



Amendment of Appendices I and II

Important considerations

This document serves as supportive material for Parties when considering whether to prepare proposal /s for consideration by the Conference of the Parties, or when preparing proposal/s to amend CITES Appendices I and II in line with Article XV of the Convention. Amendment proposals* should be submitted to:

- include or transfer a species to / from Appendix I or II (including for look-alike concerns);
- remove or transfer a species from Appendix I or II;
- add or amend an annotation or a previously CoP-approved export quota for an Appendix I or II species; or
- make certain nomenclature changes.

*Proposals to amend the Appendices should include the following sections: section A that should contain the proposal; section B that should include the name of the proponent/s; and Section C that is the supporting statement. Please consider the template contained in [Annex 6 of Resolution Conf. 9.24 \(Rev. CoP17\)](#).

This document is intended to assist Parties and is not intended to replace, nor fully reflect the Convention or the applicable Resolutions. Please refer to the Convention and Resolutions for recommendations and guidance.

Prior to submission

- The Scientific Authority should gather and analyse information on the biological status of species affected by trade to assist in the preparation of proposals necessary to amend the Appendices.



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

- Consider whether the candidate species is likely to meet the criteria for inclusion, transfer or removal from the Appendices, based on the provisions in **Resolution Conf. 9.24 (Rev. CoP17) on Criteria for amendment of Appendices I and II**.



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

If not, a proposal is not needed. Consider other means to address conservation concerns for the species, including whether an Appendix III listing could assist.



Res. Conf. 9.25
(Rev. CoP18) on
Implementation of the Convention for species in Appendix III

If so, develop a draft proposal guided by the need to provide to the CoP sufficient information, of sufficient quality and in sufficient detail, to allow it to judge the proposal against the criteria established for the proposed action, and following the template in **Annex 6 of Resolution Conf. 9.24 (Rev. CoP17)**.

Noting that other considerations include:

- amending an annotation to a species included in the Appendices;
- amending an export quota previously agreed by the CoP;
- and certain nomenclature changes.

- Review the taxonomic status of the species to determine if an existing CITES standard reference applies to the taxon. If not, the amendment proposal may include a proposed reference for consideration and adoption by the Parties. In cases where there is any doubt, consult the nomenclature specialist.



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



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

- Keeping in mind the definition of specimens in Article I of the Convention, consider if an annotation is needed. If so, consult **Resolution Conf. 11.21 (Rev. CoP19) on guidance on the use of annotations**.



Res. Conf. 11.21
(Rev. CoP19) on
Use of annotations in Appendices I and II

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



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

- Apply a precautionary approach in cases of uncertainty.



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

- Refer to guidance on special cases and precautionary measures.



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

- As appropriate, engage rural communities in territories under the Party's jurisdiction, in national processes when preparing proposals.



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

For plants, keep the section on "Regarding hybrids" in **Res. Conf. 11.11 (Rev. CoP18)** in mind.

NOTE: For marine / tree species – relevant national agencies and intergovernmental bodies could be sources of scientific data.

- Consult with range States and incorporate their comments before submission.
Keep records of these consultations and include the relevant details in the proposal.
- For species managed under other international agreements or intergovernmental bodies, summarize consultations held in the proposal and explain how their comments are reflected in the proposal.
- Provide identification information and materials to the extent possible in the proposal for amendments of the Appendices.
- Finalize the proposal based on the template in **Annex 6 of Resolution Conf. 9.24 (Rev. CoP17)**. – in accordance with the Rules of Procedure proposals should normally be limited to 12 pages (exclusive of references cited). If the proposal is longer than 12 pages, the proponent should provide translations into the working languages of the Convention.

- Res. Conf. 8.21 (Rev. CoP16) on Consultation with range States on proposals to amend Appendices I and II
- Annex 6, paragraph C. 10 of Res. Conf. 9.24 (Rev. CoP17)
- Res. Conf. 10.13 (Rev. CoP18) on Implementation of the Convention for tree species
- Res. Conf. 19.4 on Materials for the identification of CITES-listed species

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

Submitting the proposal

- Submit the proposal on time:
150 days before the CoP if the proposing Party consulted range States
if the proposing Party wishes the Secretariat to consult with other range States on its behalf; or in the case of an amendment proposal made under the provisions of **Resolution Conf. 11.16 (Rev. CoP15) on Ranching and trade in ranched specimens of species transferred from Appendix I to Appendix II**, the submission deadline is 330 days before the CoP.
- Where two or more Parties are jointly submitting an amendment proposal, each Party must provide a letter of submission signed by the CITES MA or Minister of Foreign Affairs and submit it to the Secretariat (e-mail and hard copy) before the deadline to be recorded as a proponent for the amendment proposal.

- Res. Conf. 18.6 on Designation and role of Management Authorities
- Part V of the Rules of Procedure

The proposal and letter of submission must be submitted to the CITES Secretariat online (info@cites.org) and in hard copy²⁵.

Following submission

Start preparing for the discussion of your proposal at the CoP - here are some suggestions:

- Consider the Secretariat's assessment of the proposals, feedback received from Parties, and other independent assessments. Consider whether and how to respond to feedback, weaknesses / gaps in the proposal and implementation challenges identified ahead of the CoP.
- Consider whether submitting an Information Document with additional information will assist you in responding to the feedback.
- Once submitted, the scope of the proposal cannot be broadened, only narrowed. The proponent may notify the Secretariat in writing prior to the CoP if it decided to narrow the scope of the proposal, but it is not required.
- Prepare to introduce the proposal at the CoP.
- It is important to know the Rules of Procedure of the CoP.
- Note that at the CoP, any Party can propose to reduce the scope of your proposal. Consider scenarios should other Party/Parties propose to reduce the scope of your proposal.
- The Party/Parties that submitted the proposal may, at any time, withdraw the proposal or amend it to reduce its scope or to make it more precise.
- Note: If a proposal is not adopted by consensus, it may be subject to a vote. It requires a two-thirds majority of Representatives present and voting for a proposal to be adopted by the CoP.

- Part VII of the Rules of Procedure

- Part V of the Rules of Procedure

The proponent can provide this to the Secretariat in writing in advance of the CoP but it is not a requirement.

- Rules of Procedure

- Part V of the Rules of Procedure

- Part V of the Rules of Procedure

- Rules of Procedure

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