

**Eighth meeting of the Conference of the Parties
Kyoto (Japan), 2-13 March 1992**

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

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

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

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

HAVING REVIEWED the 1993-1995 budget estimates submitted by the Secretariat;

HAVING REVIEWED also the 1993-1998 medium-term budget estimates;

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

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

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

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

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

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

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

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

APPROVES the 1993-1995 budget;

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

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

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

* This document was prepared after the meeting from document Com. 8.6 (Rev.) adopted without amendment. (Note from the Secretariat).

AGREES

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

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

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

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

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

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

DECIDES that the standard participation charge for all observer organizations other than the United Nations and its specialized agencies, as decided at the third meeting of the Conference of the Parties (New Delhi, 1981), be set at a minimum of CHF 250.00 (except as otherwise decided by the Secretariat as required) and URGES such organizations to make a greater contribution if possible at least to meet their effective costs of participation;

DIRECTS the Secretariat

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

APPROVES the Secretariat reports.

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

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

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

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

Table

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

Scale of Contributions for the Triennium 1993-1995
(amounts in USD are only indicative; 1 USD = 1.4 CHF)

Party	UN Scale %	Total 1993-1995		Annual Contribution	
		CHF	USD	CHF	USD
Afghanistan	0.01	1,648	1,177	549	392
Algeria	0.16	26,370	18,836	8,790	6,279
Argentina	0.57	93,942	67,101	31,314	22,367
Australia	1.51	248,863	177,759	82,954	59,253
Austria	0.75	123,607	88,291	41,202	29,430
Bahamas	0.02	3,296	2,354	1,099	785
Bangladesh	0.01	1,648	1,177	549	392
Belgium	1.06	174,698	124,784	58,233	41,595
Belize	0.01	1,648	1,177	549	392
Benin	0.01	1,648	1,177	549	392
Bolivia	0.01	1,648	1,177	549	392
Botswana	0.01	1,648	1,177	549	392
Brazil	1.59	262,047	187,176	87,349	62,392
Brunei Darussalam	0.03	4,944	3,531	1,648	1,177
Bulgaria	0.13	21,425	15,304	7,142	5,101
Burkina Faso	0.01	1,648	1,177	549	392
Burundi	0.01	1,648	1,177	549	392
Cameroon	0.01	1,648	1,177	549	392
Canada	3.11	512,558	366,113	170,853	122,038
Central African Republic	0.01	1,648	1,177	549	392
Chad	0.01	1,648	1,177	549	392
Chile	0.08	13,185	9,418	4,395	3,139
China	0.77	126,903	90,645	42,301	30,215
Colombia	0.13	21,425	15,304	7,142	5,101
Congo	0.01	1,648	1,177	549	392
Costa Rica	0.01	1,648	1,177	549	392
Cuba	0.09	14,833	10,595	4,944	3,532
Cyprus	0.02	3,296	2,354	1,099	785
Czechoslovakia	0.55	90,645	64,746	30,215	21,582
Denmark	0.65	107,126	76,519	35,709	25,506
Djibouti	0.01	1,648	1,177	549	392
Dominican Republic	0.02	3,296	2,354	1,099	785
Ecuador	0.03	4,944	3,531	1,648	1,177

Party	UN Scale %	Total 1993-1995		Annual Contribution	
		CHF	USD	CHF	USD
Egypt	0.07	11,537	8,241	3,846	2,747
El Salvador	0.01	1,648	1,177	549	392
Equatorial Guinea	0.01	1,648	1,177	549	392
Ethiopia	0.01	1,648	1,177	549	392
Finland	0.57	93,942	67,101	31,314	22,367
France	6.00	988,858	706,327	329,619	235,442
Gabon	0.02	3,296	2,354	1,099	785
Gambia	0.01	1,648	1,177	549	392
Germany	8.93	1,471,751	1,051,251	490,584	350,417
Ghana	0.01	1,648	1,177	549	392
Guatemala	0.02	3,296	2,354	1,099	785
Guinea	0.01	1,648	1,177	549	392
GuineaBissau	0.01	1,648	1,177	549	392
Guyana	0.01	1,648	1,177	549	392
Honduras	0.01	1,648	1,177	549	392
Hungary	0.18	29,666	21,190	9,889	7,063
India	0.36	59,332	42,380	19,777	14,127
Indonesia	0.16	26,370	18,836	8,790	6,279
Iran, Islamic Republic of	0.77	126,903	90,645	42,301	30,215
Israel	0.23	37,906	27,076	12,635	9,025
Italy	4.29	707,034	505,024	235,678	168,341
Japan	12.45	2,051,881	1,465,629	683,960	488,543
Jordan	0.01	1,648	1,177	549	392
Kenya	0.01	1,648	1,177	549	392
Liberia	0.01	1,648	1,177	549	392
Liechtenstein	0.01	1,648	1,177	549	392
Luxembourg	0.06	9,889	7,064	3,296	2,355
Madagascar	0.01	1,648	1,177	549	392
Malawi	0.01	1,648	1,177	549	392
Malaysia	0.12	19,777	14,126	6,592	4,709
Malta	0.01	1,648	1,177	549	392
Mauritius	0.01	1,648	1,177	549	392
Mexico	0.88	145,033	103,595	48,344	34,532

Party	UN Scale %	Total 1993-1995		Annual Contribution	
		CHF	USD	CHF	USD
Monaco	0.01	1,648	1,177	549	392
Morocco	0.03	4,944	3,531	1,648	1,177
Mozambique	0.01	1,648	1,177	549	392
Namibia	0.01	1,648	1,177	549	392
Nepal	0.01	1,648	1,177	549	392
Netherlands	1.50	247,215	176,582	82,405	58,861
New Zealand	0.24	39,554	28,253	13,185	9,418
Nicaragua	0.01	1,648	1,177	549	392
Niger	0.01	1,648	1,177	549	392
Nigeria	0.20	32,962	23,544	10,987	7,848
Norway	0.55	90,645	64,746	30,215	21,582
Pakistan	0.06	9,889	7,064	3,296	2,355
Panama	0.02	3,296	2,354	1,099	785
Papua New Guinea	0.01	1,648	1,177	549	392
Paraguay	0.02	3,296	2,354	1,099	785
Peru	0.06	9,889	7,064	3,296	2,355
Philippines	0.07	11,537	8,241	3,846	2,747
Poland	0.47	77,461	55,329	25,820	18,443
Portugal	0.20	32,962	23,544	10,987	7,848
Russian Federation	9.41	1,550,860	1,107,757	516,953	369,252
Rwanda	0.01	1,648	1,177	549	392
Saint Lucia	0.01	1,648	1,177	549	392
Saint Vincent and the Grenadines	0.01	1,648	1,177	549	392
Senegal	0.01	1,648	1,177	549	392
Seychelles	0.01	1,648	1,177	549	392
Singapore	0.12	19,777	14,126	6,592	4,709
Somalia	0.01	1,648	1,177	549	392
South Africa	0.41	67,572	48,266	22,524	16,089
Spain	1.98	326,323	233,088	108,774	77,696
Sri Lanka	0.01	1,648	1,177	549	392
Sudan	0.01	1,648	1,177	549	392
Suriname	0.01	1,648	1,177	549	392
Sweden	1.11	182,939	130,671	60,980	43,557

Party	UN Scale %	Total 1993-1995		Annual Contribution	
		CHF	USD	CHF	USD
Switzerland	1.16	191,179	136,556	63,726	45,519
Tanzania, United Republic of	0.01	1,648	1,177	549	392
Thailand	0.11	18,129	12,949	6,043	4,316
Togo	0.01	1,648	1,177	549	392
Trinidad and Tobago	0.05	8,240	5,886	2,747	1,962
Tunisia	0.03	4,944	3,531	1,648	1,177
Uganda	0.01	1,648	1,177	549	392
United Arab Emirates	0.21	34,610	24,721	11,537	8,240
United Kingdom of Great Britain and Northern Ireland	5.02	827,345	590,961	275,782	196,987
United States of America	25.00	4,120,244	2,943,031	1,373,415	981,010
Uruguay	0.04	6,592	4,709	2,197	1,570
Vanuatu	0.01	1,648	1,177	549	392
Venezuela	0.49	80,757	57,684	26,919	19,228
Zaire	0.01	1,648	1,177	549	392
Zambia	0.01	1,648	1,177	549	392
Zimbabwe	0.01	1,648	1,177	549	39
Total	95.48	15,736,034	11,240,024	5,245,344	3,746,674

Note: 95.48 = 100%

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

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

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

CONSIDERING that to date only 29 out of the 54 States that were Parties to the Convention at that time have accepted this amendment;

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

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

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

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

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

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

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

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

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

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

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

* This document was prepared after the meeting from document Com. 8.16 (Rev.) adopted without amendment. (Note from the Secretariat).

URGES:

- a) the EEC member States that are Parties to the Convention to complete the development of appropriate legislation and to increase substantially the allotment of resources required to ensure the enforcement of the Convention, and to provide to the international community the necessary assurance regarding compliance with the agreements in force; and
- b) all EEC member States not party to CITES to accede to the Convention as soon as possible; and

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

Recognition of the Benefits of Trade in Wildlife

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

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

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

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

RECOGNIZING further that legal trade in a species should not lead to increases in illegal trade anywhere in its range;

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

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

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

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

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

* *This document was prepared after the meeting from document Com. 8.3 (Rev. 4) adopted without amendment. (Note from the Secretariat).*

Conf. 8.4*

National Laws for Implementation of the Convention

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

RECALLING Resolution Conf. 7.5, adopted at the seventh meeting of the Conference of the Parties (Lausanne, 1989), which expresses the Parties' conviction that enforcement of the Convention must be of constant concern to the Parties if the objectives of the Convention are to be fulfilled;

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

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

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

DIRECTS the Secretariat, within available resources:

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

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

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

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

* This document was prepared after the meeting from document Com. 8.13 (Rev.) adopted without amendment. (Note from the Secretariat).

Conf. 8.5*

Standardization of CITES Permits and Certificates

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

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

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

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

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

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

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

RECALLING also the definitions of "bred in captivity" and "artificially propagated" adopted respectively in Resolution Conf. 2.12 at the second meeting of the Conference of the Parties (San José, 1979) and in Resolution Conf. 8.17 at the eighth meeting of the Conference of the Parties (Kyoto, 1992), and the requirements of Article VII, paragraphs 4 and 5, of the Convention pertaining to the issuance of permits and certificates for specimens bred in captivity or artificially propagated;

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

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

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

AGREES

- a) that, to fulfil the requirements of Article VI of the Convention and relevant Resolutions, export and import permits, re-export and pre-Convention certificates, and certificates of captive breeding and artificial propagation should include all the information mentioned in the Annex of the present Resolution;
- b) that every form should be printed in one or more of the working languages of the Convention (English, Spanish, French) and in the national language if it is not one of the working languages;
- c) that every form should indicate which type of document it is (import or export permit, re-export or pre-Convention certificate, certificate of captive breeding or artificial propagation);
- d) that a re-export certificate should also specify:
 - i) the country of origin, the number of the export permit of the country of origin and its date of issue; and
 - ii) the country of last re-export, the number of the re-export certificate of that country and its date of issue;

* This document was prepared after the meeting from document Com. 8.28 adopted after having been amended. (Note from the Secretariat).

or if the case arises:

- iii) justification for the omission of any of the afore-mentioned information;
- e) that an import permit for specimens of species included in Appendix I may carry, among other things, certification that the specimens will not be used for primarily commercial purposes and, in the case of live specimens, that the recipient has suitable facilities to house and care for them; and
- f) that a pre-Convention certificate should also specify:
 - i) that the specimen covered by the certificate is pre-Convention; and
 - ii) the date of acquisition of the specimen as defined in Resolution Conf. 5.11 adopted at the fifth meeting of the Conference of the Parties (Buenos Aires, 1985);

RECOMMENDS

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

D Appendix-I animals bred in captivity for commercial purposes and Appendix-I plants artificially propagated for commercial purposes, as well as parts and products thereof, exported under the provisions of Article VII, paragraph 4, of the Convention

A Plants that are artificially propagated in accordance with Resolution Conf. 8.17, as well as parts and products thereof, exported under the provisions of Article VII, paragraph 5, of the Convention (specimens of species included in Appendix I if they are not propagated artificially for commercial purposes and specimens of species included in Appendices II and III)

C Animals bred in captivity in accordance with Resolution Conf. 2.12, as well as parts and products thereof, exported under the provisions of Article VII, paragraph 5, of the Convention (specimens of species included in Appendix I if they are not bred in captivity for commercial purposes and specimens of species included in Appendices II and III)

F F1 – generation animals born in captivity, but which do not fulfil the definition of "bred in captivity" in Resolution Conf. 2.12, as well as parts and products thereof

U Source unknown (**must be justified**)

I Confiscated or seized specimens;

- i) that, when the means of transport used requires a "bill of lading" or an "air way-bill", the number of such document be stated on the permit or certificate;
- j) that, when a country has voluntarily fixed national export quotas for specimens of species included in Appendix I, for non-commercial purposes, and/or in Appendices II and III, it state on each export permit the total number of specimens already exported (including those covered by the permit in question) and the quota for the species concerned;
- k) that, when a country has export quotas allocated by the Conference of the Parties for specimens of species included in Appendices I and II, it state on each export permit the total number of specimens already exported (including those covered by the permit in question) and the quota for the species concerned; the exporting and importing countries involved in trade in specimens of species for which there are such quotas should send copies of the original export permits, issued or received as appropriate, to the Secretariat to ensure that the quotas are not exceeded;
- l) that the Parties that have not yet done so communicate to the Secretariat, within one month of the eighth meeting of the Conference of the Parties, the names of the persons empowered to sign permits and certificates, as well as three specimens of each signature, and that all the Parties communicate, within one month of any change thereto, the names of persons who have been added to the list of those already empowered to sign, the names of persons whose signature is no longer valid and the dates the changes took effect;
- m) that, when a Party refuses to accept a permit or certificate, it keep the original or, if this is against its national laws, it cancel the document indelibly, preferably by perforation, particularly the security stamp;
- n) that exported specimens and re-exported specimens not appear on the same document;
- o) that, for data-processing reasons, the permit and certificate numbers be limited to eight characters (digits, letters and spaces);
- p) that the Parties take appropriate security measures, recommended in Resolution Conf. 3.7 adopted at the third meeting of the Conference of the Parties (New Delhi, 1981), to reduce the risk of the fraudulent use or misuse of permits and certificates; and
- q) that each Party inform the other Parties, directly or through the Secretariat, of any stricter internal measures it has taken under Article XIV, paragraph 1(a), of the Convention, and that, when a Party is informed of this, it refrain from issuing documents that run counter to these measures;

REQUESTS the Secretariat

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

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

Annex

Information that Should Be Included in CITES Permits and Certificates

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

* THIS INFORMATION SHOULD ALREADY BE PRINTED ON THE FORM.

Role of the Scientific Authority

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

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

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

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

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS that

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

* This document was prepared after the meeting from document Com. 8.24 (Rev.) adopted without amendment. (Note from the Secretariat).

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

DIRECTS the Secretariat

- a) in consultation with appropriate experts, to prepare general guidelines for conducting appropriate scientific reviews by Scientific Authorities to make findings as required by Articles III, IV and V of the Convention;
- b) to provide these guidelines to the Animals Committee and Plants Committee for review; and
- c) to co-ordinate regional workshops on the conduct of Scientific Authorities.

Conf. 8.7*

Submission of Annual Reports

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

NOTING that Resolution Conf. 2.16, adopted at the second meeting of the Conference of the Parties (San José, 1979), recommends that annual reports be submitted no later than 31 October of the year following the year for which a report was due;

RECALLING that several past Resolutions have addressed the importance of the submission of annual reports by the Parties, in order to permit the effective monitoring of the levels of trade;

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

RECALLING that Resolution Conf. 7.5, adopted at the seventh meeting of the Conference of the Parties (Lausanne, 1989), recommends that major implementation problems that the Secretariat can not resolve be brought to the attention of the Standing Committee;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

DECIDES

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

* This document was prepared after the meeting from document Com. 8.14 adopted without amendment. (Note from the Secretariat).

Conf. 8.8*

Trade with States not Party to the Convention

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

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

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

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

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

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

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

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

AWARE that the updated list of competent authorities as requested from the Secretariat in Resolution Conf. 3.8 refers to several States for which no information is available and several authorities for which information was communicated more than five years ago;

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

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

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

DIRECTS the Secretariat

- a) to request States not party to the Convention to communicate to the Secretariat:
 - i) details of the authorities competent to issue comparable documentation, within three months, and to confirm these details at least once every two years;
 - ii) details of the scientific institutions capable of advising that an export is not detrimental to the survival of the species concerned, within three months, and to confirm these details at least once every two years; and
 - iii) any changes in the competent authorities and scientific institutions within one month after such changes take place; and

* This document was prepared after the meeting from document Com. 8.22 (Rev.) adopted without amendment. (Note from the Secretariat).

- b) to compile, and to communicate at regular intervals to the Parties, an updated list of competent authorities and scientific institutions containing only those authorities and institutions details of which were communicated by the State concerned less than two years previously;

RECOMMENDS

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

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

The Trade in Wild-Caught Animal Specimens

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

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

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

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

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

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

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

CONCERNED that the population assessments and monitoring programmes necessary in order to maintain populations of Appendix-II species at levels above which they might become eligible for inclusion in Appendix I are not in every case being undertaken and that the above-mentioned remedial measures are not always implemented;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS

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

* This document was prepared after the meeting from document Com. 8.10 (Rev.) adopted without amendment. (Note from the Secretariat).

DIRECTS the Animals Committee, after consultation with range States:

- a) to make specific recommendations for all species listed in its report, Review of Significant Trade in Species of Animals Included in CITES Appendix II 1983-1988 (Doc. 8.30), and for other species it may identify as a result of its continuing review, with the aim of ensuring the implementation of Article IV, paragraphs 2(a) and 3. Such recommendations shall be either primary or secondary recommendations:
 - i) primary recommendations include, for example, administrative procedures, specific quotas, zero quotas or temporary restrictions on exports of the species concerned; and
 - ii) secondary recommendations include, for example, administrative procedures, field studies or evaluation of other threats to populations or other relevant factors, including illegal trade, habitat destruction, internal or other uses, designed to provide the information necessary for a Scientific Authority non-detriment finding;
- b) for those species already identified as priority species in its Significant-Trade Review, to make recommendations that address identified problems to the relevant range States, within ninety days after the adoption of this Resolution at the eighth meeting of the Conference of the Parties and after each meeting thereafter; and
- c) for the remaining species in its Significant-Trade Review, to make recommendations that address identified problems to the relevant range States, in sufficient time to allow the response of such States prior to the ninth meeting of the Conference of the Parties and prior to each meeting thereafter;

RECOMMENDS further that

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

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

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

Conf. 8.10*

Quotas for Leopard Hunting Trophies and Skins for Personal Use

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

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

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

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

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

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

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

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS

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

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

* This document was prepared after the meeting from document Com. 8.29 adopted without amendment. (Note from the Secretariat).

- b) that, in reviewing applications for permits to import whole skins or nearly whole skins of *Panthera pardus* (including hunting trophies), in accordance with paragraph 3(c) of Article III of the Convention, the Management Authority of the State of import be satisfied that the said skins are not to be used for primarily commercial purposes if:
 - i) the skins are acquired by the owner in the country of export and are being imported as personal items that will not be sold in the country of import; and
 - ii) the owner imports no more than two skins in any calendar year if this is authorized by the legislation of the country of export;
- c) that the Management Authority of a State of import permit the import of leopard skins in accordance with this Resolution only if each skin has a self-locking tag attached which indicates the State of export, the number of the specimen in relation to the annual quota and the calendar year to which the quota applies - for example ZW 6/500 1992 indicating that Zimbabwe is the State of export and that the specimen is the sixth specimen exported by Zimbabwe out of its quota of 500 for 1992 - and if the same information as is on the tag is given on the export document;
- d) that, in the case of whole or nearly whole leopard skins traded according to the terms of this Resolution, the words "has been granted" in paragraph 2(d) of Article III of the Convention be deemed to have been satisfied upon the written assurance of the Management Authority of the State of import that an import permit will be granted;
- e) that each State that exports leopard skins in terms of this Resolution report the number of skins so exported annually to the Secretariat and that the Secretariat submit a report at each regular meeting of the Conference of the Parties; and
- f) that the system adopted in this Resolution be continued, with any increase in a quota or any new quota (i.e. for a State not previously having one) requiring the consent of the Conference of the Parties.

Stocks of Hair and Cloth of Vicuna

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

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

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

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

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

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

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS

- a) that all Parties that are not members of the Convenio para la Conservación y Manejo de la Vicuña report to the Secretariat on their trade in vicuna cloth in their annual reports;
- b) that Management Authorities authorize the import of vicuna cloth only if the reverse bears the logotype corresponding to the country of origin and the trade mark VICUÑANDES-CHILE or VICUÑANDES-PERU or if it is cloth containing pre-Convention hair of vicuna;
- c) that importing countries in consultation with the Secretariat verify the validity of export permits for vicuna cloth in order to ascertain their origin;
- d) that any State member of the Convenio para la Conservación y Manejo de la Vicuña that exports vicuna cloth in accordance with this Resolution, inform the Secretariat on an annual basis about the quantity of products exported, the number of animals sheared and the local populations to which they belong, and that the Secretariat submit a report at each regular meeting of the Conference of the Parties; and
- e) that all Parties immediately apply stricter domestic controls on the trade in vicuna cloth.

* This document was prepared after the meeting from document Com. 8.27 adopted without amendment. (Note from the Secretariat).

Trade in Live Birds Experiencing High Mortalities in Transport

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

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

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

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

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

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

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

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS

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

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

* This document was prepared after the meeting from document Com. 8.20 adopted without amendment. (Note from the Secretariat).

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

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

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

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

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

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

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

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

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS

- a) that Parties, where possible and appropriate, and without excluding the use of other methods, adopt the use of implantable transponders for the secure identification of live animals of Appendix-I species to be determined in accordance with the advice of the IUCN/SSC Captive Breeding Specialist Group;
- b) that Parties take into account the findings of the IUCN/SSC Captive Breeding Specialist Group regarding frequency, size and sterility of transponder as well as procedures for registration within a central data bank;
- c) that microchip transponders be implanted where consistent with the well-being of the specimens concerned;
- d) that methods of secure identification such as the use of implantable transponders be applied also to animals of species listed in Appendix I or Appendix II that form part of travelling exhibitions or circuses;
- e) that the location of implanted transponders in each animal be standardized according to advice from the IUCN/SSC Captive Breeding Specialist Group;
- f) that all microchip codes and related technical information needed to enable the reading of the transponder data be recorded on all relevant CITES documents;
- g) that all Parties have access to a central data bank to record microchip codes used to identify live specimens of Appendix-I species and include such information in their annual reports to the Secretariat;
- h) that, as the International Species Information System (ISIS) has agreed to record in its database transponder numbers used by Parties, in order to establish a central repository for registration of microchip codes, the Secretariat liaise with the appropriate authority regarding access thereto and the necessary financial arrangements;

* This document was prepared after the meeting from document Com. 8.9 (Rev.) adopted without amendment. (Note from the Secretariat).

- i) that provision be made in the budget of the Secretariat to assist Parties requesting support in acquiring the technology necessary to enable access to the database; and
- j) that where this technology is made available for use by persons and/or organizations through the Secretariat, they be charged an appropriate fee; and

DIRECTS

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

Universal Tagging System for the Identification of Crocodilian Skins

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

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

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

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

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

CONSIDERING that the tagging of all crocodilian skins in trade would be a fundamental step towards the effective regulation of international trade in crocodilians;

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

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

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

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

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS

- a) the introduction of a universal tagging system for identification of raw and processed crocodilian skins and parts thereof ("chalecos", flanks, bellies, tails, throats, legs and feet), by the general application of non-reusable tags to identify all crocodilian skins entering international trade from the countries of origin, and that all countries subsequently re-exporting such items do so with the original tags intact unless substantial processing and manufacturing has taken place;
- b) that such non-reusable tags include as a minimum the International Organization for Standardization two-letter code for the country of origin, a unique serial identification number, a species code and the year of production and further that such non-reusable tags have as a minimum the following characteristics: a self-locking system, heat resistance, inertia to chemical and mechanical processing, information that has been applied by permanent stamping;
- c) that the same information as is on the tags be given on the export permit, reexport certificate or other Convention document, or on a separate sheet which shall be considered an integral part of the permit, certificate or document and which should be validated by the same issuing authority;
- d) that each Party in which tags are applied maintain records accounting for tags issued and maintain records that relate each Convention document number to the tags of the crocodilian specimens traded thereunder and vice versa, and include this information in its annual report;

* This document was prepared after the meeting from document Com. 8.23 adopted without amendment. (Note from the Secretariat).

- e) that Parties establish where legally possible a system of registration or licensing, or both, for importers and exporters of crocodilian skins and parts thereof as defined in paragraph a) above;
- f) that provision be made in the Secretariat's budget, to which additional voluntary contributions may be made, for the production and dissemination of skin tags in quantities that may be requested by any Party, as well as for the cost of implementing and administering the system; and
- g) that, from one year after the adoption of this Resolution, Parties accept export permits, re-export certificates or other Convention documents for trade in crocodilian skins and parts thereof as defined in paragraph a) above only if they contain the information referred to in paragraph b) and if the related skins and parts thereof are properly tagged;

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

DIRECTS

- a) the Secretariat, in consultation with the Animals Committee, to develop a practical tracking system for monitoring tags used in trade;
- b) the Animals Committee, in consultation with the Secretariat, to study the possibilities of a practical uniform marking system for manufactured products of crocodilian skins in commercial trade and to report its findings and recommendations to the next meeting of the Conference of the Parties; and
- c) the Animals Committee and the Secretariat to evaluate the marking system as recommended in Resolution Conf. 5.16, adopted at the fifth meeting of the Conference of the Parties (Buenos Aires, 1985), and to report their findings and recommendations at the next meeting of the Conference of the Parties.

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

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

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

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

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

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

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

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

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

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

RESOLVES

- a) that the principles set forth in Resolution Conf. 2.12 shall remain the basis of this procedure;
- b) that the Secretariat should encourage Parties to establish, where appropriate, captive-breeding operations for commercial purposes for indigenous species of animals included in Appendix I;

* This document was prepared after the meeting from document Com. 8.21 (Rev. 2) adopted without amendment. (Note from the Secretariat).

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

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

DECIDES that the Resolutions listed hereunder be repealed:

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

Annex 1

Role of the Commercial Captive-Breeding Operation

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

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

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

RECOGNIZING that the breeding of native species in captivity for commercial purposes may, in some cases, facilitate the eventual release to the wild of a percentage of the progeny from such operations;

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

RECOGNIZING that operations breeding specimens in captivity for commercial purposes are defined as those which comply with the criteria set forth in Resolution Conf. 2.12 and the products of which are commercially traded, exchanged, or exhibited whether from native or non-native species;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

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

1. Name and address of the owner and manager of the captive-breeding operation.
2. Date of establishment.
3. Species bred (Appendix I only).
4. Description of parental breeding-stock including the following information where appropriate:
 - a) age and identification (band or tag numbers, transponders, distinguishing marks, etc.) of each male and each female;
 - b) evidence of legal acquisition of each male and each female (e.g. receipts, CITES documents, capture permits, etc.); and

- c) the known or likely genetic relationship within and between breeding pairs.
- 5. Current stock (number, by sex and age, of specimens held in addition to parental breeding-stock above).
- 6. Annual production of young.
- 7. Documentation showing that the species has been bred to second generation offspring (F2) at the facility and a description of the method used; or, if the operation has not bred the species to the second generation, a description of the methods that have been used to do so successfully elsewhere.
- 8. Description of the operation's strategy to avoid deleterious inbreeding and to identify and correct it should it occur.
- 9. Description of the facilities being used to house and care for the current and expected captive stock.
- 10. Description of the security measures provided to safeguard against escape of the captive stock into the wild and contingency measures for the safe disposal of captive stock in the event that the operation is closed.
- 11. Description of the management of the breeding stock and offspring, specifically:
 - a) expected future production of offspring;
 - b) description of strategy to add offspring to the breeding stock as future replacement stock and/or to expand the breeding stock; and
 - c) description of breeding performance of each generation produced in captivity, including records that describe the percentage of the breeding-age portion of the operation's specimens that have bred and produced viable offspring.
- 12. Assessment of any perceived need for augmentation of the breeding stock with specimens from captive-bred or wild source.
- 13. Type of product exported (e.g. live specimens, skins, hides, other body parts).
- 14. Description of the marking methods to be used for the breeding stock and offspring and for specimens furnished for export.
- 15. Once the captive-breeding operation in question has been registered, the operation should provide annually, or as required by the Management Authority, information on any changes made concerning items 4, 5, 6, 9, 10, 11 and 13 above during the preceding year.

Annex 2

Role of the Management Authority

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

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

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

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

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RESOLVES

- a) that each Management Authority that has approved the application of a captive-breeding operation (Annex 1) on the basis of criteria established in Resolution Conf. 2.12 and in the Guidelines for a Procedure to Register and Monitor Operations Breeding Appendix-I Animal Species for Commercial Purposes shall apply to the Secretariat for the registration of the operation and provide the following information:
- A. Biological Data on the Species to Be Registered:
1. Taxonomy:
 - class;
 - order;
 - family;
 - genus, species, and subspecies, when applicable, including author and year;
 - common name(s), when applicable;
 - code number (e.g. ISIS), when applicable.
 2. Status in the Wild:
 - distribution (current and historical);
 - population size, trend, and degree of endangerment.
 3. Status in Captivity:
 - description of founder stock in the country concerned (including source and likely genetic relationship);
 - general breeding performance in captivity;
 - general breeding techniques successfully used.
- B. Specific Biological and Other Data on the Captive-Breeding Operation to Be Registered:
- including all of the information received from the operation, referred to in Annex 1.
- C. A description of the inspection procedures to be used by the CITES Management Authority to confirm the identity of the breeding-stock and offspring and to detect the presence of unauthorized specimens held at the operation or provided for export;
- b) that after a captive-breeding operation is registered, the Management Authority, with assistance from the Scientific Authority, shall continue to monitor the performance of the operation by inspection and by examining the information provided in annual reports from the operation; and
- c) that if a captive-breeding operation no longer wishes to remain registered, or if the Management Authority receives information that leads it to believe that an operation no longer qualifies for registration, then the Management Authority within whose jurisdiction that operation is registered may unilaterally request its removal from the Register without reference to other Parties by so notifying the Secretariat.

Annex 3

Role of the Secretariat

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

AGREEING further that the Secretariat should have a stronger "oversight" role in screening applications from Management Authorities for the registration of captive-breeding operations, and that it may reject applications

that it believes do not meet the criteria of Resolution Conf. 2.12 concerning conservation needs of the particular species involved;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RESOLVES that the Secretariat shall perform the following functions:

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

Annex 4

Role of the Parties and of the Conference of the Parties

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

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RESOLVES

- a) that Parties shall strictly implement the provisions of Article IV of the Convention with respect to specimens of species included in Appendix I originating from operations that breed such specimens in captivity for commercial purposes;
- b) that Parties shall reject any document granted under Article VII, paragraph 4, of the Convention, if the specimens concerned do not originate from an operation duly registered by the Secretariat and if the document does not describe specific identifying marks applied to each specimen;

- c) that comparable documentation granted under Article VII, paragraph 4, of the Convention by States that are not Parties to the Convention shall not be accepted by the Parties without consultation with the Secretariat;
- d) that Parties shall continue to develop suitable measures to ensure that already registered captive breeding operations, and the processors and manufacturers of products, adopt a marking system for products of the operations that meets as a minimum the requirements of the "uniform marking system" described in Resolution Conf. 5.16 concerning Trade in Ranches Specimens, adopted at the fifth meeting of the Conference of the Parties (Buenos Aires, 1985), and that they shall inform the Secretariat thereof;
- e) that, where any Party believes that an operation applying for registration to breed a species new to the Secretariat's Register does not meet the requirements of Resolution Conf. 2.12, that Party may, within a 120-day period after the notification of the application to the Parties, request the Secretariat to postpone acceptance and have the application put to the vote of the Conference of the Parties;
- f) that, where any Party becomes aware of and can demonstrate the failure of an operation to comply satisfactorily with the requirements for a registered captive-breeding operation, that Party may, after consultation with the Secretariat and the Party concerned, propose that the Conference of the Parties delete the operation from the Register by a two-thirds majority vote of the Parties at a meeting of the Conference of the Parties or by postal procedures set forth in Article XV of the Convention; and
- g) that once an operation has been deleted from the Register, it may be reinstated only by satisfying Resolution Conf. 2.12 and the procedure outlined in Annexes 1, 2 and 3 above.

Travelling Live-Animal Exhibitions

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

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

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

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

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS

- a) that each Party issue to any exhibition based in its State and wishing to travel to other States, a pre-Convention certificate or a certificate of captive-breeding, as appropriate, for each animal travelling to another State. The certificate should include in box 5, or in another box if the standard permit form is not used, the following language: "The specimen covered by this certificate belongs to a travelling animal exhibition. If the specimen leaves the possession of the exhibition, this certificate must be immediately returned to the issuing Management Authority";
- b) that pre-Convention certificates and certificates of captive breeding issued for exhibitions be valid for a maximum period of three years to allow multiple imports, exports and re-exports of the individual specimens in these exhibitions;
- c) that, in order to avoid any problem concerning the implementation of Resolution Conf. 5.11, adopted at the fifth meeting of the Conference of the Parties (Buenos Aires, 1985), pre-Convention certificates for exhibitions be issued only for specimens that have been acquired before 1 July 1975 or before the date of inclusion of the species concerned in any of the appendices to the Convention;
- d) that Parties consider such pre-Convention certificates and certificates of captive breeding as proof that the specimens concerned have been registered with the issuing Management Authority and allow the movement of such specimens across their borders;
- e) that Parties not collect the above-mentioned certificates at their borders but allow the documents to remain with the specimens and be considered valid for export or re-export from each Party;
- f) that Parties check exhibitions closely, for export/re-export and for import, and note especially whether live specimens are transported and cared for in a manner that minimizes the risk of injury, damage to health or cruel treatment;
- g) that Parties require that specimens be marked or identified in such a way that the authorities of the Party into which an exhibition enters can verify that the pre-Convention certificates or certificates of captive breeding correspond to the specimens;

* This document was prepared after the meeting from document Com. 8.15 (Rev.) adopted without amendment. (Note from the Secretariat).

- h) that when, during a stay in a State, an animal in possession of an exhibition gives birth, the Management Authority of that State be notified and issue a Convention certificate as appropriate. In the case of an addition of specimens to an exhibition, the Management Authority of the Party in which the addition takes place should issue the appropriate document for each new specimen to be used in the exhibition. When an animal is no longer in the possession of an exhibition (death, sale, theft, etc.), the original certificate should be immediately returned to the issuing Management Authority;
- i) that when, during a stay in a State, a pre-Convention certificate or certificate of captive breeding for a specimen is lost, stolen or accidentally destroyed, only the Management Authority which has issued the document may issue a duplicate. This duplicate will bear the same number, if possible, and the same date of validity as the original document, and contain the following statement: "This certificate is a true copy of the original"; and
- j) that the Parties include in their annual reports lists of all pre-Convention certificates and certificates of captive breeding issued for specimens in exhibitions.

Improving the Regulation of Trade in Plants

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

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

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

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

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

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

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

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

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

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

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

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

DETERMINES

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

"under controlled conditions" means in a non-natural environment that is intensively manipulated by human intervention for the purpose of producing selected species or hybrids. General characteristics of controlled conditions may include but are not limited to tillage, fertilization, weed control, irrigation, or nursery operations such as potting, bedding, or protection from weather;
 - ii) the cultivated parental stock used for artificial propagation must be:
 - A) established and maintained in a manner not detrimental to the survival of the species in the wild;
and

* This document was prepared after the meeting from document Com. 8.26 adopted without amendment. (Note from the Secretariat).

- B) managed in such a way that long-term maintenance of this cultivated stock is guaranteed; and
- iii) grafted plants be recognized as artificially propagated only when both the root-stock and the graft have been artificially propagated;
- b) that, with regard to artificially propagated hybrids of Appendix-I species, the application of Resolution Conf. 2.13, decision c), shall be restricted in such a way that:
 - i) plant species or other taxa listed in Appendix I shall be annotated (in accordance with Article XV) if compliance with Resolution Conf. 2.13, decision c), is required for artificially propagated hybrids in order that the provisions relevant to the most restrictive appendix apply;
 - ii) if a plant species or other taxon listed in Appendix I is annotated, an export permit (or re-export certificate) is required for trade in specimens of all artificially propagated hybrids derived from it; but
 - iii) artificially propagated hybrids derived from one or more unannotated Appendix-I species or other taxa are regarded as being included in Appendix II and entitled therefore to all exemptions applicable to artificially propagated specimens of species listed in Appendix II; and
- c) that flaked seedlings of orchid species listed in Appendix I shall be interpreted as being exempted from CITES control, taking into account the provisions of Article VII, paragraph 4, and Article I, paragraph (b) (iii), and the recommendations of Resolution Conf. 6.18, and agreeing to a derogation from Resolution Conf. 5.9 for this exemption; and

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

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

Standard References to the Names of Birds and Plants Listed in the Appendices

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

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

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

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

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

DECIDES

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

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

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

* This document was prepared after the meeting from document Com. 8.19 (Rev.) adopted without amendment. (Note from the Secretariat).

Standard Reference to the Names of Orchidaceae

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

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

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

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

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS

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

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

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

* This document was prepared after the meeting from document Com. 8.18 (Rev.) adopted without amendment. (Note from the Secretariat).

Development of New Criteria for Amendment of the Appendices

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

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

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

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

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

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

CONVINCED that the criteria adopted at the first meeting of the Conference of the Parties (Berne, 1976) (Resolutions Conf. 1.1 and Conf. 1.2) do not provide an adequate basis for amending the appendices;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

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

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

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

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

* This document was prepared after the meeting from document Com. 8.11 (Rev.) adopted without amendment. (Note from the Secretariat).

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

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

RECALLING that the format for proposals laid down in Resolution Conf. 2.17, adopted at the second meeting of the Conference of the Parties (San José, 1979), provides for comments to be sought from the range States;

OBSERVING that many proposals have been submitted without such comments being sought;

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

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

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

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

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS that for any submission of a proposal to amend Appendix I or II of the Convention one of the following two procedures be applied:

- a) where the proposing Party intends to consult the range States, it:
 - i) advises the Management Authorities of the range States within which the species occurs of its intention to submit a proposal;
 - ii) consults with the Management and Scientific Authorities of these States on the substance of the proposal; and
 - iii) includes the opinions of these Authorities in section 6 of the proposal submitted in accordance with Resolution Conf. 2.17 except that, where no response has been received from a range State within a reasonable period of time, the proposing Party may instead simply document its attempts to obtain these opinions; or
- b) where prior consultation with range States will not take place:
 - i) the Party submits the proposal at least 330 days in advance of the next scheduled meeting of the Conference of the Parties;
 - ii) the Secretariat circulates the proposal as soon as possible to all Parties; and

* This document was prepared after the meeting from document Com. 8.12 (Rev.) adopted without amendment. (Note from the Secretariat).

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

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

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

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

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

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

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

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

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

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

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

DIRECTS the Secretariat to include a new captive-breeding operation in its Register of Operations which Breed Specimens of Species Included in Appendix I in Captivity for Commercial Purposes under the provisions of Resolutions Conf. 8.15 only when it has been proved that the breeding stock has been established in a manner not detrimental to the survival of the species in the wild within its area of natural distribution;

RECOMMENDS also with respect to ranching proposals that:

- a) Parties achieving or having achieved the transfer of their populations of crocodilians to Appendix II under the provisions of Resolution Conf. 3.15 limit the manner of exploitation of wild populations to those techniques described in their proposals and not, for example, later initiate new short-term programmes for taking wild animals, without notifying the Secretariat;
- b) those based solely on egg or hatchling collection be accepted as a matter of routine provided that appropriate inventories, harvest-level controls and monitoring programmes are proposed and that sufficient safeguards are established in the proposal to ensure that adequate numbers of animals are returned to the wild if necessary;

* This document was prepared after the meeting from document Com. 8.4 (Rev.) adopted without amendment. (Note from the Secretariat).

- c) those which include a component of a wild-adult harvest be examined much more stringently than those based purely on egg or hatchling collection; and
- d) any wild-adult harvest component normally be limited to a reasonable number commensurate with the control of nuisance animals and sport hunting together; and

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

Review of Appendix III

RECALLING that Article XVI of the Convention provides Parties with the possibility to list species in Appendix III;

ACKNOWLEDGING that it is the right of each Party to decide which species are to be included in Appendix III;

RECOGNIZING that Resolution Conf. 5.22, adopted at the fifth meeting of the Conference of the Parties (Buenos Aires, 1985), recommends criteria for the inclusion of species in Appendix III;

RECOGNIZING that Resolution Conf. 7.15, adopted at the seventh meeting of the Conference of the Parties (Lausanne, 1989), encourages Parties to declare inclusions of species in Appendix III or withdrawals there from at meetings of the Conference of the Parties;

RECALLING that paragraph 3 of Article II of the Convention provides for the inclusion of species in Appendix III, only if a Party needs the co-operation of other Parties in the control of trade;

NOTING that Resolution Conf. 1.5, adopted at the first meeting of the Conference of the Parties (Berne, 1976), recommends in paragraph 5 that species should not be added to Appendix III when domestic legislation is adequate to protect such species;

CONSIDERING that Appendix III may contain several species which occur rarely or not at all in international trade and for which the Convention is therefore not effective;

CONSIDERING that Appendix III may contain several species which are not threatened by international trade in the region for which the species are included;

CONCERNED that the credibility of the Convention and its effectiveness are not enhanced by the inclusion in any appendix of species which are not in trade or not in any way considered as endangered or vulnerable as a consequence of international trade;

CONCERNED further that Parties may be less inclined to implement the Convention with regard to Appendix III adequately and to cope with the resulting administrative burden if they are not fully convinced of the effectiveness of Appendix III;

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

RECOMMENDS

- a) that Parties in principle restrain themselves from adding species to Appendix III and, when they intend to submit species for inclusion in Appendix III, they consider carefully whether such inclusion can be effective for the conservation of such species in terms of the Convention;
- b) that, before submitting a species for inclusion in Appendix III, Parties request the advice of the Animals Committee or the Plants Committee regarding the trade status and biological status of that species;
- c) that Parties seriously consider not submitting a species for inclusion in Appendix III when the advice under b) does not favour such inclusion;
- d) that Parties having included species in Appendix III carefully review such species and the necessity to maintain them in that appendix; and
- e) that Parties seriously consider withdrawing species from Appendix III if their review, or the advice of the Animals Committee or the Plants Committee referred to below, support such withdrawal; and

* This document was prepared after the meeting from document Doc. 8.42 Annex adopted without amendment. (Note from the Secretariat).

DIRECTS the Animals Committee and the Plants Committee to review the effectiveness, for the purposes of the Convention, of the retention in Appendix III of each species listed therein, taking account of its trade and biological status, and to advise the Parties concerned of the results of this review before the next meeting of the Conference of the Parties.