

The aim of the guidance is to support the Secretariat in publishing the Appendices and assist those Parties that incorporate the amendments to the Appendices directly into their national legislation. The guidance, while respecting the substance of what was agreed by the Conference of the Parties, should make the publication of the Appendices more coherent and predictable. The guidance can also be used by the specialists on zoological and on botanical nomenclature in preparing documents on standard nomenclature for the Conference of the Parties.

When publishing the Appendices after a meeting of the Conference of the Parties, the Secretariat will strictly incorporate what has been adopted by the Conference of the Parties as reflected in the summary records, including the taxonomic level of a listing. The Secretariat does not change the Appendices beyond orthographical changes [per paragraph 4 of Resolution Conf. 12.11 (Rev. CoP18) on *Standard nomenclature*] without the explicit approval of the Conference of the Parties.

The guidance focuses on four elements: scientific names; common names; presentation and location of annotations; and timeline and process for publication.

## **I. Scientific names**

1. Whenever the Conference of the Parties adopts an amendment to the Appendices, the update of the Appendices entails adding, moving or deleting the scientific name of a taxon with consequent changes to higher taxon names where required. The Appendices respect the following standards:

- a) Kingdom, phylum and class names are written in bold and in upper case.

**FAUNA**  
**CHORDATA**  
**AVES**

- b) Order names are written in grey and in upper case in the left column.

ANSERIFORMES

When an order is included in the Appendices, it is written in bold and in upper case.

**FALCONIFORMES spp.**

- c) Family names are written in grey in smaller upper case with the first letter in upper case in the left column.

IGUANIDAE

When a family is included in the Appendices, it is written in bold in smaller upper case with the first letter in upper case.

**CACTACEAE spp.**

For plants, following the International Code of Nomenclature for algae, fungi and plants, when an alternative name to a family exists, the alternative name is written in grey in parentheses and in smaller upper case with the first letter in upper case in the left column.

COMPOSITAE (ASTERACEAE)

- d) A subfamily name is written the same way as a family name. In the left column, they are indented in the Appendices to indicate that they are a subfamily. See LUTRINAE and MUSTELINAE. Subfamilies names are not normally used in the Appendices, except in the specific case where a subfamily (LUTRINAE spp.) was listed in Appendix II with a species within that subfamily listed in Appendix I.
- e) Genus names are written in bold and in italics with the first letter in upper case.  
***Oophaga* spp.**
- f) Species names are written in bold, lower case and in italics.  
***Nepenthes khasiana***
- g) Subspecies and varieties are written in bold, lower case and in italics, like species names.

*Damaliscus pygargus pygargus*  
*Echinocereus ferreiranus ssp. lindsayorum*  
*Magnolia liliifera var. obovata*

- h) The abbreviations “**spp.**” is used to denote all species of a higher taxon; for plants (but not animals), “**ssp.**” is used to denote a subspecies; and “**var.**” is used to denote a variety. They are written in bold (except in the Interpretation section).
- i) Subgenera such as Microthele in *Holothuria [Microthele] fuscogilva* are not used in the Appendices. The use of subgenera is an option under the International Code on Zoological Nomenclature’s rules and conventions but is for convenience only and has no formal standing.
- j) The Appendices generally follow the writing standards of the International Code on Zoological Nomenclature and of the International Code of Nomenclature for algae, fungi and plants.

## **II. Common names**

- 2. As indicated in the Interpretation section of the Appendices, “The common names included after the scientific names of families are for reference only. They are intended to indicate the species within the family concerned that are included in the Appendices. In most cases this is not all of the species within the family.” Unlike scientific names, common names have no official status in nomenclature.
  - a) Common names are normally included in plural after the family name. They are also included after the kingdom and the class names. When only one species of a family is included, for instance *Eschrichtius robustus* in the Eschrichtiidae family, it is referred to as “grey whale” in singular for its common name.
  - b) Common names are usually not capitalized (except for the first common name after the family name in the left column). When the common name refers to a location, the name of that geographical location is capitalized, for instance “Gila monster”.
  - c) If, despite an online reference search, a common name exists only in one language, the Secretariat provides a translation for information purposes only. The Secretariat further indicates that it is translated from another language. For example, Eublepharidae, eyelid geckos, is translated as “geckos con párpados (traducido del inglés)” in Spanish.

## **III. Presentation and location of annotations**

- 3. In Resolution Conf. 11.21 (Rev. CoP18) on *Use of annotations in Appendices I and II*, Parties have defined annotations as being either ‘reference annotations’ or ‘substantive annotations’. Reference annotations are for information only and indicate that one or more geographically separate populations, subspecies, or species of the annotated taxon are included in another Appendix; that the taxon is ‘possibly extinct’; or relate to nomenclatural issues. Substantive annotations are integral parts of the listing and can specify the inclusion or exclusion of designated geographically separate populations, subspecies, species, groups of species, or higher taxa, the types of specimens covered by the listing or export quotas, etc.
- 4. Annotations are presented in three forms in the Appendices in brackets, in footnotes and in hash footnotes.
  - a) ‘Bracketed annotations’ are found in brackets following the name of the taxon in the text of the Appendices;
  - b) ‘Footnote annotations’ are contained in a footnote and may relate to both animals and plants species; and
  - c) ‘Hash (#) annotations’ are contained in a footnote [for Appendix-II or -III plants and Appendix-III animals] “that indicates the parts or derivatives of animals or plants that are designated as ‘specimens’ subject to the provisions of the Convention in accordance with Article I, paragraph (b), subparagraph (ii) or (iii).” (This definition is found in paragraph 7 the Interpretation section of the Appendices). When both a footnote and a hash annotation are presented after a species name, the footnote annotation appears first.

There is no definition adopted by the Conference of the Parties for bracketed annotations and footnote annotations. Substantive annotations can be found in all types of annotations (bracketed annotations,

footnote annotations and hash annotations). Reference annotations can only be found in bracketed annotations.

5. Guidance for the development of substantive annotations prior to a meeting of the Conference of the Parties is available in Resolution Conf. 11.21 (Rev. CoP18), particularly paragraphs 5 and 6. There is, however, no guidance for the lay-out and location of annotations in the Appendices, in particular for bracketed and footnote annotations and for reference annotations.

#### *Location of definitions*

6. Whenever the Conference of the Parties adopts an amendment proposal that includes the definition of a new term, such as for instance “transformed wood”, its definition should be located in the Interpretation section of the Appendices.

#### *Numbering and location of annotations*

7. The footnote annotations have not been systematically renumbered after each meeting of the Conference of the Parties. In the 28 August 2020 version of the Appendices, the footnotes have the following numbers: 1, 2, 9, 10, 11 and 12. The Secretariat will now renumber footnotes systematically after each meeting of the Conference of the Parties. Footnotes for animals are labelled A1, A2, A3, etc. Footnotes for plants are labelled P1, P2, P3, etc. For example, if a new animal footnote is inserted in the Appendices between the previous A1 and A2 footnotes, the new footnote will be labelled A2 and the previous A2 footnote will be labelled A3. Footnotes in superscript are placed after the species or the populations concerned. There are no changes to the numbering of hash annotations. Any new hash annotations are added to the end of the existing list. If there are more than one hash annotation adopted at a meeting of the Conference of the Parties, they are placed at the end of the list in the order that they appear in the Appendices.
8. When footnote annotations contain exactly the same text, the same footnote is used. This is currently the practice for hash annotations. See also for example:

*Saiga borealis*<sup>A2</sup>

*Saiga tatarica*<sup>A2</sup>

<sup>A2</sup> A zero export quota for wild specimens traded for commercial purposes

#### *Length and format of annotations*

9. Bracketed annotations can be either reference or substantive annotations as defined in paragraph 3 of this guidance and contain information about species, geographically separate populations and information related to delayed entry into effect. Anything beyond these elements, specifically specimens (including specimens of the domesticated form or fossils) covered or exempted and information on an export quota, are included in a footnote annotation. See for instance the annotation for *Crocodylus porosus* and *Crocodylus niloticus*:

##### Old format:

***Crocodylus porosus*** {Except the populations of Australia, Indonesia, Malaysia [wild harvest restricted to the State of Sarawak and a zero quota for wild specimens for the other States of Malaysia (Sabah and Peninsular Malaysia), with no change in the zero quota unless approved by the Parties] and Papua New Guinea, which are included in Appendix II}

##### New format:

***Crocodylus porosus*** (Except the populations of Australia, Indonesia, Malaysia<sup>AX</sup> and Papua New Guinea, which are included in Appendix II)

<sup>AX</sup> The population of Malaysia of *Crocodylus porosus* is included in Appendix II with wild harvest restricted to the State of Sarawak and a zero quota for wild specimens for the other States of Malaysia (Sabah and Peninsular Malaysia), with no change in the zero quota unless approved by the Parties.

##### Old format:

***Crocodylus niloticus*** [Except the populations of Botswana, Egypt (subject to a zero quota for wild specimens traded for commercial purposes), Ethiopia, Kenya, Madagascar, Malawi, Mozambique, Namibia, South Africa, Uganda, the United Republic of Tanzania (subject to an annual export quota of no more than 1,600 wild specimens including hunting trophies, in addition to ranched specimens), Zambia and Zimbabwe, which are included in Appendix II]

New format:

***Crocodylus niloticus*** (Except the populations of Botswana, Egypt<sup>AY</sup>, Ethiopia, Kenya, Madagascar, Malawi, Mozambique, Namibia, South Africa, Uganda, the United Republic of Tanzania<sup>AZ</sup>, Zambia and Zimbabwe, which are included in Appendix II)

<sup>AY</sup> The population of Egypt of *Crocodylus niloticus* is included in Appendix II subject to a zero quota for wild specimens traded for commercial purposes.

<sup>AZ</sup> The population of the United Republic of Tanzania of *Crocodylus niloticus* is included in Appendix II subject to an annual export quota of no more than 1,600 wild specimens including hunting trophies, in addition to ranched specimens.

10. The first word in bracketed annotations is always capitalized. As a general rule, brackets of this type ( ) are used. However, where an annotation contains brackets within brackets, the following types are used: (...) and [...] starting from the outside of the annotation to the inside. The use of the brackets is as follows: ( [ ... ] ).

*Structure of species, populations and nomenclature annotations in bracketed annotations*

11. Annotations on species and populations in Appendices I, II and III are included only in bracketed annotations and are structured as follows:

- a) 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 accompanied by a bracketed annotation indicating the listing of the other species in the other Appendix. An example is the *Acerodon* spp. listing in Appendix II:

*Acerodon* spp. (Except the species included in Appendix I)

- b) When, for one taxon, some species are included in two or more Appendices and some species are not included in the Appendices, the annotation starts by referring to the species in the other Appendices and continues with the species excluded from the Appendices, as follows:

TAYASSUIDAE spp. (Except the species included in Appendix I and the populations of *Pecari tajacu* of Mexico and the United States of America which are not included in the Appendices)

- c) When populations of a species are split between two Appendices, these listings should be included in the same row. For instance:

|                     |   |  |
|---------------------|---|--|
| MOSCHIDAE Musk deer |   |  |
|                     | <b><i>Moschus</i> spp.</b> (Only the populations of Afghanistan, Bhutan, India, Myanmar, Nepal and Pakistan; all other populations are included in Appendix II) | <b><i>Moschus</i> spp.</b> (Except the populations of Afghanistan, Bhutan, India, Myanmar, Nepal and Pakistan, which are included in Appendix I) |

- d) Populations are listed alphabetically by country and then by region. An example is the annotation for the vicuña:

Only the populations of Argentina (the populations of the Provinces of Catamarca, Jujuy and Salta, and the semi-captive populations of the Provinces of Catamarca, Jujuy, La Rioja, Salta and San Juan), Chile (populations of the regions of Arica and Parinacota and Tarapacá), Ecuador (the whole population), Peru (the whole population) and the Plurinational State of Bolivia (the whole population)

- e) When the population listed corresponds to a 'geographically separate population', the singular is used. When the populations listed correspond to several geographically separate populations, the plural is used. For example: *Panthera leo* (African populations).
- f) Following the guidance related to species in Annex 3 to Resolution Conf. 9.24 (Rev. CoP17) on *Criteria for amendment of Appendices I and II*, the Appendices should include a clarifying bracketed reference annotation in the following instances: when some populations are included in Appendix I or II and all the rest in the other Appendix; or when only some populations are included in the Appendices. The following are examples of these clarifying bracketed reference annotations: (no other population is included in the Appendices) or (all other populations are included in Appendix I or II). See for example:

*Prionailurus bengalensis bengalensis* (Only the populations of Bangladesh, India and Thailand; all other populations are included in Appendix II)

- g) Regarding bracketed annotations in Appendix III, the Secretariat draws the attention to the *Guidance for understanding the scope of Appendix-III listings* in Annex 3 to Resolution Conf. 9.25 (Rev. CoP18) on *Implementation of the Convention for species in Appendix III*.
- g) According to Resolution Conf. 12.11 (Rev. CoP18) on *Standard nomenclature*, paragraph 2 c), where there are domesticated forms of listed taxa, the Animals and Plants Committee are to recommend names for the wild and domestic forms. Where a scientific name for the domesticated form exists, it is included in the relevant standard nomenclatural reference as a separate species. This information is included for instance in the Appendices for *Bos gaurus*, *Bos mutus*, *Bubalus arnee* and *Equus africanus*. The annotation {Excludes the domesticated form which is referenced as XXX, and is not subject to the provisions of the Convention} is included in the Appendices. To identify reference annotations clarifying the nomenclature, these will be included in curly brackets. For instance:

*Bos mutus* {Excludes the domesticated form, which is referenced as *Bos grunniens*, and is not subject to the provisions of the Convention.}

*Mammillaria pectinifera* {Includes *ssp. solisioides*}

#### *Temporary annotations relating to the entry into effect of listings*

- 12. The Appendices are sometimes published with a temporary annotation enclosed in angle brackets to indicate when an amendment will come into effect.

***Cedrela* spp.<sup>#6</sup>** (Populations of the Neotropics) <Entry into effect delayed by 12 months, i.e. until 28 August 2020>.

When a new annotation adopted with a delay under one Appendix impacts a current listing in another Appendix, this should be referenced in angle brackets in the columns for both Appendices. For instance, the Conference of the Parties decided to delay the entry into effect of the amendment for *Cedrela* spp. by 12 months after the 18th meeting of the Conference of the Parties, i.e. until 28 August 2020. This implied that *Cedrela fissilis*, *Cedrela lilloi* and *Cedrela odorata*, which were included in Appendix III, would be deleted from Appendix III and included in Appendix II on 28 August 2020. This is reflected by adding an angle bracketed reference annotation next to the three species. The three species and this annotation in the Appendix III column were deleted on 28 August 2020.

*Cedrela fissilis*<sup>#5</sup> (Plurinational State of Bolivia, Brazil) <To be deleted on 28 August 2020>

#### *Footnote annotations*

- 13. Annotations establishing export quotas and specifying specimens covered or exempted, as well as any other information not involving information about species, geographically separate populations and information related to delayed entry into effect, are included in the Appendices as footnote annotations.
- 14. For annotations for zero export quotas, Parties proposing to include "zero export quotas" may consider proposing a "zero annual export quota for wild specimens traded for commercial purposes." This might lead to more harmonized language in the Appendices, where appropriate. In all cases, the language adopted by the Conference of the Parties will be included in the adopted summary record and be inserted in the Appendices. Parties should be clear and precise in the language they use. Parties may use the wording

“zero annual export quota for wild specimens traded for commercial purposes” in their amendment proposals, when this is what the Party intends.

15. Any annotation specifying which specimens are covered or exempted from Appendices are included as footnotes in the Appendices. In the current Appendices, this corresponds *inter alia* to annotations about the specimens of the domesticated form, fossils and cultivars. See for example:

*Capra hircus aegagrus*<sup>A1</sup>

<sup>A1</sup> Specimens of the domesticated form are not subject to the provisions of the Convention.

*Stylasteridae* spp.<sup>AZ</sup>

<sup>AZ</sup> Fossils are not subject to the provisions of the Convention.

*Cyclamen* spp. <sup>P1 #4</sup>

<sup>P1</sup> Artificially propagated specimens of cultivars of *Cyclamen persicum* are not subject to the provisions of the Convention. However, the exemption does not apply to such specimens traded as dormant tubers.

#### **IV. Timeline and process**

16. Prior to the meeting of the Conference of the Parties, in order to facilitate the publication of the amendments to the Appendices, the documents prepared by the specialists on zoological nomenclature and on botanical nomenclature for a meeting of the Conference of the Parties should clearly indicate how the proposed nomenclature changes should be reflected in the Appendices.
17. After the meeting of the Conference of the Parties, in order to help Parties that have to amend their national legislation within the 90-day deadline after the closure of the meeting of the Conference of the Parties, the Secretariat will endeavour to share with those Parties, upon request, a first draft of the amended Appendices within two weeks of the end of the meeting of the Conference of the Parties. So far, the following Parties have expressed an interest in receiving an advance track change copy of the amended Appendices: Canada, China, the European Union, Japan, Switzerland, the United Kingdom of Great Britain and Northern Ireland and the United States of America.