

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

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Thirteenth meeting of the Conference of the Parties  
Bangkok (Thailand), 2– 14 October 2004

Interpretation and implementation of the Convention

Amendment of the Appendices

CRITERIA FOR AMENDMENT OF APPENDICES I AND II

1. This document has been prepared by the Chairmen of the Animals and Plants Committees.
2. At the 12th meeting of the Conference of the Parties (CoP12; Santiago, 2002), the Parties adopted Decision 12.97 containing new terms of reference for the continued analysis and revision of Resolution Conf. 9.24 (Rev. CoP12), as follows:

*The Conference of the Parties adopted the following terms of reference for the review of the criteria for amendment of Appendices I and II, to be completed by the 13th meeting of the Conference of the Parties.*

- a) *The revised version of Annex 4 of document CoP12 Doc. 58 compiled by the Chairman of the Criteria Working Group (CWG) formed by Committee I during the 12th meeting of the Conference of the Parties (the CWG12 Chairman's text) will form a basis for further discussion, in recognition of the substantial and constructive efforts contributed by the Parties, the intersessional Criteria Working Group set up at the 11th meeting of the Conference of the Parties, FAO, the Criteria Working Group formed during the 12th meeting of the Conference of the Parties, and others.*
  - b) *The Animals and Plants Committees shall coordinate an open, transparent and broadly consultative process involving all Parties to consider further revision of the CWG12 Chairman's text.*
  - c) *The process should include reviews of selected taxa, to ensure that the applicability of the criteria and guidelines to a broad array of taxa is assessed, and results of these reviews should be made widely available.*
  - d) *The Animals and Plants Committees shall report to the Standing Committee before a date to be established by the Standing Committee.*
3. At its 49th meeting (SC49, Geneva, April 2003), the Standing Committee decided that the Animals and Plants Committees should submit at CoP13 a progress report on the review of the criteria for amendment of Appendices I and II. The Standing Committee also agreed that the review should focus on the finalization of the text in document CoP12 Com. I. 3 and that tests of the applicability of the criteria should be conducted on a limited number of taxa to be selected by the Animals and Plants Committees.
  4. At their 13th and 19th meetings respectively (Geneva, August 2003), the Plants and Animals Committees adopted the following common approach for completing the review of the criteria for amendment of Appendices I and II.
    - a) The 'limited taxonomic review', as called for at SC49, would be conducted before any further discussion of changes to the existing text concerning the criteria. The draft revised criteria contained in document CoP12 Com. I. 3, as produced by the Criteria Working Group at CoP12,

therefore would be used to conduct the taxonomic reviews. This would allow the identification of problems with the current text in document CoP12 Com. I. 3 before it is further revised.

- b) To expedite the review process, the Animals and Plants Committees would adopt at their meetings in August 2003 a list of taxa for review (see Annex 1). This list of species would include taxa:
  - i) from a representative range of major taxonomic groups;
  - ii) that have geographically varied ranges;
  - iii) with varied life histories;
  - iv) that are involved in trade to different degrees and in different forms (i.e. live, parts and derivatives, etc.); and
  - v) whose biology, distribution, conservation status, population trends and trade are well documented (e.g. for which proposals were submitted at recent meetings of the Conference of the Parties, or which were recently reviewed under the Review of Significant Trade or periodic review of the Appendices, etc.).
- c) The taxonomic reviews would be conducted intersessionally between meetings of the technical committees by a working group comprising the Chairmen of the Animals and Plants Committees, regional representatives in the Animals and Plants Committees, and observer Parties directly involved in the taxonomic reviews.
- d) One or two Parties would conduct a coordinated taxonomic review of a single species with the collaboration, if necessary, of other relevant bodies willing to assist on a voluntary basis. The regional representatives would coordinate taxonomic reviews carried out by Parties within their respective regions and report to the Chairmen.
- e) The analyses and conclusions reached by the intersessional working group would be reviewed at a joint meeting of the Animals and Plants Committees, if possible, taking into account the comments received through the taxonomic reviews.
- f) In order to help focus the revision of the draft revised criteria contained in document CoP12 Com. I. 3, allow for comments on problem areas, and provide a mechanism for recommending specific modifications to the text in document CoP12 Com. I. 3 to improve it for particular taxa, the taxonomic reviews would be conducted using a standard format.
- g) The following time-frame was designed and followed, to allow the Animals and Plants Committees to complete the tasks directed to them under Decision 12.97:
  - 12-15 August 2003: The Animals and Plants Committees discussed the workplan and the list of species (animals, plants and fungi) for review at their meetings in Geneva, and achieved consensus on objectives and deadlines.
  - 16 August to 5 September 2003: A contact group comprising Spain, the United Kingdom of Great Britain and Northern Ireland, and the United States of America, finalized edits to document CoP12 Com. I. 3 to produce a clean version (without strikethrough, coloured lines, marked changes or comments from the CoP12 Criteria Working Group) and drafted guidelines for conducting the review.
  - 6 September to 31 October 2003: An intersessional working group was established by the Animals and Plants Committees and, together with the Chairmen of the Committees, worked toward completing the taxonomic reviews of species, using a common format. The taxonomic reviews were done free of charge by scientific teams from Argentina, Australia, Canada, Chile, China, France, Guatemala, Japan, Kenya, Mexico, the Netherlands, New Zealand, Norway, Paraguay, South Africa, Spain, Turkey, the United Kingdom, and the United States of America (see Annex 1).

- 1–30 November 2003: The Chairmen of the Animals and Plants Committees compiled the results of the taxonomic reviews.
  - 5 December 2003: The Secretariat posted the results of the taxonomic reviews on the CITES website.
  - 5 December 2003– February 2004: Parties submitted comments on the results of taxonomic reviews to the Animals and Plants Committees through their regional representatives.
  - February and March 2004: At their respective meetings the Animals and Plants Committees analysed the results of the taxonomic reviews, discussed revisions of document CoP12 Com. I. 3, and drafted the joint Resolution now submitted for consideration at CoP13 in Annex 3 of this document.
  - March 2004 (SC50): The Chairmen of the Animals and Plants Committees submitted a progress report to the Standing Committee.
  - May 2004: A final draft resolution will be posted on the CITES website before the 150-day deadline for submitting documents for CoP13.
5. The Animals and Plants Committees have prepared, for consideration by the Conference of the Parties, a draft resolution to replace Resolution Conf. 9.24 (Rev. CoP12) which is the result of an enormous input by many individuals, Parties, inter-governmental organizations and NGOs. Annex 2 of this document presents Resolution Conf. 9.24 (Rev. CoP12) with the proposed changes marked (text to be deleted in strikethrough, and proposed new text underlined). This has been prepared by the Secretariat and is presented for information only. Annex 3 of this document contains a clean version of the draft resolution. The Committees would like to draw attention to the outstanding question noted in the draft resolution under Annex 1, paragraph D, and to the need to verify whether Annex 6 is fully consistent with the rest of the Resolution.
6. The Chairmen of the Animals and Plants Committees are deeply thankful for the valuable contributions from the CITES community worldwide into this process. Both Committees agreed, with applause, on the revised draft resolution that is now submitted to the Conference of the Parties.

#### COMMENTS FROM THE SECRETARIAT

- A. The Secretariat congratulates the Animals and Plants Committees on a thorough and searching review of the existing criteria for the amendment of Appendices I and II. The Secretariat believes that the extent and nature of the changes proposed by the Committees indicate that the criteria established at CoP9 were largely appropriate and applicable. On balance, the changes proposed by the Committees offer an improvement, although they lack clarity in parts.
- B. In the view of the Secretariat, enough time has been spent on this matter and little would be gained from further extensive deliberations, either at CoP13 or in the immediate future. With respect to the four points unresolved by the Committees, the Secretariat recommends as follows:
1. In Annex 1 A. ii) only the text outside the brackets should be retained as smaller sub-populations are usually more vulnerable to extinction from stochastic events;
  2. In Annex 1 A. iii) the word "geographical" should be retained as it improves understanding of the phrase;
  3. As meetings of the Conference of the Parties are held approximately every three years, there is little to be gained from retaining paragraph D of Annex 1 of the criteria; and
  4. In the definition of "Near future" in Annex 5, 20 years would appear to involve a considerable degree of speculation and 10 years may be a timeframe over which reasonable inferences could be made. This figure was also mentioned in earlier Animals and Plants Committee documents.

C. The Secretariat suggests the following additional changes to Annex 3 of CoP13 Doc. 57, which are intended to be entirely editorial in nature. If their consideration leads to discussion on the substance, then the Secretariat withdraws them:

1. In Annex 2b, first line of the chapeau:

“Species may be” to read “Species should be”

This is what the text of the Convention (Article II.2) says and also reflects the language used at the start of Annexes 1 and 2a.

2. In Annex 5, first line of the definition of "Area of distribution":

“Area of distribution of a species” to read “Area of distribution of a wild population”

The other changes the Committees made to this paragraph indicate that it is the wild population that is concerned here, not the species. This is also what is referred to in Annex 1, paragraph B where the term is used.

3. In Annex 5, definition of "Generation length":

Delete definition.

The definition is not necessary as the term is used in the revised Resolution only as one example within another of the definitions – that of “fluctuations”.

4. In Annex 5, definition of "Threatened with extinction":

Delete definition.

This definition is superfluous. The point at which a species is considered “threatened with extinction” is already explained clearly in the chapeau to Annex 1 and the caveats about numerical threshold values are given in the chapeau to Annex 5.

D. In keeping with suggestions made by the Animals and Plants Committees, the Secretariat would appreciate receiving any linguistic comments, particularly from French and Spanish speaking Parties, in advance of the meeting of the Conference.

Review of the criteria for listing on Appendix I and II

**Animal taxa reviewed and reviewers**

|    | <b>Taxon</b>  | <b>Reviewer</b>   | <b>Contact person</b>   |
|----|---|---|---|
| 1  | <i>Acipenser transmontanus</i><br>(White Sturgeon)            | – Marie T. Maltese, CITES<br>Scientific Authority (SA) of the<br>United States of America<br>– Robert Jones   | – Robert Gabel, U.S. Fish and<br>Wildlife Service (USFWS),<br>Virginia<br>– Robert Jones, Department of<br>Fisheries and Oceans, Canada |
| 2  | <i>Sardinops sagax</i><br>(California Sardine)                | – Pamela M. Mace, National<br>Marine Fisheries Service, USA   | – Robert Gabel  |
| 3  | <i>Melanogrammus aeglefinus</i><br>(Georges Bank Haddock)     | – Pamela M. Mace  | – Robert Gabel  |
| 4  | <i>Scleropages formosus</i> (Asian<br>Arowana)                | – John Field, USFWS, Virginia   | – Robert Gabel  |
| 5  | <i>Bufo boreas</i> (Boreal Toad)                              | – Eleanora Babij, USFWS,<br>Virginia<br>– Carl H. Ernst, George Mason<br>University, Virginia<br>– Terry Ireland, USFWS,<br>Colorado                | – Robert Gabel  |
| 6  | <i>Macrochelys temminckii</i><br>(Alligator snapping Turtle)  | – Karen Anderson, (SA) of the<br>United States of America<br>– Marie Maltese<br>– J. Whitfield Gibbons,<br>University of Georgia, South<br>Carolina | – Robert Gabel  |
| 7  | <i>Sardinops melanostictus</i><br>(Pacific Sardine)           | – Muneharu Tokimura   | – Muneharu Tokimura Fisheries<br>Research Agency, Kanagawa,<br>Japan  |
| 8  | <i>Clupea harengus</i> (Norwegian<br>spring spawning Herring) | – Arne Bjørge and Ingolf<br>Røttingen, Institute of Marine<br>Research, Bergen, Norway  | – Arne Bjørge, Institute of<br>Marine Research, Bergen,<br>Norway   |
| 9  | <i>Python anchietae</i> (Namibian<br>Dwarf Python)            | – M. Griffin  | – M. Griffin, Ministry of<br>Environment and Tourism,<br>Windhoek, Namibia  |
| 10 | <i>Corallium rubrum</i> (Red Coral)                           | – Vin Fleming<br>– Carlos Ibero, Adviser for the<br>SA of Spain   | – Vin Fleming, SA of the United<br>Kingdom, Peterborough<br>– Carlos Ibero, ATECMA,<br>Madrid   |
| 11 | <i>Pygoscelis adeliae</i> (Adelie<br>Penguin)                 | – Rod Hay and Rod<br>Hitchmough, Department of<br>Conservation, Christchurch,<br>New Zealand  | – Rod Hay, Department of<br>Conservation, Christchurch,<br>New Zealand  |
| 12 | <i>Parnassius apollo</i> (Apollo<br>Butterfly)                | – Carlos Ibero  | – Carlos Ibero  |
| 13 | <i>Eudyptes pachyrhynchus</i><br>(Fiordland crested Penguin)  | – Rod Hay<br>– Rod Hitchmough   | – Rod Hay   |
| 14 | <i>Probarbus jullieni</i> (Jullien's<br>golden Carp)          | – Vin Fleming   | – Vin Fleming   |

|    | <b>Taxon</b>  | <b>Reviewer</b>  | <b>Contact person</b>  |
|----|---|--|--|
| 15 | <i>Amazona finschi</i> (Lilac-crowned Amazon)                   | <ul style="list-style-type: none"> <li>- Hesiquio Benitez Diaz, Director of Liaison and International Affairs</li> <li>- Rodrigo A. Medellín, Instituto de Ecología, UNAM, Mexico</li> <li>- Eduardo Iñigo-Elias, Cornell Laboratory of Ornithology</li> <li>- Katherine Renton</li> </ul> | - Hesiquio Benitez Diaz, CONABIO: CITES SA of Mexico   |
| 16 | <i>Amazona oratrix</i> (Yellow-headed Amazon)                   | <ul style="list-style-type: none"> <li>- Hesiquio Benitez Diaz</li> <li>- Rodrigo A. Medellín</li> <li>- Eduardo Iñigo- Elias</li> <li>- Katherine Renton</li> </ul>   | - Hesiquio Benitez Diaz  |
| 17 | <i>Pandinus imperator</i> (Emperor Scorpion)                    | - Wilson R. Lourenço, Département Systématique et Evolution, Paris, France   | - Jacques Rigoulet, Muséum National d'Histoire Naturelle, Paris, France  |
| 18 | <i>Hippopus hippopus</i> (Bear Paw Clam)                        | - Bernard Metivier, Muséum National d'Histoire Naturelle, Paris, France  | - Jacques Rigoulet   |
| 19 | <i>Rhacodactylus leachianus</i> (Leach's Giant Gecko)           | - Ivan Ineich, Muséum National d'Histoire Naturelle, Paris, France   | - Jacques Rigoulet   |
| 20 | <i>Falco rusticolus</i> (Gyr Falcon)                            | <ul style="list-style-type: none"> <li>- Véronique Brondex</li> <li>- Michael Kreger, USFWS</li> <li>- Clayton White, Brigham Young University, United States of America</li> </ul>  | <ul style="list-style-type: none"> <li>- Véronique Brondex, Canadian Wildlife Service, Québec, Canada</li> <li>- Robert Gabel</li> </ul> |
| 21 | <i>Eschrichtius robustus</i> (Eastern North Pacific Gray whale) | <ul style="list-style-type: none"> <li>- Robert Gabel</li> <li>- Hesiquio Benitez Diaz</li> </ul>  | <ul style="list-style-type: none"> <li>- Robert Gabel</li> <li>- Hesiquio Benitez Diaz</li> </ul>  |
| 22 | <i>Eschrichtius robustus</i> (Eastern North Pacific Gray whale) | <ul style="list-style-type: none"> <li>- Hidehiro Kato and Tomio Miyashita, National Research Institute of Far Sea Fisheries, Shimizu, Japan</li> <li>- Luis A. Pastene, Institute of Cetacean Research, Todyo, Japan</li> </ul>   | - Hidehiro Kato, National Research Institute of Far Sea Fisheries, Shimizu, Japan  |
| 23 | <i>Eschrichtius robustus</i> (Western North Pacific Gray whale) | <ul style="list-style-type: none"> <li>- Hidehiro Kato</li> <li>- Tomio Miyashita</li> <li>- Luis A. Pastene</li> </ul>  | - Hidehiro Kato  |
| 24 | <i>Vicugna vicugna</i> (Vicuña)                                 | - Agustin Iriarte Walton   | - Agustin Iriarte Walton, Santiago, Chile  |
| 25 | <i>Ovis ammon</i> (Argali)                                      | <ul style="list-style-type: none"> <li>- Jiang Zhigan</li> <li>- Meng Zhibin</li> <li>- Fang Zhiyong</li> <li>- Wang Xiaoyan</li> <li>- Wang Jun</li> </ul>  | - Dr. Zhigan Jiang, Endangered Species Scientific Commission, Beijing, China   |

**Plant and fungi taxa reviewed and reviewers**

|   | <b>Taxon</b>   | <b>Reviewer</b>   | <b>Contact person</b>   |
|---|--|---|---|
| 1 | <i>Galanthus elwesii</i><br>(Snowdrops) (bulbs)              | <ul style="list-style-type: none"> <li>– Tuna Ekim and Mr. Neriman Ozhatay, Istanbul University, Istanbul, Turkey</li> <li>– Jan De Koning, Hortus Botanicus of Leiden University, SA of the Netherlands</li> <li>– Chris Schürmann, National Museum of Natural History, Leiden, the Netherlands, SA of the Netherlands</li> <li>– Noel McGough and Matthew Mustard</li> </ul>  | <ul style="list-style-type: none"> <li>– Noel McGough, Conventions &amp; Policy Section, Royal Botanic Gardens, Kew, SA of the United Kingdom</li> </ul>      |
| 2 | <i>Panax quinquefolius</i><br>(American ginseng) (rhizomes)  | <ul style="list-style-type: none"> <li>– Patricia Ford, USFWS Division of SA</li> <li>– Adrienne Sinclair</li> </ul>  | <ul style="list-style-type: none"> <li>– Robert R. Gabel</li> <li>– Adrienne Sinclair, Canadian Wildlife Service, Environment Canada, SA of Canada</li> </ul> |
| 3 | <i>Tillandsia xerographica</i><br>(Tillandsia) (epiphytes)   | <ul style="list-style-type: none"> <li>– Chris Schürmann</li> <li>– Jan de Koning</li> <li>– Eric Gouda, Utrecht University Botanical Gardens, the Netherlands</li> <li>– Michael Kiehn, Institute of Botany, University of Vienna, SA of Austria</li> <li>– Walter Till, Institute of Botany, University of Vienna, Austria</li> <li>– Otoniel Chacón, Julio Cruz Corzo, and Mygdalia Luz García Reyes, Departamento de Vida Silvestre, Consejo Nacional de Áreas Protegidas (CONAP), SA of Guatemala</li> <li>– Mario Véliz, Universidad de San Carlos de Guatemala.</li> </ul> | <ul style="list-style-type: none"> <li>– Chris Schürmann</li> </ul>   |
| 4 | <i>Strombocactus disciformis</i><br>(Cactus) (succulents)    | <ul style="list-style-type: none"> <li>– Patricia Dávila Aranda.– Scientific Advisor, SA of Mexico. Regional Representative of North America of the CITES Plants Committee</li> <li>– Hesiquio Benítez Díaz</li> <li>– Paola Mosig Reidl, CONABIO</li> <li>– Jorge Alvarez Romero, CONABIO</li> </ul>   | <ul style="list-style-type: none"> <li>– Patricia Dávila Aranda, FES Iztacala, UNAM, Mexico</li> </ul>  |
| 5 | <i>Turbincarpus pseudomacrolele</i><br>(Cactus) (succulents) | <ul style="list-style-type: none"> <li>– Patricia Dávila Aranda</li> <li>– Hesiquio Benítez Díaz</li> <li>– Paola Mosig Reidl</li> <li>– Jorge Alvarez Romero</li> </ul>  | <ul style="list-style-type: none"> <li>– Patricia Dávila Aranda</li> </ul>  |

|    | <b>Taxon</b>  | <b>Reviewer</b>  | <b>Contact person</b>  |
|----|---|--|--|
| 6  | <i>Zamia furfuracea</i> (Cycad)<br>(gymnosperms)                  | – John Donaldson, IUCN Cycad Specialist Group. Regional Representative for Africa of the CITES Plants Committee<br>– Andrew Vovides, IUCN Cycad Specialist Group, Institute of Ecology, Xalapa, Mexico                     | – John Donaldson, National Botanical Institute, South Africa   |
| 7  | <i>Cibotium barometz</i><br>(Tree fern)<br>(ferns)                | – Qin HaiNing and Dong ShiYong   | – Qin HaiNing, Chinese National Herbarium, Institute of Botany, CAS, Xiangshan, Beijing, China<br>– Baoguo Zhai, SA of China   |
| 8  | <i>Dionaea muscipula</i><br>(Venus flytrap)<br>(carnivorous)      | – Patricia Ford, USFWS Division of CITES SA<br>– Madeleine Groves, Conventions & Policy Section, Royal Botanic Gardens, Kew, SA of the United Kingdom  | – Robert R. Gabel<br>– Noel McGough  |
| 9  | <i>Pericopsis elata</i><br>(Afromosia)<br>(timber/tree)           | – Quentin Luke, Regional Representative for Africa of the CITES Plants Committee, National Museums of Kenya, Nairobi, Kenya<br>– Noel McGough<br>– Sara Oldfield, Fauna and Flora International, Cambridge, United Kingdom | – Noel McGough   |
| 10 | <i>Aloe ferox</i><br>(Aloe)<br>(medicinal)                        | – John Donaldson   | – John Donaldson   |
| 11 | <i>Dendrobium nobile</i><br>(Dendrobium)<br>(orchids)             | – Xiaohua Jin  | – Xiaohua Jin, Herbarium (KUN), Chinese Academy of Sciences, Kunming Institute of Botany, China<br>– Baoguo Zhai, CITES, China<br>– Noel McGough<br>– Fatima Mereles, Regional Representative for South, Central America and the Caribbean of the Plants Committee |
| 12 | <i>Cistanche deserticola</i><br>(Desert cistanche)<br>(parasitic) | – Qin HaiNing<br>– Cao Rui, Faculty of Life Science, University of Inner Mongolia, China   | – Qin HaiNing<br>– Baoguo Zhai   |
| 13 | <i>Marojejya darianii</i><br>(palms)                              | – John Dransfield, Herbarium, Royal Botanic Gardens, Kew, United Kingdom   | – Noel McGough   |
| 14 | <i>Ravenea louvelii</i><br>(palms)                                | – John Dransfield  | – Noel McGough   |
| 15 | <i>Satranala decussilvae</i><br>(palms)                           | – John Dransfield  | – Noel McGough   |



|    | <b>Taxon</b>   | <b>Reviewer</b>   | <b>Contact person</b>   |
|----|--|---|---|
| 16 | <i>Pseudophoenix ekmanii</i><br>(palms)  | – Michael Maunder, Scott Zona and Carl Lewis, Fairchild Tropical Garden, United States of America<br>– Patricia S. De Angelis, USFWS, Division of SA  | – Robert R. Gabel   |
| 17 | <i>Prunus africana</i><br>(African cherry)<br>(timber bark)  | – Yves-Marie Allain, Adviser for the SA of France   | – Yves-Marie Allain, Muséum National d’Histoire Naturelle, Paris, France  |
| 18 | Non-listed Plants<br><i>Populus tremuloides</i><br>(Aspen) (temperate timber; clonal reproduction) | – Ken Farr  | – Ken Farr, Natural Resources Canada, Canadian Forest Service   |
| 19 | Non-listed Plants<br><i>Taxus brevifolia</i><br>(Western yew)<br>(temperate timber medicinal)      | – Ken Farr  | – Ken Farr  |
| 20 | Non-listed Fungi<br><i>Morchella esculenta</i><br>(Morel fungus)                                   | – Victoria Lichtschein and Milena Sosa Schmidt, Coordinación de Conservación de la Biodiversidad Secretaría de Ambiente y Desarrollo Sustentable, Argentina<br>– Greg Leach, Botanical Services, Natural Systems Division, Department of Infrastructure, Planning & Environment, Australia. Regional Representative for Oceania of the Plants Committee | – Victoria Lichtschein, Coordinación de Conservación de la Biodiversidad, Secretaría de Ambiente y Desarrollo Sustentable, CITES, Argentina |

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES

Proposed revision of Resolution Conf. 9.24 (Rev. CoP12) on  
Criteria for amendment of Appendices I and II

~~RECALLING that Resolution Conf. 9.24, adopted by the Conference of the Parties at its eighth ninth meeting (Fort Lauderdale, 1994) recommended that the text and the annexes of this Resolution be fully reviewed before the 12th meeting of the Conference of the Parties with regard to the scientific validity of the criteria, definitions, notes and guidelines and their applicability to different groups of organisms, held in Kyoto, Japan, in March 1992, was convinced that the criteria adopted at the first meeting of the Conference of the Parties (Bern, 1976) (Resolutions Conf. 1.1 and Conf. 1.2) did not provide an adequate basis for amending the Appendices, and directed the Standing Committee to undertake, with the assistance of the Secretariat, a revision of the criteria for amending the Appendices (Resolution Conf. 8.20);~~

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

~~NOTING that this review was carried out in consultation with the Parties and on the basis of initial technical work carried out by IUCN in collaboration with other experts;~~

~~NOTING further that all aspects of this review were addressed by a joint meeting of the Plants and Animals Committees, in association with the Standing Committee, held in Brussels in September 1993;~~

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

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

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

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

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

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

~~RECOGNIZING that the range States of a species subject to an amendment proposal should be consulted following the procedures recommended by the proponent, or on its behalf by the Secretariat, in accordance with the relevant Resolutions of the Conference of the Parties, and that the intergovernmental bodies having a function in relation to that species all Parties should shall be consulted as well by the Secretariat in accordance with Article XV, paragraph 1 (a), of the Convention;~~

~~NOTING the competence of certain intergovernmental organizations in relation to the management of marine species;~~

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

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

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

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

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

~~RECOGNIZING that by virtue of the precautionary principle the importance of the application of Rio Principle 15, the Precautionary Approach, in cases of uncertainty the Parties shall act in the best interest of the conservation of the species when considering proposals for amendment of Appendices I and II;~~

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

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

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

RESOLVES, that when considering ~~any proposals~~ to amend Appendix I or II, the Parties shall ~~apply, by virtue of the precautionary approach and in case of principle so that scientific uncertainty either as regards the status of a species or the impact of trade on the conservation of a species, should not be used as a reason for failing to~~ act in the best interest of the conservation of the species concerned and adopt measures that are proportionate to the anticipated risks to the species;

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

- a) ~~any species that is~~ are or may be affected by trade should be included in Appendix I in accordance with Article II, paragraph 1, if it they meets at least one of the biological criteria listed in Annex 1;
- b) ~~a species "is or may be affected by trade" if:~~
  - i) ~~it is known to be in trade; or~~
  - ii) ~~it is probably in trade, but conclusive evidence is lacking; or~~
  - iii) ~~there is potential international demand for specimens; or~~
  - iv) ~~it would probably enter trade were it not subject to Appendix I controls;~~
- e) ~~any species that meets the criteria for inclusion in Appendix II listed in Annex 2 a should be included in Appendix II in accordance with Article II, paragraph 2 (a);~~

- b) species should be included in Appendix II under the provisions of Article II, paragraph 2 (a), if they satisfy the criteria listed in Annex 2 a;
- ec) species should be included in Appendix II under the provisions of Article II, paragraph 2 (b), if they satisfy the criteria listed in Annex 2 b;
- ed) species should be included in more than one Appendix at the same time, and higher taxa should be included in the Appendices, only if the species or higher taxa concerned satisfy the relevant criteria listed in Annex 3;
- fe) species of which all specimens in trade have been bred in captivity or artificially propagated should not be included in the Appendices if there is ~~no~~ negligible probability of trade taking place in specimens of wild origin;
- gf) ~~any~~ species included in Appendix I for which sufficient data are available to demonstrate that ~~it~~ they does not meet the criteria listed in Annex 1 should be transferred to Appendix II only in accordance with the relevant precautionary measures listed in Annex 4;
- hg) ~~any~~ species included in Appendix II in accordance with Article II, paragraph 2 (a), that do not meet the criteria listed in Annex 2 a, should be deleted only in accordance with the relevant precautionary measures listed in Annex 4; and species included in accordance with Article II, paragraph 2 (b), because they look like the species subject to the deletion, or for a related reason, should also be deleted only in accordance with the relevant precautionary measures; and
- ih) the views, if any, of intergovernmental ~~organizations~~ bodies with competence for the management of the species concerned should be taken into account;

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

~~RESOLVES that entire geographically separate populations should not be included in the Appendices without prior consideration of negative consequences to conservation and management programmes for national populations or to sustainable development programmes involving such populations;~~

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

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

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

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

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

REPEALS the Resolutions listed hereunder: Conf. 9.24 (Rev. CoP12) (Santiago, 2002) – Criteria for Amendment of Appendices I and II.

- a) ~~Resolution Conf. 1.1 (Bern, 1976) – Criteria for the Addition of Species and Other Taxa to Appendices I and II and for the Transfer of Species and Other Taxa from Appendix II to Appendix I;~~
- b) ~~Resolution Conf. 1.2 (Bern, 1976) – Criteria for the Deletion of Species and Other Taxa from Appendices I and II;~~
- c) ~~Resolution Conf. 2.17 (San José, 1979) – Format for Proposals to Amend Appendix I or II;~~
- d) ~~Resolution Conf. 2.19 (San José, 1979) – Criteria for Addition of Extremely Rare Species to Appendix I;~~
- e) ~~Resolution Conf. 2.20 (San José, 1979) – The Use of the Subspecies as a Taxonomic Unit in the Appendices;~~
- f) ~~Resolution Conf. 2.21 (San José, 1979) – Species Thought to Be Extinct;~~
- g) ~~Resolution Conf. 2.22 (San José, 1979) – Trade in Feral Species;~~
- h) ~~Resolution Conf. 2.23 (San José, 1979) – Special Criteria for the Deletion of Species and Other Taxa Included in Appendix I or II without Application of the Bern Criteria for Addition;~~
- i) ~~Resolution Conf. 3.20 (New Delhi, 1981) – Ten-year Review of the Appendices;~~
- j) ~~Resolution Conf. 4.26 (Gaborone, 1983) – Ten-year Review of the Appendices;~~
- k) ~~Resolution Conf. 7.14 (Lausanne, 1989) – Special Criteria for the Transfer of Taxa from Appendix I to Appendix II; and~~
- l) ~~Resolution Conf. 8.20 (Kyoto, 1992) – Development of New Criteria for Amendment of the Appendices.~~

## Annex 1

### Biological criteria for Appendix I

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

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

A. The wild population is small, and is characterized by **at least one** of the following:

- i) an observed, inferred or projected decline in the number of individuals or the area and quality of habitat; or
- ii) [a small number of sub-populations or] each sub-population being very small; or
- iii) a majority of individuals, being concentrated [geographically] during one or more life-history phases, ~~being concentrated in one sub-population;~~ or
- iv) large short-term fluctuations in ~~the number of individuals~~ population size; or
- v) a high vulnerability due to either intrinsic or extrinsic factors ~~the species' biology or behaviour (including migration).~~

- B. The wild population has a restricted area of distribution and is characterized by **at least one** of the following:
- i) fragmentation or occurrence at very few locations; or
  - ii) large fluctuations in the area of distribution or the number of sub-populations; or
  - iii) a high vulnerability ~~due to either intrinsic or extrinsic factors~~ the species' biology or behaviour (including migration); or
  - iv) an observed, inferred or projected decrease in any one of the following:
    - the area of distribution; or
    - the area of habitat; or
    - the number of sub-populations; or
    - the number of individuals; or
    - ~~the area or~~ quality of habitat; or
    - ~~reproductive potential~~ the recruitment.
- C. A marked decline in the population size in the wild, which has been **either**:
- i) observed as ongoing or as having occurred in the past (but with a potential to resume); or
  - ii) inferred or projected on the basis of any one of the following:
    - a decrease in area ~~or quality~~ of habitat; or
    - a decrease in quality of habitat; or
    - levels or patterns of exploitation; or
    - ~~threats from extrinsic factors such as the effects of pathogens, competitors, parasites, predators, hybridization, introduced species and the effects of toxins and pollutants; or~~
    - a high vulnerability to either intrinsic or extrinsic factors ; or
    - a decreasing recruitment ~~reproductive potential.~~
- D. The status of the species is such that if the species is not included in Appendix I, it is likely to satisfy one or more of the above criteria within a period of five years. [The working group expressed differing views on the retention of this criterion, but it is retained here pending a final decision by the CoP]

## Annex 2 a

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

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

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

- A. It is known, or can be inferred or projected, that unless the regulation of trade in the species is subject to strict regulation, it will meet at least one of the criteria listed in Annex 1 necessary to avoid it becoming eligible for inclusion in Appendix I in the near future; or
- B. It is known, or can be inferred or projected, that regulation of trade in the species is required to ensure that the harvesting of specimens from the wild for international trade has, or may have, a detrimental impact on the species by either: is not reducing the wild population to a level at which its survival might be threatened by continued harvesting or other influences.

- i) ~~exceeding, over an extended period, the level that can be continued in perpetuity; or~~
- ii) ~~reducing it to a population level at which its survival would be threatened by other influences.~~

## Annex 2 b

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

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

- A. The specimens of the species in the form in which they are traded resemble specimens of a species included in Appendix II under the provisions of Article II, paragraph 2 (a), or in Appendix I, such that enforcement officers who encounter specimens of CITES-listed species, are a non-expert, with reasonable effort, is unlikely to be able to distinguish between them; or
- B. There are compelling reasons other than those given in criterion A above to ensure that The species is a member of a taxon of which most of the species are included in Appendix II under the provisions of Article II, paragraph 2 (a), or in Appendix I, and the remaining species must be included to bring trade in specimens of the others under effective control of trade in currently listed species is achieved.

## Annex 3

### Special cases

#### ***Split-listing***

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

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

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

Taxonomic names below the species level should not be used in the Appendices unless the taxon in question is highly distinctive and the use of the name would not give rise to enforcement problems.

#### ***Higher taxa***

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

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

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

## Annex 4

### Precautionary measures

- ~~A.~~—When considering proposals to amend Appendix I or II—the Appendices, the Parties shall, by virtue of the precautionary approach and in the case of uncertainty either as regards the status of a species or as regards the impact of trade on the conservation of a species, act in the best interest of the conservation of the species concerned and adopt measures that are proportionate to the anticipated risks to the species.
- AB.1. No species listed in Appendix I shall be removed from the Appendices unless it has been first transferred to Appendix II, with monitoring of any impact of trade on the species for at least two intervals between meetings of the Conference of the Parties.
2. Species included in Appendix I should only be transferred to Appendix II if they do not satisfy the relevant criteria in Annex 1 and only when ~~Even if such species do not satisfy the relevant criteria in Annex 1, they should be retained in Appendix I unless they satisfy one of the following precautionary safeguards is met—~~criteria:
- a) the species is not in demand for international trade, nor is its transfer to Appendix II likely to stimulate trade in, or cause enforcement problems for, any other species included in Appendix I; or
  - b) the species is likely to be in demand for trade, but its management is such that the Conference of the Parties is satisfied with:
    - i) implementation by the range States of the requirements of the Convention, in particular Article IV; and
    - ii) appropriate enforcement controls and compliance with the requirements of the Convention; or
  - c) an integral part of the amendment proposal is an export quota or other special measure approved by the Conference of the Parties, based on management measures described in the supporting statement of the amendment proposal, provided that effective enforcement controls are in place; or
  - ~~d) an integral part of the amendment proposal is an export quota approved by the Conference of the Parties for a specified period of time, based on management measures described in the supporting statement of the amendment proposal, provided that effective enforcement controls are in place; or~~
  - de) a ranching proposal is submitted consistent with the applicable Resolutions of the Conference of the Parties and is approved.
3. No proposal for transfer of a species from Appendix I to Appendix II shall be considered from a Party that has entered a reservation for the species in question, unless that Party agrees to remove the reservation within 90 days of the adoption of the amendment.
4. No species should be deleted from Appendix II if such deletion would be likely to result in it qualifying for inclusion in the Appendices in the near future.
5. No species should be deleted from Appendix II if, within the last two intervals between meetings of the Conference of the Parties, it has been subject to a recommendation under the provisions of the Review of Significant Trade to improve its conservation status.



BC. The following review procedures shall apply when a species is transferred to Appendix II pursuant to paragraphs ~~B- A.2.c) and B-2 d)~~ above.

1. Where the Plants Committee, the Animals Committee or a Party becomes aware of problems in compliance with the management measures and export quotas of another Party, the Secretariat shall be informed and, if the Secretariat fails to resolve the matter satisfactorily, it shall inform the Standing Committee which may, after consultation with the Party concerned, recommend to all Parties that they suspend trade with that Party in specimens of CITES- listed species, and/or request the Depositary Government to prepare a proposal to transfer the population back to Appendix I.
2. If, on review of a quota and its supporting management measures, the Animals or Plants Committee encounters any problems with compliance or potential detriment to a species, the relevant Committee shall request the Depositary Government to prepare a proposal for appropriate remedial action.

CD. With regard to quotas established pursuant to paragraph A.2.c) above.

1. ~~If the proponent a Party wishes to renew, amend or delete such a quota established pursuant to paragraph B-2 d) above, it shall submit an appropriate proposal for consideration at the next meeting of the Conference of the Parties. In anticipation of there being no such proposal submitted, the Depositary Government shall submit a proposal for consideration at the next meeting of the Conference of the Parties to impose a zero quota.~~
2. When a quota has been established for a limited period of time, after that period the quota will become zero until a new quota has been established.

DE. Species that are regarded as possibly extinct should not be deleted from Appendix I if they may be affected by trade in the event of their rediscovery; these species should be annotated in the Appendices as "p.e." (i.e. possibly extinct).

## Annex 5

### Definitions, notes explanations and guidelines

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

### **Species**

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

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

The two terms also cover varieties.

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

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

### **Affected by trade**

A species "is or may be affected by trade" if:

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

### **Area of distribution**

Area of distribution of a species is defined as the area contained within the shortest continuous imaginary boundary which can be drawn to encompass all the known, inferred or projected sites of occurrence, excluding cases of vagrancy and introductions outside its natural range (though inferring and projecting area of occurrence should be undertaken carefully, and in a precautionary manner). The area within the imaginary boundary should, however, exclude significant areas where the species does not occur, and so in defining an area of distribution, account should be taken of discontinuities or disjunctions in the spatial distribution of species. This encompasses the concept of area of occupancy. For migratory species, the area of distribution is the smallest area essential at any stage for the survival of that species (e.g. colonial nesting sites, feeding sites for migratory taxa, etc.). ~~For some~~ The determination that a species has in trade where data exist to make an estimate, a figure of less than 10,000 km<sup>2</sup> has been found to be an appropriate guideline (not a threshold) of what constitutes a restricted area of distribution is taxon-specific and should take into account considerations such as habitat specificity, population density and endemism. However, this figure is presented only as an example, since it is impossible to give numerical values that are applicable to all taxa. There will be many cases where this numerical guideline does not apply.

### **Decline**

A decline is a reduction in the ~~abundance number of individuals, or a decrease of the area of distribution, the causes of which are either not known or not adequately controlled. It need not necessarily still be continuing. Natural fluctuations will not normally count as part of a decline, but an observed decline should not be considered part of a natural fluctuation unless there is evidence for this. A decline that is the result of a harvesting programme that reduces the population to a planned level, not detrimental to the survival of the species, is not covered by the term 'decline'.~~ or area of habitat of a species. The assessment of decline by reference to area of habitat may be more appropriate where there are intrinsic difficulties in measuring the number of individuals.

Decline can be expressed in two different ways: (i) the overall long-term extent of decline or (ii) the recent rate of decline. The long-term extent of decline is the total estimated or inferred percentage reduction from a baseline level of abundance or area of distribution. The recent rate of decline is the percentage change in abundance or area of distribution over a recent time period. The data used to estimate or infer a baseline for extent of decline should extend as far back into the past as possible.

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

The extremes of 5% and 30% will be applicable to only a relatively small number of species, but some species may even fall outside of these extremes. However, both these figures are presented only as examples, since it is impossible to give numerical values that are applicable to all taxa because of

differences in their biology (see footnote with respect to application of decline to commercially exploited aquatic species).

For some species in trade where data exist to make an estimate, a decrease A general guideline for a marked recent rate of decline is a percentage decline of 50% per cent or more in total within 5 the last 10 years or three two generations, whichever is the longer, has been found to be an appropriate guideline (not a threshold) of what constitutes a decline. A guideline (not a threshold) of what constitutes a decline in a small wild population could be. If the population is small, a percentage decline of 20% per cent or more in the last total within ten 5 years or 2 three generations, (whichever is the longer) may be more appropriate. However, both these figures are presented only as examples, since it is impossible to give numerical values that are applicable to all taxa because of differences in their biology. There will be many cases where these numerical guidelines do not apply.

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

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

#### Extended period

The meaning of the term 'extended period' will vary according to the biological characteristics of the species. Selection of the period will depend upon the observed pattern of natural fluctuations in the abundance of the species and on whether the number of specimens removed from the wild is consistent with a sustainable harvesting programme that is based on these natural fluctuations.

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\* Application of decline for commercially exploited aquatic species:

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

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

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

A general guideline for a marked recent rate of decline is the rate of decline that would drive a population down within approximately a 10-year period from the current population level to the historical extent of decline guideline (i.e. 5-20% of baseline for exploited fish species). There should rarely be a need for concern for populations that have exhibited an historical extent of decline of less than 50%, unless the recent rate of decline has been extremely high.

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

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

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

## **Large fFluctuations**

~~Large fFluctuations occur in a number of species where the population size or area of distribution are considered large when the population size or area in question varies widely, rapidly or and frequently with a variation greater than one order of magnitude. For some species in trade where data exist to make an estimate, a figure of two years or less has been found to be an appropriate guideline (not a threshold) of what constitutes a. The judgement that there are large short-term fluctuations in the number of individuals is taxon-specific. For instance, it depends on the generation length of the taxon. However, this figure is presented only as an example, since it is impossible to give numerical values that are applicable to all taxa. There will be many cases where this numerical guideline does not apply.~~

## **Fragmentation**

~~Fragmentation refers to the case where most individuals within a taxon are found in small and relatively isolated sub-populations, which increases the probability that these small sub-populations will become extinct and the opportunities for re-establishment are limited. For some species in trade where data exist to make an estimate, an area of distribution of 500 km<sup>2</sup> or less for each sub-population has been found to be an appropriate guideline (not a threshold) of what constitutes fragmentation. However, this figure is presented only as an example, since it is impossible to give numerical values that are applicable to all taxa. There will be many cases where this numerical guideline does not apply.~~

## **Generation length**

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

## **Inferred or projected**

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

## **Near future**

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

## **Population issues**

### *Population*

~~Population refers to is measured as the total number of individuals of the species (as "species" is defined in Article 1 of the Convention and in this Annex). In the case of species biologically dependent on other species for all or part of their life cycles, biologically appropriate values for the host species should be chosen. For some species in trade where data exist to make an estimate, a figure of less than 5,000 individuals has been found to be an appropriate guideline (not a threshold) of what constitutes a small wild population. However, this figure is presented only as an example, since it is impossible to give numerical values that are applicable to all taxa. There will be many cases where this numerical guideline does not apply.~~

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

### Wild population

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

### Sub-populations

~~Sub-populations are defined as geographically or otherwise distinct groups in the population between which there is limited genetic little-exchange. For some species in trade where data exist to make an estimate, a figure of less than 500 individuals has been found to be an appropriate guideline (not a threshold) of what constitutes a very small sub-population. However, this figure is presented only as an example, since it is impossible to give numerical values that are applicable to all taxa. There will be many cases where this numerical guideline does not apply.~~

### Population size

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

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

### Small wild population

The judgement that a wild population is small is taxon-specific and can be justified by a number of considerations. For example, the population of a related taxonomic group. For some low productivity species where data exist to make an estimate, a figure of less than 5,000 individuals has been found to be an appropriate guideline (not a threshold) of what constitutes a small wild population but the number could be higher for higher productivity species. However, this figure is presented only as an example, since it is impossible to give numerical values that are applicable to all taxa. There will be many cases where this numerical guideline does not apply.

### Very small wild sub-population

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

### ***Possibly extinct***

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

### ***Recruitment***

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

### ***Threatened with extinction***

Threatened with extinction is defined by Annex 1. The vulnerability of a species to threats of extinction depends on its population demographics, biological characteristics (such as body size, trophic level, life

cycle, breeding structure or social structure requirements for successful reproduction), and vulnerability due to aggregating habits, natural fluctuations in population size, and/or residency/migratory patterns. This makes it impossible to give numerical threshold values for population size or area of distribution that are applicable to all taxa.

### Vulnerability

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

#### Intrinsic factors

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

#### Extrinsic factors

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

## **Annex 6**

### Format for proposals to amend the Appendices

The following provides information and instructions for the submission of a proposal to amend the Appendices and the appropriate supporting statement. Proponents should be guided by the need to provide to the Conference of the Parties sufficient information, of sufficient quality and in sufficient detail ~~(to the extent available)~~, to allow ~~it the Conference~~ to judge the proposal against the criteria established for the proposed action. This means that the relevant published and unpublished sources of information should be used, ~~but acknowledges that although~~ for some species the amount of scientific information will be limited. Analogy with related taxonomic groups or species that are ecologically similar may be used to guide judgements. Where research has been undertaken specifically to obtain information for the proposal, it should be presented in sufficient detail to be assessed by the Parties.

Parties are reminded that proposals should normally be limited to 12 pages (exclusive of references cited). If the proposal is longer than 12 pages, the proponent should provide translations into the working languages of the Convention. Furthermore, this means that it may not be possible to address all elements of the Pproposal Fformat.

## A. Proposal

The proponent should indicate the ~~intent of the specific action~~ amendment to the Appendices being proposed and any relevant annotations or qualifications. The proponent should justify the basis on which the species meets the relevant criteria ~~against which the proposal is to be judged~~.

- Inclusion in Appendix I or transfer from Appendix II to Appendix I. Specify which of the criteria in Annex 1 of the Resolution are satisfied.
- Inclusion in Appendix II
  - in accordance with Article II 2 (a). Specify which of the criteria in Annex 2a of the Resolution are satisfied.
  - in accordance with Article II 2 (b)
    - for reasons of look-alike problems (criterion A of Annex 2b). In this case, the names of the similar species already included in the Appendices should be given in section C711, "Additional remarks".
    - for other reasons (such as those referred to in Annexes 2a, paragraph B and/or 3 to this Resolution).
- Transfer from Appendix I to Appendix II in accordance with a precautionary measure specified in Annex 4 to this Resolution. Specify which of the criteria in Annex 2 of this Resolution are satisfied; specify why the criteria in Annex 1 of this Resolution are no longer satisfied; specify which of the measures in Annex 4 of this Resolution are satisfied or implemented.
- Deletion from Appendix II. Specify why the criteria in Annex 2 of this Resolution are not satisfied.
- Other action (provide explanation) (e.g. amendment of a quota).

## Annotations

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

- ensure that the proposed annotation is in compliance with the applicable Resolution;
- indicate the practical intent of the annotation;
- harmonize new annotations with existing annotations; and
- be specific and accurate as to affected parts and derivatives.

## B. Proponent

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

## C. Supporting statement

### 1. Taxonomy

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

#### 1.1 Class

#### 1.2 Order

### 1.3 Family

### 1.4 Genus, species or subspecies, including author and year

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

### 1.5 Scientific synonyms

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

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

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

### 1.7 Code numbers

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

## 2. Overview

Provide a brief overview of key elements of the proposal. Parties should cite key sections of the supporting statement.

## 3.2 Species characteristics ~~Biological parameters~~

The information required in this section is a summary of ~~the principal results of surveys~~, literature searches, and ~~other relevant~~ studies. The references used must be listed in section ~~812~~ of the proposal. It is understood that the quality of the information available will vary a lot, ~~but~~ these instructions indicate the type of information that is required. If the proposal relates to a geographically separate population or subspecies, it should consider, where relevant, the biological species in its entirety to provide the appropriate context.

### 32.1 Distribution

~~Specify Give an estimate of the currently known range of the species, and specify the references used. Specify the types of habitats occupied and, if possible, the extent of each habitat type over the range of the species.~~ If possible, provide information to indicate whether or not the distribution of the species is continuous and, if it is not, indicate to what degree it is fragmented.

### 32.2 Habitat availability

~~Specify the types of habitats occupied by the species and, when relevant, the degree of habitat specificity Give information on the nature, rate and the extent of each habitat loss and/or degradation, if possible with information from at least three points in time, and give the basis for future projections type over the range of the species.~~

## 3.3 Biological characteristics

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



### 3.4 Morphological characteristics

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

### 3.5 ~~2-6~~ Role of the species in its ecosystem

If available, provide ~~Give~~ information about the role of ~~specific relationship that exists between~~ this species in its the same ecosystem, and other relevant ecological information, as well as the potential impact of this proposal on that role. ~~Indicate the possible consequences of depletion of the population of the species proposed for listing, for those depending on or associated with it.~~

## 4. Status and trends

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

### 4.1 Habitat trends

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

### 4.2 ~~2-3~~ Population size ~~status~~

Give an estimate of the current total population or number of individuals ~~differentiated by relevant age classes where possible, or other indices of population abundance, based on the most recently available data. Provide information on the source of the data used. with: i) date and nature of census; and ii) justification for any inferences made about total population size and/or number of individuals.~~ Give ~~Where appropriate provide the number of sub-populations, and where possible their estimated sizes. , and the date and method of census. Give an estimate of, or information on, the size of the population in captivity.~~ Population size may be estimated by reference to population density, having due regard to habitat type and other methodological considerations.

### 4.3 Population structure

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

### 4.4 ~~2.4~~ Population trends

Basic, quantitative and qualitative information, when available, should be provided on current and past trends in whether the population of the species' abundance (provide sources) is increasing, stable or declining. The period over which these trends, if any, have been measured should be indicated. If the species naturally undergoes marked fluctuations in population size, information should be provided to demonstrate that the trend transcends natural fluctuations. If generation-time has been used in estimating the trend, state how the generation-time has been estimated.

#### 4.5 2-5 Geographic trends

~~Give data on the nature, rate and extent of decrease in range area or number of sub-populations, if possible with information from at least three points in time. Provide information, when available on current and past trends in the species' distribution, indicating the period over which these trends, if any, have been measured. If relevant g~~  
Give data on the degree and periodicity of fluctuations in the range-area or number of sub-populations, if possible with information from at least three points in time of distribution.

#### 5. 2-7 Threats

Specify the nature, intensity and if possible relative importance ~~extent~~ of human-induced threats (e.g. habitat loss and/or degradation; over-exploitation; effects of competition/predation/disease by introduced species, competitors, pathogens, parasites, predators, hybridization, and the effects of toxins and pollutants; etc.), ~~if possible with information from at least three points in time, and give the basis for future projections.~~

#### 63. Utilization and trade

##### 63.1 National utilization

~~Specify the types and extent of all known uses of the species Give data on the level of exploitation, indicating trends if possible. Specify the purposes of exploitation. Provide details of harvest methods. Indicate the extent to which utilization is from captive-bred, artificially propagated, or wild specimens. Assess the importance of the offtake and the relationship between national and international trade.~~

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

~~Where applicable, provide details of commercial captive breeding or artificial propagation operations for the species in question, including the size of captive stock and the production, and the extent to which these operations are either contributing to a conservation programme or meeting a demand that would otherwise be met by specimens from the wild.~~

##### 63.2 Legal international trade

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

##### 6.3 Parts and derivatives in trade

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

##### 6.4 3-3 Illegal trade

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

## 6.5 ~~3.4~~ Actual or potential trade impacts

~~Discuss the importance~~ Comment on the actual or potential trade impacts of current and/or future exploitation for international trade relative to overall use (domestic included) as a threat to the proposed amendment on the the species in question, or on whether trade may be beneficial to the survival of the species in question. Where applicable, include information on the actual or potential ecological impacts of the change in trade controls.

### 4. ~~Conservation and management~~

#### 7. ~~4.1~~ Legal status instruments

##### 7.1 ~~4.1.1~~ National

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

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

##### 7.2 ~~4.1.2~~ International

~~In preparing proposals to amend the Appendices, consult in advance with the relevant competent intergovernmental organizations responsible for the conservation and management of the species, and take their views fully into account.~~

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

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

#### 8. ~~4.2~~ Species management

##### 8.1 ~~4.2.3~~ Management measures

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

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

##### 8.2 ~~4.2.4~~ Population monitoring

Provide details of programmes in place ~~in the range States~~ to monitor the status of wild populations and the sustainability of offtake from the wild. ~~Such programmes might be under the~~

~~auspices of government or through non-governmental organizations or scientific institutions. Indicate the extent to which non-governmental monitoring programmes link to governmental decision-making.~~

### 8.3 ~~4.3~~ Control measures

#### 8.3.1 ~~4.3.1~~ International trade

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

#### 8.3.2 ~~4.3.2~~ Domestic measures

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

### 8.4 ~~3.5~~ Captive breeding and ~~or~~ artificial propagation ~~for commercial purposes (outside country of origin)~~

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

### 8.5 ~~4.2.2~~ Habitat conservation

Provide information, where available, regarding the number, size and type details of programmes in place in the range States to protected areas relevant to the habitat of the species in question, and on habitat conservation programmes both inside and outside protected areas. Provide details about the nature of the protection offered by the programmes in question.

### 8.6 Safeguards

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

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

### 9. 5. Information on similar species

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

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

10. ~~6-~~ Consultations ~~Other comments~~

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

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

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

11. ~~7-~~ Additional remarks

12. ~~8-~~ References

DRAFT RESOLUTION OF THE CONFERENCE OF THE PARTIES

Proposed revision of Resolution Conf. 9.24 (Rev. CoP12) on  
Criteria for amendment of Appendices I and II

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

## THE CONFERENCE OF THE PARTIES TO THE CONVENTION

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

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

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

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

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

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

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

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

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

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

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

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

## Annex 1

### Biological criteria for Appendix I

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

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

A. The wild population is small, and is characterized by **at least one** of the following:

- i) an observed, inferred or projected decline in the number of individuals or the area and quality of habitat; or
- ii) [a small number of sub-populations or] each sub-population being very small; or
- iii) a majority of individuals being concentrated [geographically] during one or more life-history phases; or
- iv) large short-term fluctuations in population size; or
- v) a high vulnerability to either intrinsic or extrinsic factors.

B. The wild population has a restricted area of distribution and is characterized by **at least one** of the following:

- i) fragmentation or occurrence at very few locations; or
- ii) large fluctuations in the area of distribution or the number of sub-populations; or
- iii) a high vulnerability to either intrinsic or extrinsic factors; or



iv) an observed, inferred or projected decrease in any one of the following:

- the area of distribution; or
- the area of habitat; or
- the number of sub-populations; or
- the number of individuals; or
- the quality of habitat; or
- the recruitment.

C. A marked decline in the population size in the wild, which has been **either**:

i) observed as ongoing or as having occurred in the past (but with a potential to resume); or

ii) inferred or projected on the basis of any one of the following:

- a decrease in area of habitat; or
- a decrease in quality of habitat; or
- levels or patterns of exploitation; or
- a high vulnerability to either intrinsic or extrinsic factors ; or
- a decreasing recruitment.

D. The status of the species is such that if the species is not included in Appendix I, it is likely to satisfy one or more of the above criteria within a period of five years. [The working group expressed differing views on the retention of this criterion, but it is retained here pending a final decision by the CoP]

#### Annex 2 a

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

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

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

A. It is known, or can be inferred or projected, that the regulation of trade in the species is necessary to avoid it becoming eligible for inclusion in Appendix I in the near future; or

B. It is known, or can be inferred or projected, that regulation of trade in the species is required to ensure that the harvest of specimens from the wild is not reducing the wild population to a level at which its survival might be threatened by continued harvesting or other influences.

#### Annex 2 b

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

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

A. The specimens of the species in the form in which they are traded resemble specimens of a species included in Appendix II under the provisions of Article II, paragraph 2 (a), or in Appendix I, such that enforcement officers who encounter specimens of CITES-listed species, are unlikely to be able to distinguish between them; or

B. There are compelling reasons other than those given in criterion A above to ensure that effective control of trade in currently listed species is achieved.

## Annex 3

### Special cases

#### ***Split-listing***

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

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

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

Taxonomic names below the species level should not be used in the Appendices unless the taxon in question is highly distinctive and the use of the name would not give rise to enforcement problems.

#### ***Higher taxa***

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

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

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

## Annex 4

### Precautionary measures

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

- A. 1. No species listed in Appendix I shall be removed from the Appendices unless it has been first transferred to Appendix II, with monitoring of any impact of trade on the species for at least two intervals between meetings of the Conference of the Parties.
2. Species included in Appendix I should only be transferred to Appendix II if they do not satisfy the relevant criteria in Annex 1 and only when one of the following precautionary safeguards is met:
  - a) the species is not in demand for international trade, nor is its transfer to Appendix II likely to stimulate trade in, or cause enforcement problems for, any other species included in Appendix I; or

- b) the species is likely to be in demand for trade, but its management is such that the Conference of the Parties is satisfied with:
    - i) implementation by the range States of the requirements of the Convention, in particular Article IV; and
    - ii) appropriate enforcement controls and compliance with the requirements of the Convention; or
  - c) an integral part of the amendment proposal is an export quota or other special measure approved by the Conference of the Parties, based on management measures described in the supporting statement of the amendment proposal, provided that effective enforcement controls are in place; or
  - d) a ranching proposal is submitted consistent with the applicable Resolutions of the Conference of the Parties and is approved.
3. No proposal for transfer of a species from Appendix I to Appendix II shall be considered from a Party that has entered a reservation for the species in question, unless that Party agrees to remove the reservation within 90 days of the adoption of the amendment.
4. No species should be deleted from Appendix II if such deletion would be likely to result in it qualifying for inclusion in the Appendices in the near future.
5. No species should be deleted from Appendix II if, within the last two intervals between meetings of the Conference of the Parties, it has been subject to a recommendation under the provisions of the Review of Significant Trade to improve its conservation status.
- B. The following review procedures shall apply when a species is transferred to Appendix II pursuant to paragraph A.2.c) above.
- 1. Where the Plants Committee, the Animals Committee or a Party becomes aware of problems in compliance with the management measures and export quotas of another Party, the Secretariat shall be informed and, if the Secretariat fails to resolve the matter satisfactorily, it shall inform the Standing Committee which may, after consultation with the Party concerned, recommend to all Parties that they suspend trade with that Party in specimens of CITES-listed species, and/or request the Depositary Government to prepare a proposal to transfer the population back to Appendix I.
  - 2. If, on review of a quota and its supporting management measures, the Animals or Plants Committee encounters any problems with compliance or potential detriment to a species, the relevant Committee shall request the Depositary Government to prepare a proposal for appropriate remedial action.
- C. With regard to quotas established pursuant to paragraph A.2.c) above.
- 1. If a Party wishes to renew, amend or delete such a quota it shall submit an appropriate proposal for consideration at the next meeting of the Conference of the Parties;
  - 2. When a quota has been established for a limited period of time, after that period the quota will become zero until a new quota has been established.
- D. Species that are regarded as possibly extinct should not be deleted from Appendix I if they may be affected by trade in the event of their rediscovery; these species should be annotated in the Appendices as "p.e." (i.e. possibly extinct).

Definitions, explanations and guidelines

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

***Species***

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

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

The two terms also cover varieties.

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

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

***Affected by trade***

A species "is or may be affected by trade" if:

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

***Area of distribution***

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

***Decline***

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

Decline can be expressed in two different ways: (i) the overall long-term extent of decline or (ii) the recent rate of decline. The long-term extent of decline is the total estimated or inferred percentage reduction from a baseline level of abundance or area of distribution. The recent rate of decline is the

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

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

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

A general guideline for a marked recent rate of decline is a percentage decline of 50% or more in the last 10 years or three generations, whichever is the longer. If the population is small, a percentage decline of 20% or more in the last 5 years or 2 generations (whichever is the longer) may be more appropriate. However, these figures are presented only as examples, since it is impossible to give numerical values that are applicable to all taxa because of differences in their biology.

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

In estimating or inferring the historical extent of decline or the recent rate of decline, all relevant data should be taken into account. A decline need not necessarily be ongoing. If data are available only for a short period and the extent or rate of decline based on these data are cause for concern, the guidelines above (extrapolated as necessary or relevant) should still apply. However, natural fluctuations should not normally count as part of a decline, but an observed decline should not necessarily be considered part of

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\* Application of decline for commercially exploited aquatic species:

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

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

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

A general guideline for a marked recent rate of decline is the rate of decline that would drive a population down within approximately a 10-year period from the current population level to the historical extent of decline guideline (i.e. 5-20% of baseline for exploited fish species). There should rarely be a need for concern for populations that have exhibited an historical extent of decline of less than 50%, unless the recent rate of decline has been extremely high.

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

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

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

a natural fluctuation unless there is evidence for this. A decline that is the result of legal activities carried out pursuant to a scientifically based harvesting programme that reduces the population to a planned level, not detrimental to the survival of the species, would not normally be covered by the term “decline”.

### ***Fluctuations***

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

### ***Fragmentation***

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

### ***Generation length***

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

### ***Inferred or projected***

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

### ***Near future***

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

### ***Population issues***

#### *Population*

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

#### *Wild population*

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

#### *Sub-population*

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

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

### *Population size*

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

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

### *Small wild population*

The judgement that a wild population is small is taxon-specific and can be justified by a number of considerations. For example, the population of a related taxonomic group. For some low productivity species where data exist to make an estimate, a figure of less than 5,000 individuals has been found to be an appropriate guideline (not a threshold) of what constitutes a small wild population but the number could be higher for higher productivity species. However, this figure is presented only as an example, since it is impossible to give numerical values that are applicable to all taxa. There will be many cases where this numerical guideline does not apply.

### *Very small wild sub-population*

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

### ***Possibly extinct***

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

### ***Recruitment***

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

### ***Threatened with extinction***

Threatened with extinction is defined by Annex 1. The vulnerability of a species to threats of extinction depends on its population demographics, biological characteristics (such as body size, trophic level, life cycle, breeding structure or social structure requirements for successful reproduction), and vulnerability due to aggregating habits, natural fluctuations in population size, and/or residency/migratory patterns. This makes it impossible to give numerical threshold values for population size or area of distribution that are applicable to all taxa.

## ***Vulnerability***

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

### Intrinsic factors

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

### Extrinsic factors

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

## **Annex 6**

### Format for proposals to amend the Appendices

The following provides information and instructions for the submission of a proposal to amend the Appendices and the appropriate supporting statement. Proponents should be guided by the need to provide to the Conference of the Parties sufficient information, of sufficient quality and in sufficient detail, to allow it to judge the proposal against the criteria established for the proposed action. This means that the relevant published and unpublished sources of information should be used, although for some species the amount of scientific information will be limited. Analogy with related taxonomic groups or species that are ecologically similar may be used to guide judgements. Where research has been undertaken specifically to obtain information for the proposal, it should be presented in sufficient detail to be assessed by the Parties.

Parties are reminded that proposals should normally be limited to 12 pages (exclusive of references cited). If the proposal is longer than 12 pages, the proponent should provide translations into the working languages of the Convention. Furthermore, this means that it may not be possible to address all elements of the proposal format.



## A. Proposal

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

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

## Annotations

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

- ensure that the proposed annotation is in compliance with the applicable Resolution;
- indicate the practical intent of the annotation;
- harmonize new annotations with existing annotations; and
- be specific and accurate as to affected parts and derivatives.

## B. Proponent

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

## C. Supporting statement

### 1. Taxonomy

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

1.1 Class

1.2 Order

### 1.3 Family

### 1.4 Genus, species or subspecies, including author and year

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

### 1.5 Scientific synonyms

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

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

### 1.7 Code numbers

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

## 2. Overview

Provide a brief overview of key elements of the proposal. Parties should cite key sections of the supporting statement.

## 3. Species characteristics

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

### 3.1 Distribution

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

### 3.2 Habitat

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

### 3.3 Biological characteristics

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

### 3.4 Morphological characteristics

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

### 3.5 Role of the species in its ecosystem

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

## 4. Status and trends

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

### 4.1 Habitat trends

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

### 4.2 Population size

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

### 4.3 Population structure

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

### 4.4 Population trends

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

### 4.5 Geographic trends

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

## 5. Threats

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

## 6. Utilization and trade

### 6.1 National utilization

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

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

### 6.2 Legal trade

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

### 6.3 Parts and derivatives in trade

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

### 6.4 Illegal trade

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

### 6.5 Actual or potential trade impacts

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

## 7. Legal instruments

### 7.1 National

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

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

### 7.2 International

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

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

## 8. Species management

### 8.1 Management measures

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

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

### 8.2 Population monitoring

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

### 8.3 Control measures

#### 8.3.1 International

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

#### 8.3.2 Domestic

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

### 8.4 Captive breeding and artificial propagation

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

### 8.5 Habitat conservation

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

### 8.6 Safeguards

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

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

9. Information on similar species

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

10. Consultations

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

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

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

11. Additional remarks

12. References