143	
1316	Temporary assistance COP			112,000	80,000			112,000	80,000	
	Sub-total			261,000	186,429			261,000	186,429	
1601	Regular travel	230,000	164,286	230,000	164,286	230,000	164,286	690,000	492,857	
1602	Regional travel									No allocations
1603	Travel COP	35,000	25,000	126,000	90,000			161,000	115,000	



Description		1993		1994		1995		Total		Notes
		CHF	USD	CHF	USD	CHF	USD	CHF	USD	
	(Secretariat)									
1604	Travel special projects									
1605	Travel for delegates									
1606	Travel for conference staff (COP)			243,000	173,571			243,000	173,571	Additional translation and interpretation services for the 9th meeting of COP
	Sub-total	265,000	189,286	599,000	427,857	230,000	164,286	1,094,000	781,429	
2101	Nomenclature studies for animal species (subcontract with IUCN)	50,400	36,000	51,800	37,000	53,900	38,500	156,100	111,500	
2101	Nomenclature studies for plant species	56,000	40,000	56,000	40,000	56,000	40,000	168,000	120,000	USD 40,000 per year requested by the Plants Committee; see Doc. 8.29, proposal for approval by COP8
2102	Significant-trade study, Animals Committee (IUCN)	49,000	35,000	49,000	35,000	49,000	35,000	147,000	105,000	As per recommendation in Com.I 7.3
2102	Significant-trade study, Animals Committee (WCMC-WTMU)	42,000	30,000	44,100	31,500	46,300	33,071	132,400	94,571	As per recommendation in Com.I 7.3
2102	Significant-trade study, plants	25,000	17,857	25,000	17,857	25,000	17,857	75,000	53,571	As per recommendation in Doc. 8.31
2103	Species in legislation	45,000	32,143	45,000	32,143	45,000	32,143	135,000	96,429	
2104	Identification Manual (animals)	110,000	78,571	115,000	82,143	120,000	85,714	345,000	246,429	In the past the Government of Switzerland has supported the production of the IDM by providing an expert to edit the Manual. From 1990 onwards CITES has to cover the editorial costs of the IDM in addition to its printing cost

Description		1993		1994		1995		Total		Notes
		CHF	USD	CHF	USD	CHF	USD	CHF	USD	
2104	Identification Manual (plants)	20,000	14,286	20,000	14,286	20,000	14,286	60,000	42,857	As per recommendation d) of Resolution Conf. 5.14
2105	Newsletters									To be covered by external funding
2106	Subcontract with WTMU-WCMC for scientific support	140,000	100,000	170,000	121,429	155,000	110,714	465,000	332,143	
	Sub-total	537,400	383,857	575,900	411,357	570,200	407,286	1,683,500	1,202,500	
3201	Meeting of the Standing Committee	37,000	26,429	37,000	26,429	40,000	28,571	114,000	81,429	Reduced to CHF 37,000 in 1993 and 1994. CHF 40,000 allocated in 1995
3202	Meeting of the Animals Committee	37,000	26,429	37,000	26,429	40,000	28,571	114,000	81,429	
3203	Meeting of the Plants Committee	37,000	26,429	37,000	26,429	40,000	28,571	114,000	81,429	As requested by the Plants Committee
3204	Meeting of the African Elephant W.G.									
3205	Meeting of the Panel of Experts on the African Elephant			100,000	71,429			100,000	71,429	Only CHF 100,000 provided for one meeting in 1994
3206	Enforcement seminars and meeting costs	60,000	42,857	60,000	42,857	60,000	42,857	180,000	128,571	Reduced allocation: governments have offered to provide external funding to balance the shortfall
3207	The Kyoto criteria (working group)	10	7	10	7	10	7	30	21	To be decided
	Sub-total	171,010	122,150	271,010	193,579	180,010	128,579	622,030	444,307	
4200	Non-expendable equipment	30,000	21,429	40,000	28,571	50,000	35,714	120,000	85,714	Estimated requirement in view of non-relocation of the Secretariat premises
4201	Expendable equipment	70,000	50,000	70,000	50,000	70,000	50,000	210,000	150,000	

Description		1993		1994		1995		Total		Notes
		CHF	USD	CHF	USD	CHF	USD	CHF	USD	
4300	Premises	70,000	50,000	80,000	57,143	90,000	64,286	240,000	171,429	Non-relocation of the Secretariat unless the Government of Switzerland provides accommodation free of charge
	Sub-total	170,000	121,429	190,000	135,714	210,000	150,000	570,000	407,143	
5101	Computers (maintenance)	16,800	12,000	16,800	12,000	16,800	12,000	50,400	36,000	
5102	Photocopier	21,000	15,000	29,400	21,000	21,000	15,000	71,400	51,000	
5103	Insurance	5,600	4,000	5,600	4,000	5,600	4,000	16,800	12,000	
5104	Office installation									
5105	Other (premises maintenance)	27,000	19,286	30,000	21,429	35,000	25,000	92,000	65,714	Reduced allocation to the minimum
	Sub-total	70,400	50,286	81,800	58,429	78,400	56,000	230,600	164,714	
5201	Reporting costs COP	56,000	40,000	161,000	115,000	56,000	40,000	273,000	195,000	
5202	Other publications and documents (not related to the COP)	28,000	20,000	35,000	25,000	42,000	30,000	105,000	75,000	
5203	Security stamps	45,000	32,143	-22,500	-16,071	-22,500	-16,071	0	0	The negative figures indicate amounts that will be returned to the Trust Fund
	Sub-total	129,000	92,143	173,500	123,929	75,500	53,929	378,000	270,000	
5301	Communications (telex, telephone and postage)	224,000	160,000	280,000	200,000	252,000	180,000	756,000	540,000	
5302	Communications COP	5,600	4,000	42,000	30,000	5,600	4,000	53,200	38,000	
5303	Contingency									
	Sub-total	229,600	164,000	322,000	230,000	257,600	184,000	809,200	578,000	
6000	UNEP overhead (13%)	532,741	380,529	685,200	489,429	592,399	423,142	1,810,340	1,293,100	
	Sub-total	532,741	380,529	685,200	489,429	592,399	423,142	1,810,340	1,293,100	

Description	1993		1994		1995		Total		Notes
	CHF	USD	CHF	USD	CHF	USD	CHF	USD	
GRAND TOTAL	4,630,751	3,307,679	5,955,970	4,254,264	5,149,313	3,678,081	15,736,034	11,240,024	

BUDGET ESTIMATES FOR THE CITES TRUST FUND  
IN SWISS FRANCS

MEDIUM TERM PLAN 1993-1998

(figures provided in USD are only indicative, using the exchange rate of; 1 USD = 1.4 CHF)

Line	1993		1994 (COP IX)		1995		1996		1997 (COP X)		1998		
	CHF	USD	CHF	USD	CHF	USD	CHF	USD	CHF	USD	CHF	USD	
1100	Professional staff	1,702,400	1,216,000	1,835,400	1,311,000	2,010,400	1,436,000	2,110,920	1,507,800	2,216,466	1,583,190	2,327,289	1,662,349
1200	Consultants	70,000	50,000	172,000	122,857	98,000	70,000	102,900	73,500	108,045	77,175	113,447	81,034
1300	Support staff	753,200	538,000	1,050,160	750,114	846,804	604,860	889,144	635,103	1,093,000	780,714	980,281	700,201
1600	Travel	265,000	189,286	599,000	427,857	230,000	164,286	241,500	172,500	470,000	335,714	266,254	190,181
2100	Subcontracts	537,400	383,857	575,900	411,357	570,200	407,286	598,710	427,650	628,646	449,033	660,078	471,484
3200	Meetings	171,010	122,150	271,010	193,579	180,010	128,579	189,011	135,008	198,462	141,759	208,385	148,846
4000	Premises and equipment	170,000	121,429	190,000	135,714	210,000	150,000	220,500	157,500	231,525	165,375	243,101	173,644
5100	Computers, photocopier maintenance	70,400	50,286	81,800	58,429	78,400	56,000	82,320	58,800	93,800	67,000	90,758	64,827
5200	Reporting costs	129,000	92,143	173,500	123,929	75,500	53,929	79,275	56,625	185,000	132,143	87,401	62,429
5300	Communications	229,600	164,000	322,000	230,000	257,600	184,000	270,480	193,200	350,000	250,000	298,204	213,003
	Total allocations	4,098,010	2,927,150	5,270,770	3,764,836	4,556,914	3,254,939	4,784,760	3,417,686	5,574,944	3,982,103	5,275,198	3,767,999
6000	UNEP overhead (13%)	532,741	380,529	685,200	489,429	592,399	423,142	622,019	444,299	724,743	517,674	685,776	489,840
9999	GRAND TOTAL	4,630,751	3,307,679	5,955,970	4,254,264	5,149,313	3,678,081	5,406,779	3,861,985	6,299,687	4,499,776	5,960,974	4,257,839

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Eighth Meeting of the Conference of the Parties  
Kyoto (Japan), 2 to 13 March 1992

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES\*

Financing and Budgeting of the Secretariat  
and of Meetings of the Conference of the Parties

RECALLING Resolution Conf. 7.2 adopted at the seventh meeting of the Conference of the Parties (Lausanne, 1989);

HAVING REVIEWED the 1989 and 1990 accounts submitted by the Secretariat and approved by the Standing Committee at its 21st, 23rd and 24th meetings;

HAVING NOTED the revised estimates of expenditures for 1991 and 1992 presented by the Secretariat (Doc. 8.8) as approved by the Standing Committee at its 24th meeting;

HAVING REVIEWED the 1993-1995 budget estimates submitted by the Secretariat (Doc. 8.9);

HAVING REVIEWED also the 1993-1998 medium-term budget estimates (Doc. 8.9);

RECOGNIZING that regular funding by UNEP ceased after 1983 and that the funding of the Secretariat and of meetings of the Conference of the Parties is now solely the responsibility of the Parties;

ACKNOWLEDGING with appreciation the support provided to the Secretariat by the Executive Director of UNEP, which has provided, as an interim measure, direct financial assistance to cover the substantial shortage in financial resources in the first half of 1990 and at the beginning of 1992;

ACKNOWLEDGING that the financial amendment to the Convention, adopted in Bonn in 1979, entered into force on 13 April 1987;

ACKNOWLEDGING that the German Democratic Republic and the Union of Soviet Socialist Republics no longer exist and are therefore no longer State Parties;

RECOGNIZING the continuing need for administrative and financial arrangements between the Parties and the Executive Director of UNEP;

NOTING the considerable increase in the number of Parties, as well as organizations attending the meetings of the Conference of the Parties as observers, and the resulting additional expenditure incurred by the Secretariat;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

APPROVES the accounts for 1989 and 1990 and TAKES NOTE of the estimates of expenditure for 1991 and 1992;

APPROVES the 1993-1995 budget;

TAKES NOTE of the 1993-1998 medium-term budget estimates;

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\* This document has been prepared and approved by Committee II on the basis of document Doc. 8.11 Annex 2.

REQUESTS that the Executive Director of UNEP, with the approval of the Governing Council of UNEP, seek the consent of the United Nations Secretary General for an extension of the Trust Fund until 31 December 1998, to provide financial support for the aims of the Convention in accordance with the Terms of Reference for the Administration of the Trust Fund for the Convention on International Trade in Endangered Species of Wild Fauna and Flora, attached as the Annex to this Resolution;

APPROVES the Terms of Reference for the Administration of the Trust Fund, attached as an Annex to this Resolution, for the financial periods beginning on 1 January 1993 and ending on 31 December 1998;

#### AGREES

- a) that contributions to the Trust Fund shall be based on the United Nations scale of assessment, as amended from time to time, adjusted to take account of the fact that not all members of the United Nations are Parties to the Convention;
- b) that any other basis of assessment of contributions shall not be used without the consent of all Parties present and voting at a meeting of the Conference of the Parties;
- c) that any change in the basic scale of contributions which would increase the liability of a Party to contribute, or would impose a new such liability, shall not apply to that Party without its consent, and that any proposal to change the basic scale of contributions from that currently in use shall only be considered by the Conference of the Parties if notice of such proposal has been communicated by the Secretariat to all Parties at least 90 days before the meeting;
- d) that Parties should pay their contributions to the Trust Fund in accordance with the agreed scale as in the Table attached to this Resolution and, whenever possible, should make special contributions to the Trust Fund above their assessed contributions; and
- e) to write off the outstanding contributions of the German Democratic Republic and the Union of Soviet Socialist Republics and remove these countries from the contribution list to CITES;

URGES strongly all Parties to pay their contributions as far as possible during the year prior to the one to which they relate or, in any case, promptly by the beginning of the calendar year to which the contributions apply;

APPEALS strongly to those Parties which, for legal or other reasons, have so far been unable to contribute to the Trust Fund to do so;

URGES all Parties which have not yet done so to deposit as soon as possible an instrument of acceptance of the amendments of 22 June 1979 and of 30 April 1983;

INVITES States not party to the Convention, other governmental, inter-governmental and non-governmental organizations, and other sources to consider contributing to the Trust Fund;

INVITES UNEP to put forward to the Global Environment Facility requests by the Secretariat for additional funding of appropriate CITES projects aiming at protecting biodiversity;

DECIDES that the standard participation charge for all observer organizations other than the United Nations and its specialized agencies, as decided at the third meeting of the Conference of the Parties (New Delhi, 1981), be set at a minimum of CHF 250.- (except as otherwise decided by the Secretariat as required) and URGES such organizations to make a greater contribution if possible at least to meet their effective costs of participation;

DIRECTS the Secretariat:

- a) to implement the Procedures for Approval of Externally Funded Projects as developed and approved by the Standing Committee at its 23rd meeting, before accepting any external funds from non-governmental sources; and
- b) to prepare for approval by the Standing Committee and to follow strict procedures for an austere, accountable and effective use of the funds provided for the delegate project; and

APPROVES the Secretariat reports (Doc. 8.6 to Doc. 8.11).

TERMS OF REFERENCE FOR THE ADMINISTRATION OF THE TRUST FUND  
FOR THE CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED  
SPECIES OF WILD FAUNA AND FLORA

1. The Trust Fund for the Convention on International Trade in Endangered Species of Wild Fauna and Flora (hereinafter referred to as the Trust Fund) shall be further continued for a period of six years (1 January 1993 - 31 December 1998) to provide financial support for the aims of the Convention.
2. Pursuant to the Financial Regulations and Rules of the United Nations, the Executive Director of the United Nations Environment Programme (UNEP), with the approval of the Governing Council of UNEP and the Secretary General of the United Nations, shall continue the Trust Fund for the administration of the Convention.
3. The Trust Fund shall cover two financial periods of three calendar years each: the first financial period begins on 1 January 1993 and ends on 31 December 1995; the second financial period begins on 1 January 1996 and ends on 31 December 1998.
4. The appropriations of the Trust Fund for the first financial period shall be financed from:
  - a) the contributions made by the Parties by reference to the attached Table, including contributions from any new Parties which are to be added to the Table;
  - b) contributions from States not party to the Convention, other governmental, inter-governmental and non-governmental organizations and other sources; and
  - c) any uncommitted appropriations from any of the financial periods prior to 1 January 1993.
5. The budget estimates covering the income and expenditure for each of the three calendar years constituting the financial period to which they relate, prepared in Swiss francs, shall be submitted for approval at the regular meeting of the Conference of the Parties to the Convention. Together with the estimates, prepared in Swiss francs, figures may be provided also in US dollars for ease of reference and would only be indicative.
6. The estimates for each of the calendar years covered by a financial period shall be specified according to objects of expenditure, and shall be accompanied by such information as may be required by, or on behalf of, the contributors, and such further information as the Executive Director of UNEP may deem useful and advisable.
7. In addition to the budget estimates for the financial period described in the preceding paragraphs, the Secretary General of the Convention, in consultation with the Standing Committee and the Executive Director of UNEP, shall prepare a medium-term plan as envisaged in Chapter III of Legislative and Financial Texts Regarding the United Nations Environment Programme and the Environment Fund. The medium-term plan will cover the years 1993-1998, inclusive, and will incorporate the budget for the 1993-1995 financial period.
8. The proposed budget and medium-term plan, including all the necessary information, shall be dispatched by the Secretariat to all Parties at least ninety days before the date fixed for the opening of the regular meeting of the Conference of the Parties.
9. The budget shall be adopted by a 3/4 majority of the Parties present and voting at the regular meeting.
10. In the event that the Executive Director of UNEP expects that there might be a shortfall in resources, over the year as a whole, he shall consult with the Secretary General of the Convention, who shall seek the advice of the Standing Committee as to its priorities for expenditure.
11. Upon the request of the Secretary General of the Convention, after seeking the advice of the Standing Committee, the Executive Director of UNEP should, to the extent consistent with the Financial Regulations and Rules of the United Nations, make transfers from one object of expenditure to another. At the end of any calendar year of a financial period, the Executive Director of UNEP may proceed to transfer any uncommitted balance of appropriations to the



following calendar year, provided that the total budget approved by the Parties for the triennium shall not be exceeded unless this is specifically sanctioned in writing by the Standing Committee.

12. Commitments against the resources of the Trust Fund may be made only if they are covered by the necessary income of the Convention.
13. All contributions shall be paid in any convertible currency. The amount of any payment, however, shall be at least equal to the amount payable in Swiss francs on the day the contribution is made. Contributions from States that become Parties after the beginning of the financial period should be made on a pro-rata basis for the balance of the financial period.
14. At the end of each calendar year of a financial period, the Executive Director of UNEP shall submit to the Parties the accounts for the year. He shall also submit, as soon as practicable, the audited accounts for the financial period.
15. The Secretary General of the Convention shall provide the Standing Committee with an estimate of proposed expenditure over the coming calendar year simultaneously with, or as soon as possible after, distribution of the accounts and reports referred to in the preceding paragraphs.
16. The general procedures governing the operations of the Fund of UNEP and the Financial Regulations and Rules of the United Nations shall govern the financial operations of the Trust Fund for the Convention.
17. These Terms of Reference shall be effective for the financial periods of 1 January 1993 to 31 December 1998 subject to amendments at the ninth meeting of the Conference of the Parties.

SCALE OF CONTRIBUTIONS OF STATES PARTIES  
FOR THE CITES TRUST FUND IN SWISS FRANCS  
1993/1994/1995  
(amounts in USD are only indicative; 1 USD = 1.4 CHF)

Party	UN Scale (%)	Total 1993-1995		Annual Contribution	
		CHF	USD	CHF	USD
Afghanistan	0.01	1,648	1,177	549	392
Algeria	0.16	26,372	18,837	8,791	6,279
Argentina	0.57	93,951	67,107	31,317	22,369
Australia	1.51	248,889	177,775	82,963	59,258
Austria	0.75	123,620	88,299	41,207	29,433
Bahamas	0.02	3,297	2,355	1,099	785
Bangladesh	0.01	1,648	1,177	549	392
Belgium	1.06	174,717	124,796	58,239	41,599
Belize	0.01	1,648	1,177	549	392
Benin	0.01	1,648	1,177	549	392
Bolivia	0.01	1,648	1,177	549	392
Botswana	0.01	1,648	1,177	549	392
Brazil	1.59	262,075	187,194	87,358	62,398
Brunei Darussalam	0.03	4,945	3,532	1,648	1,177
Bulgaria	0.13	21,428	15,305	7,143	5,102
Burkina Faso	0.01	1,648	1,177	549	392
Burundi	0.01	1,648	1,177	549	392
Cameroon	0.01	1,648	1,177	549	392
Canada	3.11	512,612	366,146	170,871	122,049
Central African Republic	0.01	1,648	1,177	549	392
Chad	0.01	1,648	1,177	549	392
Chile	0.08	13,186	9,419	4,395	3,140
China	0.77	126,917	90,653	42,306	30,218
Colombia	0.13	21,428	15,305	7,143	5,102
Congo	0.01	1,648	1,177	549	392
Costa Rica	0.01	1,648	1,177	549	392
Cuba	0.09	14,834	10,596	4,945	3,532
Cyprus	0.02	3,297	2,355	1,099	785
Czechoslovakia	0.55	90,655	64,752	30,218	21,584
Denmark	0.65	107,138	76,526	35,713	25,509
Djibouti	0.01	1,648	1,177	549	392
Dominican Republic	0.02	3,297	2,355	1,099	785
Ecuador	0.03	4,945	3,532	1,648	1,177
Egypt	0.07	11,538	8,241	3,846	2,747
El Salvador	0.01	1,648	1,177	549	392
Ethiopia	0.01	1,648	1,177	549	392
Finland	0.57	93,951	67,107	31,317	22,369
France	6.00	988,962	706,391	329,654	235,464
Gabon	0.02	3,297	2,355	1,099	785
Gambia	0.01	1,648	1,177	549	392
Germany	8.93	1,471,905	1,051,345	490,635	350,448
Ghana	0.01	1,648	1,177	549	392
Guatemala	0.02	3,297	2,355	1,099	785
Guinea	0.01	1,648	1,177	549	392
Guinea-Bissau	0.01	1,648	1,177	549	392
Guyana	0.01	1,648	1,177	549	392
Honduras	0.01	1,648	1,177	549	392
Hungary	0.18	29,669	21,192	9,890	7,064
India	0.36	59,338	42,383	19,779	14,128
Indonesia	0.16	26,372	18,837	8,791	6,279
Iran, Islamic Republic of	0.77	126,917	90,653	42,306	30,218
Israel	0.23	37,910	27,078	12,637	9,026

Party	UN Scale (%)	Total 1993-1995		Annual Contribution	
		CHF	USD	CHF	USD
Italy	4.29	707,108	505,069	235,703	168,357
Japan	12.45	2,052,096	1,465,761	684,032	488,587
Jordan	0.01	1,648	1,177	549	392
Kenya	0.01	1,648	1,177	549	392
Liberia	0.01	1,648	1,177	549	392
Liechtenstein	0.01	1,648	1,177	549	392
Luxembourg	0.06	9,890	7,064	3,297	2,355
Madagascar	0.01	1,648	1,177	549	392
Malawi	0.01	1,648	1,177	549	392
Malaysia	0.12	19,779	14,128	6,593	4,709
Malta	0.01	1,648	1,177	549	392
Mauritius	0.01	1,648	1,177	549	392
Mexico	0.88	145,048	103,604	48,349	34,535
Monaco	0.01	1,648	1,177	549	392
Morocco	0.03	4,945	3,532	1,648	1,177
Mozambique	0.01	1,648	1,177	549	392
Namibia	0.01	1,648	1,177	549	392
Nepal	0.01	1,648	1,177	549	392
Netherlands	1.50	247,241	176,598	82,414	58,866
New Zealand	0.24	39,558	28,256	13,186	9,419
Nicaragua	0.01	1,648	1,177	549	392
Niger	0.01	1,648	1,177	549	392
Nigeria	0.20	32,965	23,546	10,988	7,849
Norway	0.55	90,655	64,752	30,218	21,584
Pakistan	0.06	9,890	7,064	3,297	2,355
Panama	0.02	3,297	2,355	1,099	785
Papua New Guinea	0.01	1,648	1,177	549	392
Paraguay	0.02	3,297	2,355	1,099	785
Peru	0.06	9,890	7,064	3,297	2,355
Philippines	0.07	11,538	8,241	3,846	2,747
Poland	0.47	77,469	55,334	25,823	18,445
Portugal	0.20	32,965	23,546	10,988	7,849
Russian Federation	9.41	1,551,022	1,107,856	517,007	369,285
Rwanda	0.01	1,648	1,177	549	392
Saint Lucia	0.01	1,648	1,177	549	392
Saint Vincent and the Grenadines	0.01	1,648	1,177	549	392
Senegal	0.01	1,648	1,177	549	392
Seychelles	0.01	1,648	1,177	549	392
Singapore	0.12	19,779	14,128	6,593	4,709
Somalia	0.01	1,648	1,177	549	392
South Africa	0.41	67,579	48,270	22,526	16,090
Spain	1.98	326,357	233,109	108,786	77,703
Sri Lanka	0.01	1,648	1,177	549	392
Sudan	0.01	1,648	1,177	549	392
Suriname	0.01	1,648	1,177	549	392
Sweden	1.11	182,958	130,682	60,986	43,561
Switzerland	1.16	191,199	136,569	63,733	45,523
Tanzania, United Republic of	0.01	1,648	1,177	549	392
Thailand	0.11	18,131	12,950	6,044	4,317
Togo	0.01	1,648	1,177	549	392
Trinidad and Tobago	0.05	8,241	5,887	2,747	1,962
Tunisia	0.03	4,945	3,532	1,648	1,177
Uganda	0.01	1,648	1,177	549	392
United Arab Emirates	0.21	34,614	24,724	11,538	8,241
United Kingdom of Great Britain and Northern Ireland	5.02	827,432	591,014	275,811	197,005
United States of America	25.00	4,120,675	2,943,295	1,373,558	981,098
Uruguay	0.04	6,593	4,709	2,198	1,570
Vanuatu	0.01	1,648	1,177	549	392
Venezuela	0.49	80,765	57,689	26,922	19,230

Party	UN Scale (%)	Total 1993-1995		Annual Contribution	
		CHF	USD	CHF	USD
Zaire	0.01	1,648	1,177	549	392
Zambia	0.01	1,648	1,177	549	392
Zimbabwe	0.01	1,648	1,177	549	392
<b>Total</b>	95.47	15,736,034	11,239,856	5,245,345	3,746,619

Note: 95.47 = 100%

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

Eighth Meeting of the Conference of the Parties  
Kyoto (Japan), 2 to 13 March 1992

SUMMARY REPORT OF THE BUDGET COMMITTEE MEETING

Second Session: 5 March 1992: 09h05-12h15

Chairman:	M. Hosking (New Zealand)
Secretariat:	I. Topkov J. Flores O. Owolabi
UNEP:	A.T. Brough
Rapporteur:	G. Furness

Opening the session at 09h05, the Chairman said he had asked the Chairmen of other Committees and some observers with an interest in certain budget lines to consult with the Committee at about 10h00.

3. Budget for 1993-1995 and Medium-term Plan for 1993-1994

Resuming the discussion on including two translators in line 1100 of document Doc. 8.9 Annex 1, the Secretary General emphasized that, while he did not want to appear fanatical regarding inclusion of these positions, the use of other professional staff for translation was not a rational use of the Secretariat's human resources. In the period leading up to the meeting of the Conference of the Parties, the Deputy Secretary General and the Scientific Coordinator had devoted a very large proportion of their time to translation. Accurate translation was extremely important and if the new positions were not included, the other staff would continue to do this work. Two possible solutions were suggested: the hiring of one translator for both French and Spanish (which would be expensive); or hiring translators only for the six-month period preceding the next meeting (but the fees for such arrangements are increasing faster than salaries). As the addition of staff related to the question of premises, the Secretary General suggested that the Committee consider the matter of translators during the discussion of the budget line for new offices.

The delegation of the United States of America felt that the question of premises presented a new element. The delegation of Japan supported the appointment of two translators as more efficient than the current arrangement. In response to a query from the delegation of Canada, the Secretary General agreed that it would be possible but not desirable to have translators physically located outside the Secretariat. He also noted that if the translators were hired, other budget lines related to the meeting of the Conference of the Parties could be cut. There would be room in the Secretariat premises for one multilingual translator, but the Secretariat noted that secretarial support would still be necessary. The Chairman concluded the discussion, feeling that there was consensus for keeping the two translator positions in line 1100.

In response to a question from the delegation of the United States of America about budget lines 1201-1203 (consultants and research assistance), the Secretary General stated that, if translators were not hired, the amounts of these budget lines would be even higher. After clarification of the amounts included, the Committee agreed to leave these lines intact.

With the concurrence of the Secretary General, the Committee agreed to delete from the budget the secretary to the regional officers and the typist who had been provided for in the previous budget, but not hired, making a saving of CHF 166,000, including salaries, benefits, etc. (NB: the savings mentioned in this and subsequent paragraphs include the

13 per cent UNEP overhead charge and, unless otherwise stated, are for the year 1993. As appropriate, the amounts for 1994 and 1995 have also been correspondingly reduced.)

The Secretary General clarified that the items covered in line 1321 for 1992 were the same as those covered in lines 1313-1316 for 1994 which all related to the 1994 meeting of the Conference of the Parties. He requested that the minutes record the thanks of the Secretariat and the Parties for the willingness of the interpreters, translators, rapporteurs, and other temporary staff to accept less than the full fees and a lower class of travel than those to which they are entitled. He also noted that, as required by United Nations rules, the amounts reflect the costs of holding the meeting at headquarters in Lausanne or Nairobi. He added that Japan had provided the typists for this meeting.

The Committee agreed to accept lines 1313 to 1316.

Regarding lines 1601-1606 related to travel, the Secretary General noted that removal of the two regional officer positions from the budget also removed the amount required for their travel, making a saving of CHF 126,000. He asked that the minutes reflect thanks to the donors which had funded travel of delegates to the eighth meeting. The delegation of France asked why regular travel for 1993 was almost twice anticipated expenditures for 1992. The Secretary General noted that inflation played a big role and that the figure in 1992 was low because there would be no travel during the first four months unrelated to the meeting of the Conference of the Parties. The travel budget also reflected the many enforcement seminars planned for 1993. After discussion of this issue the Secretary General reluctantly accepted reducing regular travel in 1993 to CHF 230,000, making a saving of CHF 57,000 and this was agreed.

The Chairmen of the Animals and Nomenclature Committees, the ex-Chairman of the Identification Manual Committee and the observer from the World Conservation Monitoring Centre (WCMC) participated in the discussions of lines 2101-2106. The Chairman of the Budget Committee noted that line 2101 (Nomenclature studies for animals and plants) had already been approved in a plenary session. The discussion clarified that the amounts in line 2102 (Significant-trade study, animals - IUCN) referred to work conducted under a contract with IUCN (by the Species Survival Commission's Trade Specialist Group), which had permitted continued monitoring of species and raised about USD 350,000 for field studies in 1991 alone.

The Secretary General stated that the data collection funded through line 1203 (Species in legislation) is an effort to build a database of national legislation on species, is extremely important, and the work should be finished. The Parties should be strongly urged to use the data. Once the basic data are collected, the costs will diminish.

The Secretary General pointed out that the amounts in line 1204 for the Identification Manual had increased because Switzerland was no longer funding the Manual. If the Parties were to fulfil their pledges to provide data sheets on the species the listing of which they had proposed, Switzerland might resume its sponsorship. Work on the Manual for plants must get under way. The Secretary General asked that the minutes reflect the expression of gratitude to the delegation of Switzerland for all the work devoted to the Manual and noted that the Secretariat would seek additional external funding for the Manual.

The Committee agreed to retain the amounts proposed for lines 2101-2104 but decided, on the recommendation of the delegation of Canada, to delete line 2105 (Newsletters -- which also includes other forms of public relations), recommending that external funding be sought for this important work. Thanks for past support and future assistance in this effort were expressed to the Conservation Treaty Support Fund.

After some additional discussion on whether any further cuts could be made in the 2100 budget lines, which the delegation of the United States of America described as the heart and soul of the Convention, the observer from WCMC provided a lengthy justification for increasing the amounts provided in line 2106 (Subcontract with WTMU-WCMC for scientific support). He stressed that, although the trade database maintained was vital to the Secretariat's fulfilment of Article XII of the Convention, the level of support has dropped in real terms since 1987, despite significant increases in the number of Parties and the volume of trade. In effect, WCMC was subsidising CITES, and this could not continue. New software, which may increase efficiency, was close to completion and might result in savings which would be passed back to the Secretariat. Despite WCMC's commitment to CITES, it would have to consider reducing services which would be hard to reinstate later.

The Chairman thanked WCMC for its commitment and support to CITES over the years. The delegation of Switzerland concurred but noted that some data collected on such items as small leather articles was unnecessary. It was agreed that the Committee would come back to line 2106 after the analysis of other budget lines had been completed.

The Chairman of the Animals Committee expressed concern at the lack of co-ordination and setting of priorities for significant-trade studies undertaken by IUCN. The delegation of the United States of America recommended that the Committee flag this issue and stress the need for co-ordination between the Animals Committee, the Secretariat and IUCN. The observer from IUCN noted that money raised did not necessarily relate to priorities and also suggested that producer States may well have access to funding which could be applied to studies. It was recommended that the word Committee be added after "Animals" in both items under line 2102.

After considerable discussion of lines 3201-3205, the Committee agreed to set the amounts provided for the meetings of the Standing Committee, Animals Committee and Plants Committee to CHF 37,000 in 1993 and 1994, and CHF 40,000 in 1995, and to eliminate funding for meetings of the Panel of Experts on the African Elephant in 1993 and 1995, as they were unlikely to be necessary in those years. The Secretary General reported that the Africa Region was proposing to increase the number of its representatives attending the Standing Committee meetings. At the urging of the delegation of the United States of America, the Budget Committee agreed that the minutes should reflect the difficulty in funding participation of additional regional representatives.

With regard to funding the "Kyoto criteria" working group, the Chairman noted that guidance as to probable costs was not yet available. The Committee agreed that its report should state that the budget presented at the end of its deliberations would have to be increased to provide funding for this working group.

The delegation of France felt that enforcement seminars and meetings (line 3206) were very effective and should be funded as proposed in the budget. However, as the delegations of Japan and the United States of America indicated that their governments would make substantial external funding available for this purpose, and the observer from the Conservation Treaty Support Fund (serving as rapporteur) said they would provide some funding for seminars proposed to be held in 1992 and 1993, the Committee agreed to reduce line 3206 to CHF 60,000 in each year. Nevertheless, the minutes were to make clear that the Committee felt that strong support for enforcement training should be a high priority.

At the suggestion of the Secretary General, line 4200 (Non-expendable equipment) was reduced to CHF 30,000 in 1993, CHF 40,000 in 1994, and CHF 50,000 in 1995. The Committee accepted his urging that line 4201 (Expendable equipment) not be cut.

There was considerable discussion about the Secretariat's need for larger premises (line 4300). The current space is half as big as that required under United Nations and UNEP rules. The Secretary General and the representative of UNEP described the efforts undertaken with the Swiss Government to find space for the Secretariat and other conservation organizations and the possibility that larger rent-free space might be made available close to Geneva. The Chairman urged that a strong message be sent to UNEP and to the Swiss Government to find a solution, and delegations expressed concern that the Secretariat not be required to move twice. The Secretary General noted that the Parties might consider removal of the Secretariat to another country. In view of the uncertainties, the Secretary General suggested and the Committee accepted reducing the amounts in line 4300 to CHF 70,000 in 1993, CHF 80,000 in 1994 and CHF 90,000 in 1995.

The Chairman then adjourned the meeting at 12h15, to resume at 14h00.

INTERNATIONAL TRADE IN ENDANGERED SPECIES  
OF WILD FAUNA AND FLORA

Eighth Meeting of the Conference of the Parties  
Kyoto (Japan), 2 to 13 March 1992

SUMMARY REPORT OF THE BUDGET COMMITTEE MEETING

Third Session: 5 March 1992: 14h10-15h45

Chairman:	M. Hosking (New Zealand)
Secretariat:	I. Topkov J. Flores O. Owolabi
UNEP:	A.T. Brough
Rapporteur:	G. Furness

3. Budget for 1993-1995 and Medium-term Plan for 1993-1998

The Chairman opened the meeting at 14h10 and called on the representative of UNEP to provide the language for the draft budget resolution on arrears requested during the first session. The Committee agreed to recommend an amended text as follows:

AGREES that no further efforts should be made to collect outstanding contributions from the former USSR and the former German Democratic Republic for the years prior to 1991, due to the cessation of these States as legal entities and that the amounts involved should be written off from the accounts of the Trust Fund. Arrears of other Parties should not be written off.

The Chairman suggested that as new premises for the Secretariat did not appear to be in the offing soon, the question of the translators should be revisited. The Secretary General felt that at least one translator was needed, and the delegation of France felt that two were required, given that the Convention has three official languages. The Secretary General indicated that space could be found for two translators, e.g. at the university; it was impossible to discriminate between the languages. The delegation of the United States of America, agreed on the need, but remained concerned about costs. The delegation of Australia felt that developing countries Parties to CITES, which were largely French- and Spanish-speaking, had great need for documents in their languages. The Chairman concluded that there was agreement on including two translators in the budget, although the concerns of the delegation of the United States of America should be noted.

Regarding line 5104 (Office installation), the Secretary General agreed that this line could be dropped. Funding could be found in rent saved if rent-free premises at Versoix (Switzerland) were offered, and the Swiss Government might contribute external funding for other purposes which could free other funds for office installation. Funds allocated for office installation in 1992 could also be carried over. The Committee agreed to reduce to zero the line for office installation, saving CHF 316,000 in 1993.

The Secretary General suggested that lines 5101-5103, relating to computer maintenance, photocopier and insurance, should be retained as proposed, but line 5105 (Premises maintenance) could be reduced to CHF 27,800 in 1993, CHF 30,000 in 1994 and CHF 35,000 in 1995. The Committee agreed.

Budget lines 5201-5203 and 5301-5303 were accepted as proposed after some discussion and general agreement on the importance of communications to the Secretariat. It was suggested that Parties would find it much cheaper to use E-mail rather than fax to communicate.



The Chairman then reopened the question of funding the "Kyoto criteria" working group. The delegation of Japan announced that their government would contribute funding, and the delegation of the United States of America expressed appreciation and said they would also contribute. It was agreed to include a budget line of CHF 1 for the working group.

The delegation of Canada asked for the current budget total, following the reductions agreed by the Committee. The triennium total was CHF 15,827,421, which would be divided by three for calculating the scale of contributions to the Trust Fund. The current total for 1993 was CHF 4,654,000. In response to a query from the delegation of the Russian Federation, the representative of UNEP indicated that the Russian contribution percentage would be reduced from that of the former USSR as a result of the three Baltic Republics becoming independent and added that it had not been the practice to recalculate the percentages of contributions as new Parties adhered to the Convention, but this could be done with effect from the following year if the Parties so desired.

It was agreed that Czechoslovakia and Djibouti should be included in the scale of contributions since they would be Parties in 1993.

The delegation of the United States of America requested that the following statement be recorded in the minutes:

The United States of America is prepared to provide a voluntary contribution of USD 375,000 to CITES for 1992. We expect to be able to make an additional contribution once the Congressional appropriations process for fiscal year 1992 is completed. While we can not predict the final outcome, it is unlikely that our total contribution for 1993 will be significantly higher than previous levels.

The Chairman then asked the Committee to take up WCMC's request for an increase in line 2106. After discussion, it was agreed to ask the Secretariat to make minor adjustments in other budget lines in order to come up with at least part of the increase requested. Some members of the Committee asked that the Chairman review the adjustments prior to submitting his report to Committee II and, at the Chairman's suggestion, it was agreed that the Committee would meet briefly at 08h30 on 6 March to review the revisions.

The Secretary General stated that the draft Medium-term Plan includes only five per cent for inflation and would be adjusted to take into account the changes made by the Committee in the 1993-1995 budget. As there was no further comment, the Chairman concluded that work on document Doc. 8.9 was completed.

#### 4. External Funding

After the Secretary General requested that the Committee record his and the Parties' thanks for the external funding provided for the period October 1989 to February 1992, it was agreed to forward document Doc. 8.10 to Committee II.

The Secretary General indicated that some projects had already been approved by the Standing Committee and that the Committee should note that some of the funding requested in the budget had been transferred for external funding.

The following changes were agreed to the draft resolution in Annex 2 to document Doc. 8.11:

in the second paragraph of the preamble, the text "1989, 1990 and 1991" should be amended to read 1989 and 1990;

in the third paragraph of the preamble, the words 1991 and should be inserted before the year "1992";

the first operative paragraph, should be amended to read: APPROVES the accounts for 1989 and 1990 and TAKES NOTE of the estimates of expenditure for 1991 and 1992; and

in the seventh operative paragraph, the word "REQUESTS" should be amended to read URGES strongly.

The Parties represented in the Committee requested that the minutes note that approval and forwarding of the revised budget by the Budget Committee to Committee II did not require the approval of the individual delegations which comprised the Committee. The Chairman instructed the rapporteur to report fully on the deliberations of the Committee, including specific statements which members and the Committee as a whole had asked be included into the record.

The Chairman adjourned the meeting at 15h45.

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

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Eighth Meeting of the Conference of the Parties  
Kyoto (Japan), 2 to 13 March 1992

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES\*

Use of Coded-Microchip Implants for Marking Live Animals in Trade

RECOGNIZING the increasing wide use of coded-microchip implants for the secure identification of animals, both within zoological gardens and for high value personal pets;

RECOGNIZING also the potential for the application of this method for the regulation of trade in certain other live animals listed in the appendices to the Convention;

CONCERNED that any such method employed to identify live animals in trade be uniform in its application;

RECALLING that Resolution Conf. 7.12 adopted at the seventh meeting of the Conference of the Parties (Lausanne, 1989) recommended that the Animals Committee address further the issue of marking requirements for the identification of specimens of look-alike species for the purpose of developing practical marking strategies and systems, and that the use of coded-microchip implants be adopted on a trial basis on a sample range of high value Appendix-I taxa as determined by the Animals Committee and Parties involved;

NOTING that Management Authorities may permit the movement of travelling exhibitions or circuses without permits or certificates pursuant to Article VII, paragraph 7, of the Convention;

MINDFUL that the provisions of Article VI (7) allow the Management Authority to determine appropriate methods of marking specimens for the purposes of assisting in identification;

AWARE that the IUCN/SSC Captive Breeding Specialist Group has undertaken an extensive review of the application of coded-microchip implants;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS

- a) that Parties, where possible and appropriate, and without excluding the use of other methods, adopt the use of implantable transponder microchips for the secure identification of live Appendix-I animals of species identified in accordance with advice received from the IUCN/SSC Captive Breeding Specialist Group;
- b) that Parties consider the findings of the IUCN/SSC Captive Breeding Specialist Group regarding frequency, size of transponder and sterility of microchip as well as registration procedures within the central data bank;
- c) that microchip implants be applied, where consistent with the well-being of the specimens concerned;
- d) that methods of secure identification such as microchip implants be also applied to animals listed in Appendix I or Appendix II that are used in travelling exhibitions or circuses;
- e) that the location of implanted microchips be standardized according to advice from the IUCN/SSC Captive Breeding Specialist Group;

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\* This document has been prepared and approved by Committee I on the basis of document Doc. 8.33.

- f) that all microchip codes and related technical information needed to identify the transponder data be recorded on all relevant CITES documents;
- g) that all Parties have access to a central data bank of microchip codes used to identify live Appendix-I specimens and include such information in their annual reports to the Secretariat;
- h) that the Secretariat liaise with the appropriate authority regarding access to and financial arrangements with the International Species Information System (ISIS) which has agreed to record in its database transponder numbers used by Parties, in order to establish a central repository for registration of microchip codes.
- i) that Parties make provisions in the budget of the Secretariat to assist Parties requesting support in acquiring this technology; and
- j) that persons and/or organizations using this technology made available through the Secretariat be charged an appropriate fee; and

#### DIRECTS

- a) the Secretariat to urge all manufacturers of transponders to strive towards the production of compatible equipment that is able to be applied universally; and
- b) the Animals Committee to monitor developments in microchip-implant technology and advise the Secretariat for the information of the Parties.

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

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Eighth Meeting of the Conference of the Parties  
Kyoto (Japan), 2 to 13 March 1992

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES\*

The Trade in Wild-Caught Animal Specimens

ACKNOWLEDGING that international concern has been focused on serious conservation problems which currently exist in the trade in wild-caught animals, including birds;

RECOGNIZING that further examination of these problems by the Animals Committee, in fulfilment of the responsibilities assigned to it by Resolution Conf. 6.1, adopted at the sixth meeting of the Conference of the Parties (Ottawa, 1987), has revealed that these problems are representative of difficulties in the implementation of the Convention for animal species in general;

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

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

RECALLING that Resolution Conf. 2.6 adopted at the second meeting of the Conference of the Parties (San José, 1979) provides a mechanism by which any Party deeming any Appendix-II or -III species to be traded in a manner detrimental to the survival of that species may consult directly with the Management Authority of the country involved with the assistance of the Secretariat if required and take stricter domestic measures where appropriate;

RECALLING that Resolution Conf. 4.7 adopted at the fourth meeting of the Conference of the Parties (Gaborone, 1983) notes that many Parties exporting Appendix-II wildlife are not effectively implementing Article IV, and recognizes that all Parties benefit from management of Appendix-II species that ensures the continued availability of these resources;

RECALLING that in adopting Resolution Conf. 6.1, the Parties established the Animals Committee with the charge that it: establish a list of those animal taxa included in Appendix II which are considered as being significantly affected by trade, and review and assess all available biological and trade information, including mortality in capture and pre-export handling of live animals exported under the Convention, and formulate recommendations for remedial measures for those species for which trade is believed to be having a detrimental effect;

CONCERNED that the necessary population assessments, monitoring programme, and appropriate remedial measures for Appendix-II species are not always being undertaken in order to maintain species at levels above which they might become eligible for inclusion in Appendix I;

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\* This document has been prepared and approved by Committee II on the basis of documents Doc. 8.23.2, Doc. 8.35 and Doc. 8.35.1.

## THE CONFERENCE OF THE PARTIES TO THE CONVENTION

### RECOMMENDS

- a) that the Animals Committee, in co-operation with the Secretariat and experts, continue its systematic review of biological and trade information of Appendix-II species with a view to identifying problems and making recommendations with respect to the implementation of Article IV; and
- b) that the Animals Committee report to each meeting of the Conference of the Parties on the progress of this review, and on the measures adopted and those recommended to implement Article IV for Appendix-II species subject to significant trade;

DIRECTS the Animals Committee, in consultation with range States:

to make specific recommendations, through the Secretariat, for all species listed in the Report of the Animals Committee, Review of CITES Significant Trade Species (Doc. 8.30), and for other species it may identify, as a result of its continuing review, with the aim of ensuring the implementation of Article IV, paragraphs 2(a) and 3. Such recommendations shall be either primary or secondary recommendations:

- i. primary recommendations include, for example, administrative procedures, specific quotas, zero quotas, or temporary restrictions on exports of the species concerned; and
- ii. secondary recommendations include for example, administrative procedures, field studies or evaluation of other threats to populations or other relevant factors, including illegal trade, habitat destruction, internal and other uses, designed to provide the information necessary for a Scientific Authority non-detriment finding;

for those species already identified as priority species in the Animals Committee Significant Trade Review, the Animals Committee shall make recommendations to the relevant range States through the Secretariat that address identified problems, within ninety days after the adoption of this Resolution at the eighth meeting of the Conference of the Parties; and each meeting of the Parties thereafter; and

for the remaining species in the Animals Committee Significant Trade Review, the Animals Committee shall make recommendations to the relevant range States, that address identified problems, to allow their response prior to the ninth meeting of the Conference of the Parties and prior to each meeting thereafter;

RECOMMENDS further that

- a) recommendations of Animals Committee shall be communicated to the Party concerned by the Secretariat;
- b) for primary recommendations, the Party concerned is required, within 90 days of receipt of the recommendations of the Animals Committee, to demonstrate to the satisfaction of the Secretariat that it has implemented the recommendations;
- c) for secondary recommendations, the Party concerned is required, within 12 months of receipt of the recommendations of the Animals Committee, to demonstrate to the satisfaction of the Secretariat that it has taken action to implement the recommendations;
- d) upon failure of the Party concerned to satisfy the Secretariat that it has fulfilled the requirements specified in paragraphs b) or c) of this section, the Secretariat shall recommend to the Standing Committee that all Parties immediately take strict measures, including as appropriate suspension of trade in the affected species with that Party;
- e) upon acceptance of this recommendation by the Standing Committee, either at its meeting or by postal procedure, it shall direct the Secretariat to notify the Parties; and
- f) in the case of suspension of trade in accordance with subparagraph e), reinstatement of trade in the affected species with the Party concerned will require that Party to demonstrate to the satisfaction of the Standing Committee, via the Secretariat, compliance with Article IV, paragraphs 2(a) and 3, or such other requirements of Article IV as may have been the subject of recommendations made, pursuant to paragraph e) of this section;

DIRECTS the Secretariat, in consultation with the Animals Committee and the Standing Committee, to monitor the implementation of this Resolution and report its findings and recommendations to each meeting of the Conference of the Parties; and

IMPLORES the Parties and all organizations interested in the utilization and conservation of wildlife to provide the necessary financial support and/or technical assistance to those Parties in need of assistance to ensure the maintenance of wild populations of species subject to significant international trade.

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

—————  
Eighth Meeting of the Conference of the Parties  
Kyoto (Japan), 2 to 13 March 1992

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES\*

Development of New Criteria for Amendments to the Appendices

NOTING that the appendices to the Convention now include a very large number of species, many of which may not be threatened by commercial trade;

NOTING also that certain species may not be appropriately listed in the appendices;

NOTING further the failure of mechanisms approved by the Conference of the Parties to delete from the appendices or to transfer between appendices inappropriately listed species;

CONSCIOUS of the growing feeling amongst many Parties that the present composition of the appendices may not be enhancing conservation of some wild fauna and flora;

BELIEVING that, to some extent, the difficulties arise from a lack of appropriate criteria to define the term "threatened with extinction" in Article II;

RECOGNIZING that trade in wildlife products can be beneficial to the conservation of wild fauna and flora;

CONVINCED that the Criteria adopted at the first meeting of the Conference of the Parties, Berne 1976 (Resolutions Conf. 1.1 and Conf. 1.2), provide an inadequate basis for amending the appendices;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

DIRECTS the Standing Committee to undertake, with the assistance of the Secretariat, a revision of the criteria for amending the appendices, for consideration at the ninth meeting of the Conference of the Parties by:

- a) drawing up the terms of reference for the work to be done;
- b) seeking the expertise of IUCN and other organizations and individuals as appropriate; and
- c) arranging for a common meeting of the Plants and Animals Committees at which a draft resolution on such criteria shall be prepared; and

DECIDES that the following consultation procedure shall be followed prior to the ninth meeting of the Conference of the Parties:

- a) the Secretariat shall distribute this draft resolution to the Parties at least 300 days prior to the meeting;
- b) the Parties are invited to comment on the draft, to the Secretariat, in order to allow the Standing Committee to prepare a revised draft; and
- c) the revised draft shall be circulated to the Parties at least 150 days prior to the meeting.

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\* This document has been prepared and approved by Committee I on the basis of document Doc. 8.50 Annex.



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

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Eighth Meeting of the Conference of the Parties  
Kyoto (Japan), 2 to 13 March 1992

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES\*

Consultation with Range States on Proposals to Amend Appendices I and II

NOTING that the provisions of the Convention do not require the prior support of range States for proposals to amend Appendices I and II;

RECALLING that the format for proposals laid down in resolution Conf. 2.17 requires comments to be sought from the range States;

OBSERVING that many proposals have been submitted without seeking such comments;

RECOGNIZING, however, that for certain taxa with extensive distributions such consultation may be difficult;

CONSCIOUS that amendments to Appendices I and II may affect the interests of range States;

REMARKING that international treaties rely upon co-operation and mutual respect for their successful implementation;

MINDFUL that an additional period of time may be required to consult with range States;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS that any Party submitting a proposal to amend Appendix I or II of the Convention pursue one of the following two options:

Option 1 (where the proposing Party intends to consult)

The Party should:

- a) advise the Management Authorities of the range States within which the species occurs of its intention to submit a proposal;
- b) consult with the Management and Scientific Authorities of these States on the substance of the proposal; and
- c) include the opinions of these Authorities in section 6 of the proposal submitted according to Resolution Conf. 2.17 except that, where no response has been received from a range State within a reasonable period of time, the submitting Party may instead simply document its attempts to obtain these opinions; or

Option 2 (where prior consultation will not take place)

- a) the Party should submit the proposal 330 days in advance of the next scheduled meeting of the Conference of the Parties;
- b) the Secretariat should circulate the proposal as soon as possible to all Parties; and

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\* This document has been prepared and approved by Committee I on the basis of document Doc. 8.51 Annex.

- c) interested Parties should send their comments to the proposing Party in order to allow it to submit a revised proposal at least 150 days prior to the meeting. The revised proposal shall incorporate the comments received in compliance with Resolution Conf. 2.17, and such comments being in two categories reflecting the opinions of both range and non-range States.

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

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Eighth Meeting of the Conference of the Parties  
Kyoto (Japan), 2 to 13 March 1992

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES\*

National Laws for Implementation of the Convention

RECALLING that Article VIII requires all Parties to take appropriate measures to enforce the provisions of the Convention and prohibit trade in specimens in violation thereof, and that Article IX requires that each Party designate at least one Management and one Scientific Authority;

RECALLING Resolution Conf. 7.5 which expresses the Parties' conviction that enforcement of the Convention must be of constant concern to the Parties if the objectives of the Convention are to be fulfilled;

NOTING that the Environmental Law Centre of IUCN has prepared a report for the Secretariat on guidelines for the development of model legislation for CITES implementation;

BELIEVING that a substantial number of Parties have not taken the appropriate measures to enforce the provisions of the Convention;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

DIRECTS the Secretariat within available resources

- a) to identify those Parties whose domestic measures do not provide them with the authority to i) designate at least one Management Authority and one Scientific Authority, ii) prohibit trade in specimens in violation of the Convention, iii) penalize such trade or iv) confiscate such specimens illegally traded or possessed;
- b) to seek from each Party so identified information indicating the procedures, action and time frames that are needed in order to establish the measures necessary to properly enforce the provisions of the Convention; and
- c) to report its findings, recommendations or progress to the Standing Committee and to the ninth meeting of the Conference of the Parties;

URGES all Parties that have not adopted the appropriate measures to fully implement the Convention to do so and inform the Secretariat when such measures have been adopted;

DIRECTS the Secretariat to seek external funding to enable it to provide technical assistance to Parties in the development of their measures to implement the Convention; and

INVITES all Parties, governmental, intergovernmental and non-governmental organizations and other sources to provide financial and/or technical assistance for the development of such measures.

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\* This document has been prepared and approved by Committee II on the basis of document Doc. 8.19 Part 1.

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

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Eighth Meeting of the Conference of the Parties  
Kyoto (Japan), 2 to 13 March 1992

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES\*

Submission of Annual Reports

NOTING that Article VIII, paragraph 7(a), of the Convention, requires the Parties to provide an annual report of all trade in specimens of species which are listed in the CITES appendices;

NOTING that Resolution Conf. 2.16, adopted at the second meeting of the Conference of the Parties (San José), recommends that annual reports be submitted no later than 31 October of the year following the year for which a report was due;

RECALLING that several past Resolutions have addressed the importance of the submission of annual reports by the Parties, in order to monitor the levels of such trade effectively;

CONCERNED that, in spite of recommendations by the Parties and the Secretariat for the submission of annual reports on time and following guidelines for the preparation of such reports, certain Parties have not done so, resulting in incomplete or inaccurate annual trade information being provided to the Parties;

RECALLING that Resolution Conf. 7.5 recommends that major implementation problems which the Secretariat can not resolve be brought to the attention of the Standing Committee;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

DECIDES

- a) that failure to submit an annual report by 31 October of the year following the year for which the report was due constitutes a major problem with the implementation of the Convention which the Secretariat shall refer to the Standing Committee for a solution in accordance with Resolution Conf. 7.5; and
- b) that the Secretariat can approve a valid request from a Party for a reasonable extension of time to the 31 October deadline for the submission of annual reports provided a Party submits a written request, containing adequate justification, to the Secretariat before that deadline.

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\* This document has been prepared and approved by Committee II on the basis of document Doc. 8.19 Part 1 Annex 1.

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

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Eighth Meeting of the Conference of the Parties  
Kyoto (Japan), 2 to 13 March 1992

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES\*

Travelling Live Animal Exhibitions

CONSIDERING that Article VII, paragraph 7, of the Convention provides that a Management Authority of any State may waive the requirements of Articles III, IV, and V and allow the movement without permits or certificates for pre-Convention or bred in captivity specimens which form part of a travelling zoo, circus, menagerie, or other travelling animal exhibition (hereinafter referred to as an exhibition) provided that:

- a) the exporter or importer registers full details of such specimens with that Management Authority;
- b) the specimens are in either of the categories specified in paragraph 2 or 5 of Article VII; and
- c) the Management Authority is satisfied that any living specimen will be so transported and cared for as to minimize the risk of injury, damage to health or cruel treatment;

NOTING that the application of these measures poses problems of a technical nature and is a source of fraud;

DESIRING, however, that exemptions provided by the Convention not be used to avoid the necessary measures for the control of international trade in specimens listed in the appendices to the Convention;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS

- a) that each Party issue to an exhibition based in its State and wishing to travel to other States, a pre-Convention certificate or a bred in captivity certificate, as appropriate, for each individual specimen of an animal travelling to another State. The certificate should include in box 5, or another box if the standard permit form is not used, the following language: "The specimen covered by this certificate belongs to a travelling animal exhibition. If the specimen leaves the possession of the exhibition, this certificate must be immediately returned to the issuing Management Authority";
- b.1) that pre-Convention and bred in captivity certificates issued for exhibitions be valid for a maximum period of three years to allow multiple imports, exports and re-exports of the individual specimens of an exhibition;
- b.2) that, in order to avoid any problem concerning the implementation of Resolution Conf. 5.11, pre-Convention certificates for exhibitions be issued only when the specimens have been acquired before 1 July 1975 or before the date of inclusion of the species concerned in any of the appendices to the Convention;
- c) that Parties consider such pre-Convention or bred in captivity certificates as proof that the individual specimens have been registered with the issuing Management Authority and allow the movement of such specimens across their borders;
- d) that Parties not collect the pre-Convention or bred in captivity certificates issued for each specimen of the exhibitions at their borders but allow the documents to remain with each specimen and be considered valid for export or re-export from each Party;

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\* This document has been prepared and approved by Committee II on the basis of document Doc. 8.19 Part 1 Annex 3.

- e) that Parties check exhibitions closely, both for export and for import and note especially whether live specimens are transported and cared for in a manner that minimizes the risk of injury, damage to health or cruel treatment;
- f) that Parties require that specimens be marked or identified in such a way so that the Party receiving the exhibition can properly identify the individual specimen in accordance with what is stated on the pre-Convention or the bred in captivity certificate and in such a way that the individual specimen can be properly identified by Party officials;
- g) that when, during a stay in a State, an animal in possession of an exhibition gives birth the Management Authority of the State where the event occurs shall be notified and issue the Convention certificate as appropriate. In the case of an addition of specimens to the exhibition, the Management Authority for the Party where the event occurred shall issue the appropriate document for each new specimen to be used in the exhibition. Where the animal is no longer in possession of the exhibition (death, sale, theft, etc.), the original certificate shall be immediately returned to the issuing Management Authority;
- h) that when, during a stay in a State, a pre-Convention or bred in captivity certificate for a specimen is lost, stolen or accidentally destroyed, only the Management Authority which has issued the document can issue a duplicate. This duplicate will bear the same number, if possible, and the same date of validity as the original document, and contain the following statement: "This certificate is a true copy of the original"; and
- i) that the Parties include in their annual reports a list of all pre-Convention and bred in captivity certificates issued for exhibitions.

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

---

Eighth Meeting of the Conference of the Parties  
Kyoto (Japan), 2 to 13 March 1992

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES\*

Implementation of the Convention in the European Economic Community (EEC)

CONSIDERING that paragraph 3 of Article XIV of the Convention establishes that the provisions therein will in no way affect international conventions or treaties concluded between States, and that every effort should be made to ensure that this Article does not undermine the principles of the Convention;

CONSIDERING that at the second extraordinary meeting of the Conference of the Parties, convened in Gaborone (Botswana) on 30 April 1983, an amendment to Article XXI of the Convention, which permitted the accession to the Convention of any organization of regional economic integration constituted by sovereign States, like the European Economic Community (EEC), was adopted by the requisite two-thirds majority of Parties present and voting;

CONSIDERING that to date only 29 out of the 54 States that were Parties to the Convention at that time have accepted this amendment, and that of these 29 States 5 are from the Latin-American region;

CONSIDERING that, at the extraordinary meeting of Gaborone, the observer from the EEC stated that "the accession of the EEC to CITES would bring legal security by binding EEC member countries to the Convention", and that the observer from the European Parliament urged the Parties to accept the amendment proposal saying that the European Parliament was committed to the Convention;

TAKING INTO ACCOUNT that in 1993 the EEC will terminate controls between member countries and that consequently any specimen which then enters one of the countries of the Community will be allowed free circulation within the Community;

CONSIDERING that the EEC is one of the most important regions with respect to trade in CITES species and that a weak implementation of the Convention opens this important market to the trade in CITES specimens of illegal origin;

CONSIDERING the efforts made by some exporting countries in their fight against illegal trade, in spite of difficult economic circumstances;

RECOGNIZING that some EEC countries do not have adequate national legislation to ensure the correct implementation of the Convention, particularly with regard to the requirements of Article VIII;

CONSIDERING that some EEC countries issue re-export certificates without taking the necessary measures to ascertain the validity of the documents issued by the countries of origin, and that the potential re-exports may legalize goods of illegal origin;

CONSIDERING that this situation is serious both in general terms and in particular in the case of live animals and of reptile skins and parts thereof;

TAKING INTO ACCOUNT that some European countries are members of the EEC but not of CITES;

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\*This document has been prepared and approved by Committee II on the basis of document Doc.8.18 Annex (Rev.).

## THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS that, before accepting a re-export document covering live animals, and reptile skins and parts thereof issued by a State member of the EEC, Parties check with the Management Authority of the declared country of origin or with the Secretariat the validity of the export document and, in cases where the country of origin has been contacted directly, the Secretariat be notified immediately by both the Management Authorities of the countries of origin and of import of the existence of any invalid documents;

REQUESTS that the CITES Secretariat evaluate the efficiency of controls and their effective implementation with respect to CITES specimens that are either imported into or re-exported from the EEC, and report to the ninth meeting of the Conference of the Parties in the context of the review of the alleged infractions;

URGES the EEC member States which are Parties to the Convention to complete the development of appropriate legislation and to increase substantially the allotment of resources required to ensure the enforcement of the Convention and to provide to the international community the necessary assurance regarding compliance with the agreements in force;

URGES all EEC member States not party to CITES to accede to the Convention as soon as possible; and

RECOMMENDS that Parties which have not yet done so accept the Gaborone amendment.



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

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Eighth Meeting of the Conference of the Parties  
Kyoto (Japan), 2 to 13 March 1992

SUMMARY REPORT OF THE BUDGET COMMITTEE MEETING

Fourth Session: 6 March 1992: 08h40-09h05

Chairman:	M. Hosking (New Zealand)
Secretariat:	I. Topkov J. Flores O. Owolabi
	UNEP: A.T. Brough
Rapporteur:	G. Furness

The Chairman opened the session at 08h40 and asked whether there were any queries on the adjustments made in document Com. 8.5, Budget Estimates for the CITES Trust Fund, 1993-1994-1995. There were none.

The delegation of the United States of America expressed concern about the sometimes flagrant abuse of funds provided for delegate travel. The Secretary General stated strongly that he too was deeply concerned and noted that arbitrary and unwarranted schedule changes, cancellations, etc. by sponsored delegates had led to additional per diem payments, cancellation fees and other costs. He suggested that the draft resolution in document Com. 8.6 contain language requiring the Secretariat to provide the Standing Committee with procedures on delegate travel and proposed the following text:

DIRECTS the Secretariat to prepare for approval by the Standing Committee and to follow strict procedures for an austere, accountable and effective use of the funds provided for the delegate project.

The delegations of Australia and the United States of America expressed strong support for such a statement and the Committee agreed the proposed text and document Com. 8.5 as amended.

Documents Com. 8.1 and Com. 8.7, Summary Report of the Budget Committee Meeting, were adopted without changes.

The delegation of the United States of America asked who gave financial guidance to the Chairmen of the Animals and Plants Committees. The Secretary General stated that the Standing Committee had given discretion to these Chairmen to use the funds provided in the budget. In most cases these were just enough to cover costs and had to be used very carefully. The Chairman noted that, as a member of the Standing Committee, he believed that both Chairmen had acted very responsibly and he suggested the question be put directly to the Chairman of the Standing Committee. The Committee agreed with the suggestion of the representative of UNEP that terms should be set out in a letter from the Secretary General.

When the Committee reviewed document Com. 8.8, Summary Report of the Budget Committee Meeting, the delegation of France requested that, at the beginning of the first sentence of the final paragraph, the words "The delegation of France, supported by the delegation of the United States of America," be amended to read The Parties represented in the Committee. The delegation of Canada requested that ", echoed by the delegation of Canada," in line 7 of the second paragraph be deleted. The Secretary General recommended that the words "due to their special circumstances", in the first paragraph of document Com. 8.8, be amended to read due to the cessation of the two States as legal entities. The Committee accepted these amendments.

The delegation of France stated that they could not agree to the Secretariat putting forward requests for funding from the Global Environment Facility (GEF) for CITES as this was inappropriate to the purposes of the GEF. The representative of

UNEP stated that he could not totally discount the possibility of the Secretariat making such requests, and the Secretary General pointed out that during a plenary session it had been decided to request funding from GEF for the development of the "Kyoto criteria". Moreover, CITES already has a project approved for funding by the GEF. To meet the concerns of the delegation of France, the Committee agreed to change the text in the paragraph at the top of page 3 of document Com. 8.6 from "INVITES UNEP to put forward the request of the Secretariat for additional funding of CITES projects by the Global Environment Facility" to INVITES UNEP to put forward to the Global Environment Facility requests by the Secretariat for additional funding of appropriate CITES projects aiming at protecting biodiversity. The Committee then approved document Com 8.6 as amended.

The delegation of Australia requested that the record show the Committee's appreciation for the excellent assistance and preparation by the Secretariat and UNEP, as well as for their openness and honesty. The Chairman concurred and also expressed thanks to the rapporteur. The Secretary General expressed his appreciation for the Committee's work.

The Chairman closed the meeting at 09h05.

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

---

Eighth Meeting of the Conference of the Parties  
Kyoto (Japan), 2 to 13 March 1992

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES\*

Standard Nomenclatorial Reference for Orchidaceae

RECOGNIZING the principles and procedures established by Resolution Conf. 4.23, adopted at the fourth meeting of the Conference of the Parties (Gaborone, 1983), regarding the use of standard names and development of standard references if necessary;

NOTING the recommendation in Resolution Conf. 5.14, paragraph c), adopted at the fifth meeting of the Conference of the Parties (Buenos Aires, 1985), to the CITES Nomenclature Committee regarding the development of a list of standard names for plants included in the appendices together with a list of their synonyms;

OBSERVING that Resolution Conf. 5.14, paragraph b), confirms the need to maintain the higher taxon listing of the family Orchidaceae in Appendix II;

AWARE that the names of the genera and species of Orchidaceae are in need of standardization and that the current lack of a standard reference with adequate information decreases the effectiveness of the implementation of CITES in conserving the many threatened orchid species that are listed in Appendix II;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS

- a) that the Nomenclature Committee prepare a standard reference for selected Orchidaceae genera in trade, providing information on species, with synonymy and the countries of distribution of recognized taxa;
- b) that the Vice-Chairman of the Nomenclature Committee co-ordinate the input needed from scientific institutions, monitor the progress of the work, and report annually to the Standing Committee, in consultation with the Chairman of the Nomenclature Committee;
- c) that "Review of Significant Trade in Species of Plants Included in Appendix II of CITES" (cf. document Doc. 8.31, recommendation 6.) serve as a basis for identifying priority of orchid taxa for inclusion in a standard reference;
- d) that upon acceptance by the Nomenclature Committee, the reference (or parts thereof) be presented to the Conference of the Parties for adoption as the standard reference for Orchidaceae;
- e) that updated versions of the reference, as they become available, be reviewed and accepted in conjunction with meetings of the Conference of the Parties; and
- f) that the development of appropriate checklists for other Appendix-II plant groups be prepared under the direction of the Vice-Chairman of the Nomenclature Committee in co-ordination with other international initiatives (e.g. IUBS World Checklist of Vascular Plants);

DECIDES that US\$ 40,000 a year from the CITES Trust Fund, beginning in 1993, be assigned to the development and eventual publication of the standard reference for Orchidaceae; and

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\* This document has been prepared by the Nomenclature Committee on the basis of document Doc. 8.29 Annex 2 and approved by Committee II.

APPEALS for additional funds for the Nomenclature Committee from Parties and interested organizations, institutions, and individuals to develop the standard reference for Orchidaceae and for its publication.

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

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Eighth Meeting of the Conference of the Parties  
Kyoto (Japan), 2 to 13 March 1992

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES\*

Standard References to the Nomenclature for  
Birds and Plants Listed in the Appendices

RECOGNIZING the principles and procedures established by Resolution Conf. 4.23, adopted at the fourth meeting of the Conference of the Parties (Gaborone, 1983), regarding the use of standard references to taxonomic names to facilitate implementation of the Convention;

RECOGNIZING further the recommendation in Resolution Conf. 5.14, paragraph c), adopted at the fifth meeting of the Conference of the Parties (Buenos Aires, 1985), to the CITES Nomenclature Committee regarding the development of a list of standard names for plants included in the appendices together with a list of synonyms;

NOTING the wish of the Parties, expressed in Resolution Conf. 6.20 adopted at the sixth meeting of the Conference of the Parties (Ottawa, 1987) that a standard nomenclatorial reference for the Cactaceae be developed;

NOTING further that the Nomenclature Committee has endorsed the recommended references;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

DECIDES

- a) to adopt Distribution and Taxonomy of Birds of the World (by Charles Sibley and Burt L. Monroe, Jr., 1991, Yale University Press) as the standard reference to the genus and species names to birds listed in the appendices;
- b) to adopt CITES Checklist of Cactaceae (by D. Hunt, *et al.*, 1992, Royal Botanic Gardens, Kew) as a guideline for referencing species names to Cactaceae;
- c) to adopt A World List of Cycads (D.W. Stevenson, R. Osborne & J. Hendricks, 1990, Memoirs of the New York Botanical Gardens 57: 200-206) as a guideline for referencing species names to Cycadaceae, Strangeriaceae and Zamiaceae; and
- d) to use:
  - i) The Plant-Book, rev. ed. (D.J. Mabberley, 1989, Cambridge University Press) as the standard for the generic names of all CITES plants; and
  - ii) Dictionary of Flowering Plants and Ferns, 8th ed. (Willis, J.C., revised by H.K. Airy Shaw, 1973, Cambridge University Press) as a reference for generic synonyms not mentioned in The Plant-Book;

DIRECTS the Secretariat to seek funding in order to provide those Parties which are unable to purchase their own copies with copies of the publications mentioned above; and

ENCOURAGES the Parties to issue export permits or re-export certificates that are in accordance with adopted standard references to nomenclature of taxa listed in the appendices.

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\* This document has been prepared by the Nomenclature Committee on the basis of documents Doc. 8.15 and Doc. 8.29 Annex 1 and approved by Committee II.

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

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Eighth Meeting of the Conference of the Parties  
Kyoto (Japan), 2 to 13 March 1992

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES\*

Trade in Live Birds Experiencing High Mortalities in Transport

WHEREAS Article III, paragraph 2(c), Article IV, paragraph 2(c), and Article V, paragraph 2(b), of the Convention require a Management Authority of the State of export to be satisfied, prior to the issuance of an export permit or certificate, that any living specimen will be so prepared and shipped as to minimize the risk of injury, damage to health, or cruel treatment;

WHEREAS Article XIV, paragraph 1, permits any Party to adopt stricter domestic measures for the regulation of trade in all species, whether or not listed in the appendices;

CONCERNED that the official figures of mortalities due to the trade have not been reduced significantly, despite recurring efforts by the Parties to improve trade conditions;

NOTING that the Parties represented at the seventh meeting of the Conference of the Parties (Lausanne, 1989) expressed their awareness that mortalities in transport remain of significant concern, by the adoption of Resolution Conf. 7.13 which established minimal standards of care for live specimens in transport;

RECALLING that Resolution Conf. 7.13 established the Working Group on Transport of Live Specimens as a permanent working group of the Standing Committee, and called upon the Working Group to gather information on mortality occurring during transport;

NOTING that in reviewing mortality information, the Working Group on Transport of Live Specimens has found that transport of live birds for the pet trade is a problem of particular concern because mortality remains high for many species and, in many cases, export permits are being issued for live birds which are not prepared and shipped so as to minimize the risk of injury, damage to health, or cruel treatment;

MINDFUL that due to a number of biological and other factors, some species are more sensitive to significant mortalities in transport than others, in that it is far more difficult for those species to be prepared and shipped without risk of injury, damage to health, or cruel treatment;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS

- a) that all Parties maintain records of the number of live specimens per shipment and mortalities in transport of bird species listed in Appendices I, II and III and that they publish these data annually, providing a copy to the Chairman of the Transport Working Group;
- b) that Parties take appropriate measures, including temporary suspension of trade for commercial purposes between Parties when appropriate, regarding trade in species of birds that have significant high mortality rates in transport, based on their own data or data supplied by the Transport Working Group; and
- c) that the Transport Working Group seek information from Parties, based both upon data on number of live specimens per shipment and mortality, and upon information from scientists, veterinarians, zoological institutions, and other

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\* This document has been prepared and approved by Committee II on the basis of document Doc. 8.24.2.

experts and, in co-operation with the Secretariat, make recommendations to the Parties designed to minimize mortality; and

URGES all Parties to implement Resolution Conf. 7.13, and especially to use the checklist for shipments of live animals.

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

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Eighth Meeting of the Conference of the Parties  
Kyoto (Japan), 2 to 13 March 1992

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES\*

Guidelines for a Procedure to Register and Monitor Operations  
Breeding Appendix-I Animal Species for Commercial Purposes

RECOGNIZING that Article VII, paragraph 4, of the Convention provides that specimens of Appendix-I animal species bred in captivity for commercial purposes shall be deemed to be specimens of species included in Appendix II;

RECOGNIZING that breeding a species in captivity for commercial purposes can be an economic alternative to domestic livestock production in its place of origin and thus provide an incentive for rural populations in those places to develop an interest in its conservation;

NOTING that import of wild-caught Appendix-I specimens for purposes of establishing a commercial captive-breeding operation is precluded by Article III, paragraph 3(c), of the Convention, as explained further in Resolution Conf. 5.10 adopted at the fifth meeting of the Conference of the Parties (Buenos Aires, 1985);

RECALLING that Resolution Conf. 2.12, adopted at the second meeting of the Conference of the Parties (San José, 1979), establishes the definition of "bred in captivity" and specifies that the parental breeding stock must be 1) established in a manner not detrimental to the survival of the species in the wild; 2) maintained without augmentation from the wild, except for the occasional addition of animals, eggs or gametes from wild populations to prevent deleterious inbreeding; and 3) managed in a manner designed to maintain the breeding stock indefinitely;

RECALLING that subsequent Resolutions requested the Secretariat to create and maintain a register of operations breeding specimens of Appendix-I species for commercial purposes (Resolution Conf. 4.15 adopted at the fourth meeting of the Conference of the Parties [Gaborone, 1983]) and recommended that the Parties provide the Secretariat with "any appropriate information" on these operations (Resolution Conf. 4.15); that breeding operations use a uniform marking system for captive-bred specimens, with seamless metal rings for birds (Resolution Conf. 6.21 adopted at the sixth meeting of the Conference of the Parties [Ottawa, 1987]); that the first commercial captive-breeding operation for an Appendix-I species be included in the Secretariat's Register only by a two-thirds majority vote of the Parties (Resolution Conf. 6.21); and that proposals submitted by a Party to register the first commercial operation to breed an Appendix-I species follow a specific format (Resolution Conf. 7.10 adopted at the seventh meeting of the Conference of the Parties [Lausanne, 1989]);

AWARE that as of 13 March 1992 the Secretariat had notified the Parties of the registration of approximately 60 commercial operations breeding 14 species for commercial purposes;

NOTING that the demand for captive breeding for both commercial and conservation purposes is growing, that the art and science of captive breeding are becoming increasingly complex, and that the Parties have not yet instituted standardized procedures for the registration and subsequent monitoring of captive-breeding operations for Appendix-I species for commercial purposes;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

AGREES to describe a clear and comprehensive procedure for qualifying, registering and monitoring commercial captive-breeding operations for Appendix-I species;

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\* This document has been prepared and approved by Committee I on the basis of document Doc. 8.38 Annex.



## RESOLVES

- a) that the principles set forth in Resolution Conf. 2.12 remain the basis of this procedure;
- b) that the Secretariat should encourage Parties to establish, where appropriate, captive-breeding operations for commercial purposes for indigenous species of animals included in Appendix I;
- c) that the first and major responsibility for approving captive-breeding operations under Article VII, paragraph 4, will rest with the Management Authority of each Party, in consultation with that Party's Scientific Authority;
- d) that prior to the establishment of captive-breeding operations for exotic species a study of ecological risks should be completed, in order to prevent any negative effects on the ecosystem and the native species;
- e) that the sponsoring Party's Management Authority will provide the Secretariat with appropriate information to obtain, and to maintain, the registration of each captive-breeding operation;
- f) that the Secretariat will notify all Parties, particularly range States, of each request for registration and will provide full information on the operation to any Party upon its request, making sure in particular all range States have received the proposal;
- g) that the Secretariat will admit new captive-breeding operations to its Register only after it is satisfied that the operation meets the requirements set forth in Resolution Conf. 2.12, and only if no Party, particularly range States, has objected to the registration within a period of 120 days after the Secretariat's Notification;
- h) that if any Party opposes the registration of an operation breeding a species new to the Secretariat's Register within the 120-day period described in (g), the decision to register the operation will be postponed until the next meeting of the Conference of the Parties, where it will be decided by a two-thirds majority vote, or by postal procedures under Article XV of the Convention;
- i) that the captive-breeding operations included in the Secretariat's Register on 13 March 1992 which acquire additional specimens of Appendix-I species comply with the requirements of this Resolution;
- j) that Parties continue to restrict commercial imports of captive-bred specimens of Appendix-I species to those specimens produced by operations included in the Secretariat's Register;
- k) that registered captive-breeding operations continue to use a uniform marking system for their specimens in trade, and adopt superior marking methods as they become available;
- l) that any Party believing that a registered operation does not meet the requirements of Resolution Conf. 2.12 may, after consultation with the Secretariat and the Party concerned, propose that the Conference of the Parties delete the operation from the Register by a two-thirds vote of the Parties as described in Article XV of the Convention; and that, once deleted, such an operation can only be reinstated in the Register by satisfying the procedure outlined in f), g) and h) above;
- m) that any Party within whose jurisdiction an operation is registered may unilaterally request the removal of that operation from the Register without reference to other Parties by so notifying the Secretariat;
- n) that where the establishment of a captive-breeding operation involves the removal of animals from the wild (allowable only under exceptional circumstances), that operation should demonstrate to the satisfaction of the Management Authority and the Secretariat that the removal of such specimens is not detrimental to the conservation of the species and, in the case of non-native species, such removal should require the authorization of the range State;
- o) that where the conservation needs of the species warrant, the Management Authority satisfy itself that the captive-breeding operation will make a continuing meaningful contribution to the conservation of the species; and
- p) that the Parties and Secretariat may establish additional special criteria for the registration of operations intending to breed species known to be difficult to breed in captivity, or to have specific requirements for successful breeding in captivity, or known to be difficult to distinguish from wild-taken specimens when in trade;

INSTRUCTS the Animals Committee to examine the complex issues related to the origin of founder breeding stock and the relationship between registered breeding operations and conservation programmes for the species within the countries of origin and report on its findings and recommendations at the next meeting of the Conference of the Parties; and

DECIDES that the Resolutions listed hereunder be repealed:

- a) Resolution Conf. 4.15 (Gaborone, 1983) - Control of Captive-Breeding Operations in Appendix-I Species;
- b) Resolution Conf. 6.21 (Ottawa, 1987) - Control Procedures for Commercial Captive-Breeding Operations; and
- c) Resolution Conf. 7.10 (Lausanne, 1989) - Format and Criteria for Proposals to Register the First Commercial Captive-Breeding Operation for an Appendix-I Animal Species.

Role of the Commercial Captive-Breeding Operation

REALIZING that the captive-breeding process begins with the breeder becoming interested in a species, developing expertise in husbandry, obtaining appropriate permits from the competent Management Authority, acquiring breeding stock, building facilities to house specimens, and successfully breeding the species;

ACKNOWLEDGING that commercial opportunity with Appendix-I species may provide incentive for developing better techniques for husbandry and captive breeding and for creating a source of specimens to relieve pressure on wild populations;

RECOGNIZING that the breeding of native species in captivity for commercial purposes in range States may result in lower production costs and is compatible with maintenance of the natural habitat of the species;

RECOGNIZING that the breeding of native species in captivity for commercial purposes facilitates the eventual release to the wild of a percentage of the progeny from such operations;

RECOGNIZING that the success of commercial captive breeding as an activity beneficial or at least neutral to conservation interests largely depends on the skill, concern and integrity of the operator;

RECOGNIZING that the captive-breeding operations for commercial purposes are defined in Resolution Conf. 2.12 and that the progeny from such an operation are commercially traded, exchanged, or exhibited whether such progeny are from native or non-native species;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RESOLVES that the owner/manager of any commercial captive-breeding operation seeking inclusion in the Secretariat's Register shall be responsible for providing to the Management Authority of the country in which it is located the following information, where appropriate for the species concerned:

1. Name and address of the owner(s) and manager of captive-breeding operation.
2. Date of establishment.
3. Species bred (Appendix I only).
4. Description of parental breeding stock including the following information where appropriate:
  - a) age and identification (band or tag numbers, transponders, distinguishing marks, etc.) of each male and each female;
  - b) evidence of legal acquisition of each male and female (e.g. receipts, CITES documents, capture permits, etc.); and
  - c) the known or likely genetic relationship within and between breeding pairs.
5. Current stock (number by sex and age of specimens held in addition to parental breeding stock above).
6. Annual production of young.
7. Documentation showing that the species has been bred to second generation offspring (F2) at the facility and a description of the method used; or, if the operation has not bred the species to the second generation, a description of the methods that have been used to do so successfully elsewhere.
8. Description of the operation's strategy to avoid deleterious inbreeding and to identify and correct it should it occur.
9. Description of the facilities being used to house and care for the current and expected captive stock.

10. Description of the security measures provided to safeguard against escape of the captive stock into the wild and contingency measures for the safe disposal of captive stock in the event that the operation is closed.
11. Description of the management of breeding stock and offspring, specifically:
  - a) expected future production of offspring;
  - b) description of strategy to add offspring to the captive-breeding population as future replacement stock and/or expand the breeding population; and
  - c) description of breeding performance of each generation produced in captivity, including records that describe the percentage of the breeding-age portion of the operation's specimens that have bred and produced viable offspring.
12. Assessment of any perceived need for augmentation of breeding stock with specimens from captive-bred or wild source.
13. Type of product exported (e.g. live specimens, skins, hides, other body parts).
14. Description of the marking methods to be used for breeding stock and offspring, and for specimens furnished for export.
15. Once the captive-breeding operation in question has been registered, the operation should provide annually, or as required by the Management Authority information on any changes made concerning items 4, 5, 6, 9, 10, 11, and 13 above during the preceding year.

### Role of the Management Authority

RECOGNIZING that each Party's Management Authority is responsible for deciding if a captive-breeding operation is legitimate and meets the conditions established for registration, and for seeking its registration with the Secretariat;

AWARE that each Management Authority must establish and enforce a policy and procedure for managing and inspecting registered captive-breeding operations within its jurisdiction;

RECOGNIZING that the Management Authority is responsible for providing sufficient information to the Secretariat to support the captive-breeding operation's acceptance on the Secretariat's Register;

RECOGNIZING that the Management Authority is responsible for ensuring that registered captive-breeding operations continue to meet the requirements after they become registered;

### THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RESOLVES that each Management Authority, that has approved the application of a captive-breeding operation (Annex 1) on the basis of criteria established in Resolution Conf. 2.12 and the Guidelines for a Procedure to Register and Monitor Operations Breeding Appendix-I Animal Species for Commercial Purposes, shall apply to the Secretariat for the registration of the operation and provide the following information:

A. Biological data on species to be registered:

1. Taxonomy:

- class;
- order;
- family;
- genus, species, and subspecies, when applicable, including author and year;
- common name(s), when applicable;
- code number (e.g. ISIS), when applicable.

2. Status in the Wild:

- distribution (current and historical);
- population size, trend, and degree of endangerment.

3. Status in Captivity:

- description of founder stock in that country (including source and likely genetic relationship);
- general breeding performance in captivity;
- general breeding techniques successfully used.

4. Specific Biological and Other Data on the Captive-Breeding Operation to be registered:

- include all of the information received from the operation in Annex 1.

5. A description of the inspection procedures to be used by the CITES Management Authority to confirm the identity of breeding stock and offspring and to detect the presence of unauthorized specimens held at the operation or provided for export.

B. After a captive-breeding operation is registered, the Management Authority will continue to monitor the performance of the operation by inspection and by examining information provided in annual reports from the operation with assistance from the Scientific Authority.

C. If a captive-breeding operation no longer wishes to remain registered, or the Management Authority receives information which leads it to believe that the operation no longer qualifies for registration, then the Management Authority within whose jurisdiction an operation is registered may unilaterally request the removal of that operation from the Register without reference to other Parties by so notifying the Secretariat.

Role of the Secretariat

RECOGNIZING that the Secretariat maintains a Register of Commercial Captive-Breeding Operations, and will admit new operations to its Register only after it is satisfied that these operations meet the requirements set forth in Resolution Conf. 2.12 and the Guidelines for a Procedure to Register and Monitor Operations Breeding Appendix-I Animal Species for Commercial Purposes;

AGREEING further that the Secretariat should have a stronger "oversight" role in screening applications from Management Authorities for the registration of captive-breeding operations, and that it may reject applications that it believes do not meet the criteria of Resolution Conf. 2.12 concerning conservation needs of the particular species involved;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RESOLVES that the Secretariat shall perform the following functions:

- a) receive and review applications for registration from Management Authorities;
- b) for applications involving species not yet on the Secretariat's Register:
  - i) refer such applications to appropriate experts for advice on their suitability;
  - ii) notify the Parties of the applications, supply copies to Parties which enquire about them, and receive comments from Parties within a 120-day period; and
  - iii) in cases where a Party objects to the registration of the operation within the afore-mentioned period, postpone the application until it is decided by two-thirds majority vote at the next meeting of the Conference of the Parties;
- c) for applications involving species already on the Secretariat's Register, refer such applications to appropriate experts for advice on their suitability only in cases where there are significant new aspects or other reasons for concern;
- d) when satisfied that applications meet all requirements in Annexes 1 and 2, publish the names and other particulars of acceptable operations in its Register, following the format described in Annex 1;
- e) for operations not accepted, provide the relevant Management Authority with a full explanation of the reasons for rejection and indicate the specific conditions that must be met before it can be accepted;
- f) delete the name of a breeding operation from its Register when requested to do so in writing by the responsible Management Authority;
- g) receive from any person information on the lack of performance of any breeding facility and, if convinced such information is valid, make it available to the relevant Management Authority. If a registered operation no longer appears to meet the required criteria the Secretariat may recommend its deletion from the Register to the Management Authority and to the Conference of the Parties; and
- h) encourage Parties, where appropriate, to establish breeding operations for native Appendix-I species.

Role of the Parties and of the Conference of the Parties

RECOGNIZING that a registration system for commercial captive-breeding operations cannot function successfully without the co-operation and scrutiny of all Parties;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RESOLVES

- a) that Parties strictly implement the provisions of Article IV of the Convention with respect to specimens of species included in Appendix I originating from operations which breed such specimens in captivity for commercial purposes;
- b) that Parties reject any document granted under Article VII, paragraph 4, of the Convention, if the specimens concerned do not originate from an operation duly registered by the Secretariat and if the document does not describe specific identifying marks applied to each specimen;
- c) that comparable documentation granted under Article VII, paragraph 4, of the Convention by States which are not Parties to the Convention not be accepted by the Parties without consultation with the Secretariat;
- d) that Parties continue to develop suitable measures to ensure that already registered captive-breeding operations, and the processors and manufacturers of products, adopt a marking system for products of the operations that meets as a minimum the requirements of the "uniform marking system" described in Resolution Conf. 5.16 concerning Trade in Ranched Specimens, adopted at the fifth meeting of the Conference of the Parties (Buenos Aires, 1985), and that they inform the Secretariat thereof;
- e) that where any Party believes that an operation applying for registration to breed a species new to the Secretariat's Register does not meet the requirements of Resolution Conf. 2.12, it may, within a 120-day period after the Notification, request the Secretariat to postpone acceptance and have the application put to the vote at the next meeting of the Conference of the Parties.
- f) that where any Party becomes aware of and can demonstrate a failure to comply satisfactorily with the requirements for a registered captive-breeding operation, it may, after consultation with the Secretariat and the Party concerned, propose that the Conference of the Parties delete the operation from the Register by a two-thirds vote of the Parties at a meeting of the Conference of the Parties or by postal voting procedures prescribed by Article XV of the Convention; and
- g) that once deleted, such an operation can only be reinstated in the Register by satisfying Resolution Conf. 2.12 and the procedure outlined in Annexes 1, 2 and 3 above.

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

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Eighth Meeting of the Conference of the Parties  
Kyoto (Japan), 2 to 13 March 1992

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES\*

Trade with States not Party to the Convention

RECALLING the provisions of Article X of the Convention, requiring comparable documentation issued by the competent authorities of States not party to the Convention;

RECOGNIZING that Resolution Conf. 3.8, adopted at the third meeting of the Conference of the Parties (New Delhi, 1981), provided detailed requirements for such documentation;

CONSIDERING that the statement referred to in recommendation d) of Resolution Conf. 3.8 often appears to be of doubtful value;

CONSIDERING that Article IV, paragraph 2, of the Convention requires a Scientific Authority of the State of export to have advised that an export will not be detrimental to the survival of the species concerned before an export permit may be issued;

CONSCIOUS that the risk of trade from and through States not party to the Convention jeopardizes the effectiveness of the Convention;

AWARE that illegal trade, in particular in Appendix-I species, appears to avoid States which are party to the Convention and seeks trade routes to, from and through States not party to the Convention;

RECALLING Resolutions Conf. 4.10 adopted at the fourth meeting of the Conference of the Parties (Gaborone, 1983) and Conf. 7.4 adopted at the seventh meeting of the Conference of the Parties (Lausanne, 1989), requiring valid documentation for transit shipments;

NOTING that control of transit shipments in particular appears to produce substantial information on illegal trade in CITES specimens;

AWARE that the updated list of competent authorities as requested from the Secretariat in Resolution Conf. 3.8 contains several States without information and several authorities for which information was communicated more than five years ago;

RECOGNIZING the possibility of Parties to impose more restrictive domestic controls on trade under Article XIV;

CONVINCED of the need to counteract illegal trade by tightening the conditions applying to trade with non-Parties;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

DIRECTS the Secretariat

- a) to request States not party to the Convention to communicate to the Secretariat:
  - i) details of the competent authority to issue comparable documentation, within three months, and to confirm this at least once every two years;

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\* This document has been prepared and approved by Committee II on the basis of document Doc. 8.54.



- ii) details of a competent scientific authority capable of advising that an export is not detrimental to the survival of the species concerned, within three months, and to confirm these details at least once every two years; and
  - iii) any changes in the competent authority and scientific institution within one month after such changes take place; and
- b) to compile, and communicate at regular intervals to the Parties, an updated list of competent authorities and scientific institutions containing only those authorities and institutions that are communicated by the State concerned less than two years previously;

#### RECOMMENDS

- a) that Parties only accept documentation from States not party to the Convention if the competent authority and the scientific authority are included in the most recent updated list of the Secretariat or after consultation with the Secretariat;
- b) that documents issued by a State not party to the Convention for Appendix-I or -II species be not accepted by Parties unless they contain - in addition to the information specified in the recommendations of Resolution Conf. 3.8 - in the case of export, certification that the scientific institution has advised that the export will not be detrimental to the survival of the species; in case of doubt a copy of such advice should be required;
- c) that Resolution Conf. 3.8 on the Acceptance of Comparable Documentation Issued by States not Party to the Convention and Resolution Conf. 7.4 on Control of Transit also be applied to transit shipments destined for or coming from a State not party to the Convention, including shipments in transit between such States;
- d) that particular attention be given to the inspection of transit shipments exported or re-exported from, and/or destined for a State not party to the Convention and to the inspection of documentation for such shipments;
- e) that Parties import from and export or re-export to States not party to the Convention specimens of wild origin of Appendix-I species only in special cases where it benefits the conservation of the species or provides for the welfare of the individual and only after consultation with the Secretariat;
- f) that Parties allow import from States not party to the Convention of captive-bred and artificially propagated specimens of Appendix-I species only after favourable advice from the Secretariat; and
- g) that Parties communicate any inconsistencies in trade involving States not party to the Convention to the Secretariat; and

DECIDES that paragraphs g) and h) of Resolution Conf. 3.8 are hereby repealed.

CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES  
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Eighth Meeting of the Conference of the Parties  
Kyoto (Japan), 2 to 13 March 1992

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES\*

Universal Tagging System for the Identification of Crocodylian Skins

AWARE that all living species of crocodylians are listed in Appendix I or II of CITES;

NOTING that many species of crocodylians are subject to international trade;

CONCERNED that some species are subject to substantial levels of illegal trade;

RECOGNIZING that illegal trade threatens the survival of certain populations of crocodylians and seriously undermines efforts of producer countries to manage their crocodylian resources on a sustainable basis;

ACKNOWLEDGING that the regulation of international trade is enhanced significantly by suitable identification systems, and RECOGNIZING that in order to be successful and achieve the desired level of control any such system must be standardized and uniform in its application;

CONSIDERING that the tagging of all crocodylian skins in trade is a fundamental step towards the effective regulation of international trade in crocodylians;

RECOGNIZING that a mechanism for the accurate identification of crocodylian specimens and its extension to other groups of morphologically similar taxa is central to the problem of confining world trade in such taxa to levels which are sustainable by the wild resource;

NOTING that strategies for secure marking systems for classes of biologically similar species should consider those animals currently subject to trade, and the type of operations utilized to produce the animals or their products;

NOTING further the support given to this matter by the IUCN/SSC Crocodile Specialist Group;

NOTING also that Parties still have to meet the requirements of Conference Resolutions pertaining to captive breeding and ranching;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS

- a) the introduction of a universal tagging system for identification of all raw and processed crocodylian skins and parts thereof ("chalecos", flanks, bellies, tails, throats, legs and feet) by the general application of non-reusable tags to identify all crocodylian skins entering international trade from the countries of origin and that all countries subsequently re-exporting such items do so with the original tags intact unless substantial processing and manufacturing has taken place;
- b) that such non-reusable tags include as a minimum the International Organization for Standardization code for the country of origin, a unique serial identification number, species code and the year of production and further that such non-reusable tags have as a minimum the following characteristics: a self-locking system, heat resistance, inertia to chemical and mechanical processing, information to be applied by permanent stamping;

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\* This document has been prepared and approved by Committee II on the basis of document Doc. 8.26 Annex.

- c) the same information as is on the tags should be given on the export permit, re-export certificate or other Convention document, or on a separate sheet which shall be considered an integral part of the permit, certificate or document and which should be validated by the same issuing authority unless substantial processing and manufacturing has taken place;
- d) that each Party in which tags are applied maintain records accounting for tags issued and maintain records that relate each Convention document number to the tag(s) of the crocodilian specimens traded thereunder and vice versa, and include this information in the annual report;
- e) that Parties establish where legally possible a system of registration or licensing, or both, for importers and exporters of crocodilian skins and parts thereof as defined in paragraph a) above;
- f) that Parties make provisions in the Secretariat's budget, to which additional voluntary contributions may be made, for the production and dissemination of skin tags in quantities that are requested by any Party, as well as the cost of implementing and administering the system; and
- g) that Parties accept one year after the adoption of this Resolution export permits, re-export certificates or other Convention documents for trade in crocodilian skins and parts thereof as defined in paragraph a) above only if they contain the information referred to in paragraph a) and the related skins are properly tagged;

URGES all Parties to restrict trade in crocodilian skins and parts thereof as defined in paragraph a) above to specimens that are identified in accordance with the requirements of this Resolution; and

#### DIRECTS

- a) the Secretariat, in consultation with the Animals Committee, to develop a practical tracking system for monitoring tags used in trade;
- b) the Animals Committee, in consultation with the Secretariat, to study the possibilities of a practical uniform marking system for manufactured products of crocodilian skins in commercial trade and report its findings and recommendations to the next meeting of the Conference of the Parties; and
- c) the Animals Committee and the Secretariat to evaluate the marking system as recommended in Resolution Conf. 16 and report their findings and recommendations to the next meeting of the Conference of the Parties.

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

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Eighth Meeting of the Conference of the Parties  
Kyoto (Japan), 2 to 13 March 1992

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES\*

Role of the Scientific Authority

ACCEPTING that each Party to the Convention is required to designate one or more Scientific Authorities (Article IX);

RECOGNIZING that responsibilities of the Scientific Authority are discussed in Articles III, paragraphs 2(a), 3(a) and (b), and 5(a), and IV, paragraphs 2(a), 3 and 6(a), and Resolutions Conf. 2.11 and 2.14 adopted at the second meeting of the Conference of the Parties (San José, 1979);

RECOGNIZING further that responsibilities described in other Articles, including Article VII, paragraphs 4 and 5, and several Resolutions (Conf. 1.1 to 1.5; Conf. 2.12, 2.17 and 2.19; Conf. 3.15 and 3.20; Conf. 4.7, 4.13, 4.15, 4.19, 4.23 and 4.26; Conf. 5.3, 5.4, 5.13, 5.17, 5.19, 5.21 and 5.22; Conf. 6.1, 6.9, 6.17 and 6.19 to 6.22; and Conf. 7.7, 7.10 and 7.14), adopted respectively at each of the seven meetings of the Conference of the Parties (Berne, 1976; San José, 1979; New Delhi, 1981; Gaborone, 1983; Buenos Aires, 1985; Ottawa, 1987; and Lausanne, 1989), are not assigned to a specific office, but require scientific considerations;

NOTING that issuance of permits by a Management Authority without appropriate Scientific Authority findings constitutes a lack of compliance with the provisions of the Convention and seriously undermines species conservation;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS that

- a) the Secretariat distribute the addresses of the Scientific Authorities to the Parties, and note that failure of any Party to inform the Secretariat of its designated Scientific Authority in the infractions report to the Parties at each biennial meeting;
- b) Management Authorities not issue any export or import permit, or introduction-from-the sea certificate, for species listed in the appendices without first obtaining the appropriate Scientific Authority findings or advice;
- c) those Parties that are concerned about whether or not their procedures ensure the appropriate scientific review and Scientific Authority advice should consult with the Secretariat on ways to enhance their scientific assessment necessary for conservation of species listed in the appendices such as designating joint Scientific Authorities and seeking information from regional conservation centres, within country experts, and international specialist groups;
- d) the Parties consult with the Secretariat when there is reason for concern as to whether the proper Scientific Authority findings are being made;
- e) the appropriate Scientific Authority advise on the issuance of permits for export or introduction from the sea for Appendix-I or -II species stating whether or not the actions will be detrimental to the survival of the species in question and every export or introduction-from-the-sea permit be covered by Scientific Authority advice [re-export certificates do not require Scientific Authority advice];

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\* This document has been prepared and approved by Committee I on the basis of document Doc. 8.37 Annex.

- f) the findings and advice of the Scientific Authority of the country of export be based on the scientific review of available information on the population status, distribution, population trend, harvest, and other biological and ecological factors, as appropriate, and trade information relating to the species concerned;
- g) the appropriate Scientific Authority of the importing country advise on the issuance of permits for the import of Appendix-I species stating whether the import will be for purposes not detrimental to the survival of the species;
- h) the appropriate Scientific Authority monitor the status of native species and export data as appropriate, in order to recommend suitable remedial measures to limit the export of specimens to maintain that species throughout its range at a level consistent with its role in the ecosystem and well above the level at which that species may become eligible for inclusion in Appendix I;
- i) the appropriate Scientific Authority either make the findings required on the suitability of the recipient to house and care for live specimens of Appendix-I species being imported or introduced from the sea, or make its recommendations to the Management Authority prior to the latter making such findings and the issuance of permits;
- j) the appropriate Scientific Authority provide advice to its Management Authority as to whether or not scientific institutions seeking registration for the purpose of being issued scientific-exchange certificates meet the criteria established in Resolution Conf. 2.14, and other standards or any stricter national requirements;
- k) the appropriate Scientific Authority review all applications submitted for consideration under Article VII, paragraph 4 or 5, and advise its Management Authority as to whether the facility meets the criteria for producing specimens considered to be bred in captivity or artificially propagated in accordance with the Convention and relevant Resolutions;
- l) the appropriate Scientific Authority gather and analyze information on the biological status of species affected by trade to assist in the preparation of proposals necessary to amend the appendices; and
- m) the appropriate Scientific Authority review proposals to amend the appendices submitted by other Parties and make recommendations as to how the delegation of its own country should address each proposal; and

DIRECTS the Secretariat, in consultation with appropriate experts, to prepare general guidelines for conducting appropriate scientific reviews by Scientific Authorities to make findings as required by Articles III, IV, and V of the Convention. These guidelines should be provided to the Animals Committee and Plants Committee for review. Furthermore, the Secretariat should co-ordinate regional workshops on the conduct of Scientific Authorities.

CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES  
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Eighth Meeting of the Conference of the Parties  
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AGREEMENT BETWEEN THE CITES STANDING COMMITTEE  
AND THE EXECUTIVE DIRECTOR OF UNEP\*

1. The Secretary General (the Chief Officer of the Secretariat of the Convention) shall be appointed by the Executive Director of UNEP in accordance with the United Nations personnel rules, and after consulting with the Standing Committee. The consultation will be such that every effort will be made to appoint a Secretary General acceptable to the Standing Committee, while recognizing that the United Nations personnel rules will govern the appointment. Other staff members will also be appointed under the United Nations personnel rules, which provide for consultation with the Secretary General. The consultation will be such that every effort will be made to appoint candidates the Secretary General considers acceptable for the effective conduct of the business of the Secretariat.
2. The Executive Director will act in conformity with the provisions of Articles XI and XII of the Convention on these and other functions as may be entrusted to the Secretariat by the Parties. The Executive Director shall ensure that the Secretary General implements the policy guidance of the Conference of the Parties and between the meetings of the Conference of the Parties the policy guidance of the Standing Committee in exercising the functions of the Secretariat in accordance with Articles XI and XII of the Convention and other functions as may be entrusted to the Secretariat by the Parties.

3. Financial Matters

The Standing Committee oversees on behalf of the Parties the development and execution of the Secretariat budget as derived from the Trust Fund and other sources. The Executive Director will be guided by the specific resolutions established by each meeting of the Conference of the Parties with respect to matters related to the financing and budgeting of the Secretariat. The Executive Director shall consult with the Standing Committee before implementing decisions which cause an unforeseen increase in the budget of the Secretariat.

4. Personnel Matters

The Executive Director will inform the Standing Committee in advance of any significant action with respect to the Secretariat which may affect the interests of the Parties or the efficient administration of the Convention, and will consider carefully the views the Standing Committee presents to him on such actions and in appraising the performance of the Secretary General.

5. Other Posts

The appointment of individuals to posts in the Secretariat financed by Governments or other institutions over and above their normal contributions to the CITES Trust Fund will be confirmed through the normal appointment process of the United Nations Environment Programme, and will be subject to the terms of an agreement negotiated between the originating Government agency and UNEP.

6. Evaluation of Personnel

The evaluation of the performance of the incumbents of all posts shall be in accordance with the applicable Staff Rules of the United Nations, which provide for the full participation of the supervisors of the Secretariat.

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\* This document has been prepared and approved by Committee II on the basis of document Doc. 8.16 Annex.

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

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Eighth Meeting of the Conference of the Parties  
Kyoto (Japan), 2 to 13 March 1992

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES\*

Improving the Regulation of Trade in Plants

BEING AWARE that the Convention provides measures for international co-operation for the protection of certain species of wild plants against over-exploitation through international trade;

BEING AWARE that the original text of the Convention and several of the Resolutions of the Conference of the Parties on plants may not or could not have been drafted in the light of modern developments in plant propagation and of the trade in artificially propagated plants;

RECALLING the many specific problems the Parties to the Convention have faced and still face in implementing the Convention for plants;

RECOGNIZING that there are unique aspects of the plant trade and plant biology such as flaked orchid seedlings that are not considered analogous to those for animals, and that a different approach for plants is sometimes necessary;

NOTING that Resolution Conf. 2.12, adopted at the second meeting of the Conference of the Parties (San José, 1979), does not mention all forms of artificial propagation;

OBSERVING that artificial hybridization is readily and often accomplished in some plant groups and that the resulting hybrids and their progeny may be extensively traded;

AWARE of the charge in the Summary Report of the CITES Plant Working Group (document Doc. TEC. 1.11) to improve and simplify the regulation of trade in artificially propagated plants;

RECOGNIZING the guidance of Resolution Conf. 2.13, adopted at the second meeting of the Conference of the Parties (San José, 1979), in regulating the trade in hybrids under the Convention;

NOTING that the intentions of document Doc. 6.23 are not fully reflected in the wording of Resolution Conf. 6.19, adopted at the sixth meeting of the Conference of the Parties (Ottawa, 1987);

RECOGNIZING that the control of the trade in flaked seedlings of orchids is not considered relevant to the protection of the natural populations of orchid species considered;

CONSIDERING that uniform implementation of the provisions of the Convention is necessary for it to function well;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

DETERMINES

- a) that with regard to the definition of artificially propagated
  - i) the term "artificially propagated" should be interpreted to refer only to plants grown from seeds, cuttings, divisions, callus tissues or other plant tissues, spores or other propagules under controlled conditions;

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\* This document has been prepared and approved by Committee II on the basis of document Doc. 8.27 Annex.

"under controlled conditions" means in a non-natural environment that is intensively manipulated by human intervention for the purpose of producing selected species or hybrids. General characteristics of controlled conditions may include but are not limited to tillage, fertilization, weed control, irrigation, or nursery operations such as potting, bedding, or protection from weather;

- ii) the cultivated parental stock used for artificial propagation must be:
    - A) established and maintained in a manner not detrimental to the survival of the species in the wild; and
    - B) managed in such a way that long term maintenance of this cultivated parental stock is guaranteed; and
  - iii) grafted plants only be recognized as artificially propagated when both the root stock and the graft have been artificially propagated;
- b) that, with regard to artificially propagated hybrids of Appendix-I species, the application of Resolution Conf. 2.13, decision c), be restricted in such a way that:
- i) plant species or other taxa listed in Appendix I be annotated (in accordance with Article XV) if compliance with Resolution Conf. 2.13, decision c), is required for artificially propagated hybrids, in order that the provisions of the most restrictive appendix shall apply;
  - ii) if a plant species or other taxon listed in Appendix I is annotated, an export permit (or re-export certificate) is required for trade in specimens of all artificially propagated hybrids derived from it; but
  - iii) artificially propagated hybrids derived from one or more unannotated Appendix-I species or other taxa are regarded as being included in Appendix II and entitled therefore to all exemptions applicable to artificially propagated specimens of species listed in Appendix II; and
- c) that flaked seedlings of orchid species listed in Appendix I are interpreted as being exempted from CITES control, taking into account the provisions of Article VII, paragraph 4, and Article I, paragraph (b) (iii) and the recommendations of Resolution Conf. 6.18, and agreeing to a derogation of Resolution Conf. 5.9 for this exemption; and

DECIDES that the Resolutions, or parts thereof, listed hereunder be repealed:

- a) Resolution Conf. 2.12 (San José, 1979) - Specimens Bred in Captivity or Artificially Propagated - recommendation c); and
- b) Resolution Conf. 6.19 (Ottawa, 1987) - Additional Considerations for Artificially Propagated Hybrids of Appendix-I Plants.



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DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES\*

Stocks of Hair and Cloth of Vicuna

CONSIDERING that the vicuna (Vicugna vicugna) is listed in Appendix I;

CONSIDERING that populations of vicuna of Chile (part of the population of Parinacota Province) and of Peru (populations of Lucanas, Azangaro, Junín, Arequipa and Cailloma Provinces) were listed in Appendix II at the sixth meeting of the Conference of the Parties (Ottawa, 1987) for the exclusive purpose of trading in cloth made from wool sheared from live animals, and that the afore-mentioned cloth may only be traded if identified by the trade mark and logo "VICUÑANDES CHILE" and "VICUÑANDES PERU" depending on the country of origin, in accordance with the decision adopted by the signatory countries of the Convenio de la Vicuña (Vicuna Convention);

RECOGNIZING that stocks of cloth manufactured from vicuna, as well as hair have been detected in countries such as the United Kingdom of Great Britain and Northern Ireland and Japan and in the British Territory of Hong Kong;

CONSIDERING that the eighth regular meeting of the Comisión Técnico Administradora del Convenio para la Conservación y Manejo de la Vicuña (Argentina, Bolivia, Chile, Ecuador and Peru) took place in Chile in September 1987 and that it adopted Resolution No. 56/87, addressed to the CITES Secretariat, requesting that the Secretariat recommend to all Parties and especially to those Parties that have stocks of vicuna cloth and hair that they submit within a determined time limit a list of those stocks and suggesting, also, that the latter Parties manufacture cloth with the fibres in stock as soon as possible;

CONSIDERING that, based on Resolution No. 56/87 adopted by the signatory States of the Convenio para la Conservación y Manejo de la Vicuña the CITES Secretariat submitted Notification to the Parties No. 472 asking the Parties to respond favourably;

CONSCIOUS that Resolution No. 97/90 adopted by the eleventh regular meeting of the Comisión Técnico Administradora del Convenio de la Vicuña reminds the CITES Secretariat of the agreement adopted under Resolution No. 56/87;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS

- a) that all Parties that are not members of the Convenio para la Conservación y Manejo de la Vicuña inform the Secretariat about their commercial trade in vicuna cloth in their annual reports;
- b) that the Management Authority of an importing State authorize the import of vicuna cloth only if the reverse bears the logo-type corresponding to the country of origin and the trade mark VICUÑANDES-CHILE or VICUÑANDES-PERU or if it is cloth containing pre-Convention fibres of vicuna;
- c) that importing countries in consultation with the Secretariat verify the validity of export permits for vicuna cloth in order to ascertain their origin;
- d) that any State member of the Convenio para la Conservación y Manejo de la Vicuña that exports vicuna cloth in accordance with this Resolution, inform the Secretariat on an annual basis about the quantity of products exported, the

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\* This document has been prepared and approved by Committee II on the basis of document Doc. 8.55 (Rev.) Annex.

number of animals sheared and the local populations to which they belong and that it submit a report to the regular meetings of the Conference of the Parties; and

- e) that all Parties immediately apply stricter domestic controls on the commercial trade in vicuna cloth.

CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES  
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DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES\*

Standardization of CITES Permits and Certificates

RECALLING the provisions of Article VI of the Convention regarding permits and certificates;

CONSCIOUS of the need to meet the requirements of the Convention regarding the contents of permits and certificates;

CONSIDERING that the effectiveness of the Convention depends upon the presentation of permits and certificates whose validity can be easily verified;

OBSERVING that false documents and invalid documents are used more-and-more often for fraudulent purposes and that appropriate measures are needed to prevent such documents from being accepted;

CONSIDERING the need to improve the standardization of export certificates and re-export certificates;

CONSIDERING that Resolution Conf. 3.6, adopted at the third meeting of the Conference of the Parties (New Delhi, 1981), recommended that a standard model for permits and certificates be used by the Parties;

CONSCIOUS that the data carried on permits and certificates must supply maximum information, as much for export as for import, to allow a verification of the conformity between the merchandise and the document;

RECALLING also the definitions of "bred in captivity" and "artificially propagated" adopted at the second meeting of the Conference of the Parties (San José, 1979) in Resolution Conf. 2.12, and the requirements of Article VII, paragraphs 4 and 5, of the Convention pertaining to the issuance of permits and certificates for specimens bred in captivity or artificially propagated;

CONSCIOUS that the standard model permit should only be modified in exceptional cases, and after a thorough study, and that Resolution Conf. 7.3, adopted at the seventh meeting of the Conference of the Parties (Lausanne, 1989), directed the Secretariat to conduct such a study and to make recommendations for consideration at the eighth meeting;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS that Parties wishing to modify their permit and certificate forms, to reprint existing documents or to introduce new documents, first ask the Secretariat for advice;

AGREES

- a) that, to fulfil the requirements of Article VI of the Convention, and relevant Resolutions, export and import permits, re-export and pre-Convention certificates, and certificates of captive breeding and artificial propagation should include all the information mentioned in the Annex of the present Resolution;
- b) that every form should be printed in one or more of the working languages of the Convention (English, Spanish, French) and in the national language if it is not one of the working languages;

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\* This document has been prepared and approved by Committee II on the basis of document Doc. 8.34 Annex.

- c) that every form should indicate which type of document it is (import or export permit/ re-export/ pre-Convention/ certificate of captive breeding or artificial propagation);
- d) that a re-export certificate should also specify:
  - i) the country of origin, the export permit number of the country of origin and its date of issue; and
  - ii) the country of last re-export, the re-export certificate number of that country and its date of issue; or
  - iii) if the case arises, justification for the omission of any of the afore-mentioned information;
- e) that an import permit (for specimens included in Appendix I) may carry, among other things, certification that the specimens will not be used for primarily commercial purposes and, in the case of live specimens, that the recipient has suitable facilities to house and care for them; and
- f) that a pre-Convention certificate should also specify:
  - i) that the specimen covered by the certificate is pre-Convention; and
  - ii) the date of acquisition of the specimen as defined in Resolution Conf. 5.11;

#### RECOMMENDS

- a) that the Parties indicate on their permits and certificates the number of specimens concerned and/or the unit of measurement used, in particular the weight (in kilograms), and avoid general descriptions such as "one case" or "one batch";
- b) that the Parties refuse permits and certificates if they have been altered (by rubbing out, scratching out, etc.), modified or crossed out, unless the alteration, modification or crossing-out has been authenticated by the stamp and signature of the authority issuing the document;
- c) that the Parties which do not already do so, affix a security stamp to each export/re-export permit/certificate;
- d) that, when a security stamp is affixed to a document it should be cancelled by a signature and a stamp or seal, preferably embossed;
- e) that, when a security stamp is affixed to a document, the number of the stamp also be recorded on the document;
- f) that, when a security stamp is affixed to a document, the Parties refuse the document if the security stamp is not cancelled by a signature and a seal;
- g) that the Parties state, on each of their permits and certificates, the purpose of the transaction using the following codes:
  - T** Commercial
  - Z** Zoos
  - G** Botanical gardens
  - Q** Circuses and travelling exhibitions
  - S** Scientific
  - H** Hunting trophies
  - P** Personal
  - M** Bio-medical research
  - E** Educational
  - N** Reintroduction or introduction into the wild
  - B** Breeding in captivity or artificial propagation;
- h) the use of the following codes to indicate the source of the specimens:
  - W** Specimens taken from the wild
  - R** Specimens originating from a ranching operation

- D** Appendix-I animals bred in captivity for commercial purposes, or Appendix-I plants artificially propagated for commercial purposes as well as parts and products thereof, exported under the provisions of Article VII, paragraph 4, of the Convention
- A** Plants that are artificially propagated in accordance with Resolution Conf. 2.12, as well as parts and products thereof, exported under the provisions of Article VII, paragraph 5, of the Convention (specimens of species included in Appendix I if they are not reproduced artificially for commercial purposes and specimens of species included in Appendices II and III)
- C** Animals bred in captivity in accordance with Resolution Conf. 2.12, as well as parts and products thereof, exported under the provisions of Article VII, paragraph 5, of the Convention (specimens of species included in Appendix I if they are not bred in captivity for commercial purposes and specimens of species included in Appendices II and III)
- F** F1 - generation animals born in captivity, but which do not fulfil the definition of "bred in captivity" in Resolution Conf. 2.12, as well as parts and products thereof
- U** Source unknown (**must be justified**)
- I** Confiscated or seized specimens;

- i) that the number of the "bill of lading " or "air way-bill" be stated on the permits and certificates when the means of transport used requires such a document;
- j) that, when a country has voluntarily fixed national export quotas for specimens of species included in Appendix I, for non-commercial purposes, and /or in Appendices II and III, it state on each export permit the total number of specimens already exported (including those covered by the permit in question) and the quota for the species concerned;
- k) that, when a country has export quotas allocated by the Conference of the Parties for specimens included in Appendices I and II, it state on each export permit the total number of specimens already exported (including those covered by the permit in question) and the quota for the species concerned; the exporting and importing countries involved in trade in specimens of species for which there are such quotas should send copies of the original export permits, issued or received as appropriate, to the Secretariat to ensure that the quotas are not exceeded;
- l) that the Parties which have not yet done so communicate to the Secretariat within one month of the eighth meeting of the Conference of the Parties, the names of the persons empowered to sign permits and certificates, as well as three specimens of each signature, and that all the Parties communicate within one month of any change thereto, the names of persons who have been added to the list of those already empowered to sign, the names of persons whose signature is no longer valid and the date these changes took effect;
- m) that, when a Party refuses to accept a permit or certificate, it keep the original or, if this is against its national laws, it should cancel the document indelibly, preferably by perforation, particularly the security stamp;
- n) that exported specimens and re-exported specimens not appear on the same document;
- o) that, for data processing reasons, the permit and certificate numbers should be limited to eight characters (digits, letters and spaces);
- p) that the Parties take appropriate security measures, recommended in Resolution Conf. 3.7, to reduce the risk of the fraudulent use or misuse of permits and certificates; and
- q) that each Party inform the other Parties, directly or through the Secretariat, of any stricter internal measures it has taken under Article XIV, paragraph 1 (a), of the Convention, and that, when a Party is informed of this, it should refrain from issuing documents that run counter to these measures;

#### REQUESTS the Secretariat

- a) to give to those Parties which request it, practical support in the printing of permits and certificates with adequate security guarantees; and
- b) when external funding is available, to have permit and certificate forms printed on security paper for those Parties requesting it; and

REPEALS Resolution Conf. 7.3 (Lausanne, 1989) - Export/Re-export Permits/Certificates.

Information that Should Be Included in CITES  
Permits and Certificates

- \* a) The full name and logo of the Convention
- \* b) The complete name and address of the Management Authority issuing the permit
- c) The **complete** names and addresses of the exporter and importer
- d) The scientific name of the species to which the specimen belongs and the subspecies when it is important to determine in which appendix the taxon concerned is included
- e) The description of the specimens, in one of the Convention's three working languages, using the nomenclature of specimens distributed by the Secretariat
- f) The numbers of the marks appearing on the specimens if they are marked or if a Resolution of the Conference of the Parties prescribes marking (specimens from breeding ranches, subject to quotas approved by the Conference of the Parties, or originating from operations practising the breeding in captivity for commercial purposes of animals included in Appendix I, etc.)
- g) The appendix in which the species or subspecies or population is listed
- h) The source of the specimen
- i) The quantity of specimens and, if appropriate, the unit of measure used
- j) The date of issue and the date of expiry
- k) The name of the signatory and his handwritten signature
- l) The embossed seal or ink stamp of the Management Authority
- m) A statement that the permit, if it covers live animals, is only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in case of air transport, with the IATA Live Animals Regulations
- n) The registration number of the operation, attributed by the Secretariat, when the permit involves specimens of a species included in Appendix I that originate from an operation practising breeding in captivity or artificial propagation for commercial purposes (Article VII, paragraph 4, of the Convention), and the name of the operation when it is not the exporter
- o) The actual quantity of specimens exported, certified by the seal and signature of the authority which carried out the inspection during the exportation
- \* **THIS INFORMATION SHOULD ALREADY BE PRINTED ON THE FORM**

CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES  
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DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES\*

Quotas for Leopard Hunting Trophies and Skins for Personal Use

RECALLING that with the exception of the rare cases of exemptions granted under Article VII of the Convention, trade in Appendix-I species is prohibited;

RECALLING that the leopard Panthera pardus is listed in Appendix I;

RECOGNIZING that in some sub-Saharan countries the population of the leopard is not endangered;

RECOGNIZING also that the killing of specimens of leopard may be sanctioned by countries of export in defence of life and property and to enhance the survival of the species;

RECOGNIZING further that these countries of export may trade in such dead specimens in accordance with Resolution Conf. 2.11, adopted at the second meeting of the Conference of the Parties (San José, 1979), and may grant export permits in accordance with paragraph 2 of Article III of the Convention;

RECALLING that paragraph 3(c) of Article III of the Convention provides that import permits shall be granted only when a Management Authority of the State of import is satisfied that the specimen is not to be used for primarily commercial purposes, and that paragraph 2(a) of Article III of the Convention provides that export permits shall be granted only when a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of that species;

RECOGNIZING the desire of the Parties that the commercial market for leopard skins should not be reopened;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS

- a) that, in reviewing applications for permits to import whole skins or nearly whole skins of leopard, in accordance with paragraph 3(a) of Article III of the Convention, the Scientific Authority of the State of import approve permits if it is satisfied that the skins being considered are from one of the following States, which may not export more of the said skins in any one calendar year than the number shown under "quota" opposite the name of the State:

<u>State</u>	<u>Quota</u>
Botswana	100
Central African Republic	40
Ethiopia	500
Kenya	80
Malawi	50
Mozambique	60
Namibia	100
South Africa	75
United Republic of Tanzania	250
Zambia	300
Zimbabwe	500

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\* This document has been prepared and approved by Committee I on the basis of Resolution Conf. 7.7.

- b) that, in reviewing applications for permits to import whole skins or nearly whole skins of Panthera pardus (including hunting trophies), in terms of paragraph 3(c) of Article III of the Convention, the Management Authority of the State of import may be satisfied that the said skins are not to be used for primarily commercial purposes if:
- i) the skins are acquired by the owner in the country of export and are being imported as personal items that will not be sold in the country of import; and
  - ii) the owner imports no more than two skins in any calendar year if this is authorized by the legislation of the country of export;
- c) that the Management Authority of a State of import permit the import of leopard skins in accordance with this Resolution only if the skins have a self-locking tag attached which indicates the State of export, the number of the specimen in relation to the annual quota and the calendar year to which the quota applies -- for example ZW 6/500 1989 indicating that Zimbabwe is the State of export and that the specimen is the sixth specimen exported by Zimbabwe out of its quota of 500 for 1989 -- and if the same information as is on the tag is given on the export document;
- d) that, in the case of whole or nearly whole leopard skins traded according to the terms of this Resolution, the words "has been granted" in paragraph 2(d) of Article III of the Convention be deemed to have been satisfied upon the written assurance of the Management Authority of the State of import that an import permit will be granted;
- e) that each State that exports leopard skins in terms of this Resolution report the number of skins so exported annually to the Secretariat and that the Secretariat submit a report to each regular meeting of the Conference of the Parties; and
- f) that the system adopted in this Resolution be continued, with any increase in a quota or any new quota (i.e., for a State not previously having one) requiring the consent of the Conference of the Parties.