

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



Sixteenth meeting of the Conference of the Parties  
Bangkok (Thailand), 3-14 March 2013

Amendment of the Appendices

Periodic review of the Appendices

REVISION OF RESOLUTION CONF. 14.8

1. This document has been submitted by the Chairs of the Animals and Plants Committees on behalf of the Committees<sup>1</sup>. It has been prepared in consultation with the Secretariat.
2. At its 25th meeting (Geneva, July 2011), the Animals Committee explored ways to improve performance of the Periodic Review of the Appendices and agreed to consider, in conjunction with the Plants Committee, necessary amendments to improve Resolution Conf. 14.8 on *Periodic Review of the Appendices*.
3. At the 61st meeting of the Standing Committee (Geneva, August 2011), the Chair of the Animals Committee highlighted the backlog of periodic review cases due to a lack of volunteers to undertake the reviews and remarked that financial support for this exercise may help. The Standing Committee agreed that there was a need to accelerate the Periodic Review of the Appendices and that the matter should be reconsidered at its 62nd meeting (SC62, Geneva, July 2012).
4. During the Joint sessions of the 26th meeting of the Animals Committee and the 20th meeting of the Plants Committee (AC26/PC20, Dublin, March 2012) the Secretariat introduced document AC26/PC20 Doc. 10 to improve the performance of the Periodic Review of the Appendices. As a final agreement, and given the lack of time to revise in detail Res. Conf. 14.8 during the joint sessions, the Scientific Committees arranged that the 20th meeting of the Plants Committee (PC20, Dublin, March 2012) would prepare (on behalf of both Committees) a document for submission to the SC62 in order to propose amendments to Resolution Conf. 14.8 to improve the Periodic Review of the Appendices, incorporating elements of document AC26/PC20 Com. 2.
5. In accordance with the above, the PC20 established a working group (PC20 WG3) chaired by the vice chair of the Plants Committee with the mandate to, *inter alia*: contribute to the work on the revision of Resolution Conf. 14.8 on Periodic Review of the Appendices (item 10) commenced during the Joint sessions of the AC26/PC20. The working group's revision proposal is included in Annex 2 of document PC20 WG3 Doc. 1, and was adopted by PC20 with minor amendments (see PC20 Summary record).
6. During its 62nd meeting (Geneva, July 2012), the Standing Committee considered document SC62 Doc. 53.2 (prepared by the chairs of the Animals and Plants Committees on behalf of the Committees), which recommended the adoption of the revision proposal of Res. Conf. 14.8 included in the Annex to the document. Such proposal was built upon the recommendations derived from the 26th meeting of the Animals Committee (AC26, Geneva, March 2012), the AC26/PC20, the PC20 and further e-mail agreement of the members of the Animals Committee. As a result, the Standing Committee agreed to:

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<sup>1</sup> *The geographical designations employed in this document do not imply the expression of any opinion whatsoever on the part of the CITES Secretariat or the United Nations Environment Programme concerning the legal status of any country, territory, or area, or concerning the delimitation of its frontiers or boundaries. The responsibility for the contents of the document rests exclusively with its author.*

- a) Endorse the submission at the 16th meeting of the Conference of the Parties (CoP16) of the revised version of Resolution Conf. 14.8 as stated in the Annex to the present document and, agreed that amendments suggested during the discussion at SC62 should be added in square brackets; and
- b) Refer to its Finance and Budget Subcommittee, the Animals and Plants Committees' suggestion that funds should be allocated for the periodic review in the budget and that the Secretariat be requested to seek external funding to support the periodic review process (par. 14 c) of document SC62 Doc. 53.2).

#### Recommendation to the Conference of the Parties

7. The Conference of the Parties is invited to consider the draft revisions to Resolution Conf. 14.8 included in the Annex to the present document (additions are underlined or in square brackets; deletions are crossed out), and to adopt a revised version of the Resolution accordingly.

#### COMMENTS FROM THE SECRETARIAT

Although the proposed revision of Resolution Conf. 14.8 in the Annex to the present document would not simplify the Periodic Review of the Appendices, the Secretariat hopes that it will nevertheless result in CITES Appendices that better reflect the conservation needs of the species. The Secretariat recommends that the proposed revision of Resolution 14.8 therefore be adopted.

RESOLUTION CONF. 14.8 (REV. COP16)

Periodic Review of Species Included in the Appendices I and II

RECOGNIZING the fundamental principles of Article II of the Convention and that there is a need to conduct periodic reviews of species listed in Appendices I and II to ensure that species are appropriately listed, based on current biological and trade information;

REAFFIRMING that Resolution Conf. 11.1 (Rev. CoP15) on *Establishment of the Committees*, in Annex 2, h), directs the Animals and Plants Committees to undertake a periodic review of animal or plant species included in the CITES Appendices;

ACKNOWLEDGING that Resolution Conf. 9.24 (Rev. CoP15) on *Criteria for amendment of Appendices I and II*, established criteria to ensure that decisions to amend the Convention's Appendices are founded on sound and relevant scientific information; and

ACKNOWLEDGING that a completed periodic review of a species may result in a recommendation to amend Appendices I or II, or result in a recommendation that the species be retained as listed.

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

AGREES to the following:

- a) The Animals and Plants Committees should share their experience, especially during ~~joined~~ joint meetings, regarding the undertaking of periodic reviews of taxa included in the Appendices (including financing of reviews, processes, format and outputs).
- b) The Animals and Plants Committees shall establish a schedule for the Periodic Review of the Appendices and identify a list of taxa they propose to review during the next two intersessional periods between meetings of the Conference of the Parties (CoP). The list should be established at their ~~first~~ first meetings of the Committees after the meeting of the Conference of the Parties that initiates the review period.
- c) The Animals and Plants Committees are strongly encouraged to follow the following guidelines:
  - i) the Animals and Plants Committees, in consultation with the UNEP World Conservation Monitoring Centre, shall select a practical taxonomic entity or entities ~~and specimens traded~~ for analysis;
  - ii) the following taxa should not be considered for review:
    - A. species that were the subject of listing proposals at the previous ~~two~~ three meetings of the Conference of the Parties (whether or not the proposals were adopted);
    - ~~B. species listed under the new criteria [Resolution Conf. 9.24 (Rev. CoP15)] in the last 10 years;~~
    - ~~C. species subject to ongoing reviews, such as under the Review of Significant Trade [Resolution Conf. 12.8 (Rev. CoP13)], or periodic reviews conducted within the last 10 years; or~~
    - ~~D. species subject to other reviews targeted by valid Decisions and Resolutions of the Conference of the Parties; [and~~
    - D. species for which it is clear that there has been no change in the status, range or trade and for which there is no possibility to amend the Appendices;]
  - iii) the selected taxonomic entity or entities shall be assessed using the process outlined in the Annex to the present Resolution; and

- iv) outputs resulting from the assessment conducted in accordance with the Annex shall contain the following information in a summary tables that includes:
  - A. a summary of trade data since the initial inclusion of that taxon in the Appendices;
  - B. current conservation status, including the IUCN category of the species, if assessed; and
  - C. current listing in the CITES Appendices, date of first listing, ~~number of trade records, commercial trade, and remarks~~; and
  - D. the distribution of the species (range States).
- d) From the resulting summary tables, and list generated in Output 2 from the assessment, the Animals and Plants Committees will identify the list of taxa to be reviewed.
- e) The Secretariat shall send a copy of the proposed list of taxa to be reviewed to all Parties, and request range States of the taxa to comment within ~~90~~ 60 days on the need to review the taxa and express their interest in undertaking the reviews. The responses shall be relayed by the Secretariat to the Animals or Plants Committee. If no volunteer offers to undertake a review within two inter-sessional periods between CoPs, those taxa shall be deleted from the list of species to be reviewed.
- ~~f) Taking these comments into account, the Animals and Plants Committees will inform the Standing Committee about the finalized selection of taxa to be reviewed.~~
- f) [change to paragraph g) ] The Animals and Plants Committees and Parties are encouraged to undertake the following in order to facilitate periodic reviews:
  - i) collaborate with university graduate students, including those from the CITES Masters Programme at the International University of Andalucia;
  - ii) collaborate with other non-Party reviewers including species experts such as IUCN-SSC Specialist Groups;
  - iii) utilize readily available information on species' conservation status from organizations (e.g., IUCN, BirdLife, etc.) and Parties;
  - iv) seek financial support for reviews, including from importing countries, as appropriate; and
  - v) increase communication between the Chairs of the Animals and Plants Committees and suggest coordination with Parties when animal and plant species' ranges overlap;
- g) ~~[change to paragraph h) ]The Chairmen of the Animals and Plants Committees shall keep the Standing Committee informed about the conduct of periodic reviews, noting that Standing Committee approval is not required to initiate the process of taxa included in the Appendices. A list of species previously reviewed, including dates of the review and links to the appropriate documents, shall be maintained by the Secretariat.~~
- h) ~~[move to become paragraph f)]~~ The Animals and Plants Committees shall conduct or organize the reviews [responsibly], seeking information, participation and support from the range States. The regional representatives of the Animals and, Plants ~~and Standing~~ Committees shall seek assistance from range States within their region to support the taxon reviews.
- i) Each review (in the format of a proposal used to amend the Appendices) is to be submitted as a working document to the Animals or Plants Committee for review, clearly specifying the recommendation with reference to the criteria in Resolution Conf. 9.24 (Rev. CoP15). The Secretariat shall notify the relevant range States of these working documents in advance of the meeting of the Committee.
- j) In cases where a review indicates, and the Animals or Plants Committee agrees, that it would be appropriate to transfer a taxon from one Appendix to another, or to delete a taxon from the Appendices:
  - i) the Animals or Plants Committee shall, in consultation with the range States, prepare or arrange the preparation of a proposal to amend the Appendices.

- ii) ~~k)~~—The Secretariat, on behalf of ~~the Standing Committee~~ and the Animals or Plants Committee, shall provide copies of the proposal to the range States and request that one or more should submit the proposal for consideration at the following meeting of the Conference of the Parties.
- iii) ~~j)~~—If no range State is willing to submit the proposal, the Secretariat shall request the Depositary Government to submit it [as specified in Resolution Conf. 11.1 (Rev. CoP15)] and to include the comments of the range States in the supporting statement.
- iv) ~~m)~~ Proposals resulting from the periodic review of the Appendices must be submitted for decision to the Conference of the Parties.

k) In cases where the Animals or Plants Committee decides that it would not be appropriate to transfer a taxon from one Appendix to another, or to delete a taxon from the Appendices, it shall draft its decision with reference to the criteria in Resolution Conf. 9.24 (Rev. CoP15).

DIRECTS the Secretariat to maintain a record of the species selected for periodic review, including species previously and currently reviewed; dates of relevant Committee documents; recommendations from the reviews; and any reports and associated documents.

INVITES Parties, intergovernmental organizations, non-governmental organizations, and other interested entities to support the work of the Animals and Plants Committees in the undertaking of the periodic review of the Appendices.

ANNEX

Protocol for the assessment of taxa for consideration in the Periodic Review of the Appendices

