

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

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

Strategic and administrative matters

Committee reports and recommendations

Animals Committee

REPORT OF THE CHAIRMAN

Introduction

1. This report covers the – unusually short – period from 15 November 2002 to 5 May 2004. During this period the Animals Committee (AC) met on two occasions: its 19th meeting, held in Geneva, Switzerland, from 18 to 21 August 2003 and its 20th meeting, held in Johannesburg, South Africa, from 29 March to 2 April 2004 (AC19, and AC20 respectively). Representatives of 29 Parties, one United Nations agency, three inter-governmental organizations (IGOs) and 40 non-governmental organizations (NGOs) participated in AC19; and representatives of 30 Parties two United Nations agencies, two IGOs and 35 NGOs participated in AC20. The summary record AC19 was sent to the Parties and has been posted on the CITES Secretariat's website.
2. The Committee wishes to thank South Africa for organizing AC20 so effectively and Switzerland for the reception and the two excursions they offered to the participants of AC19.
3. For administrative and budgetary reasons, AC19 had to be limited to only four instead of the usual five days, which resulted in a lot of pressure on the Committee and some extra working hours to accomplish its work. AC19 was held immediately after the 13th meeting of the Plants Committee (PC). Unfortunately another back-to-back meeting in 2004 was not possible. However, as both scientific Committees dealt with a few common issues during this period, liaison was maintained by the participation of both Chairmen (and by some Committee members and Party observers) at the meetings of the other committee. As a consequence of this work, both Chairmen have submitted – in addition to their own reports – three joint documents to the Conference of the Parties (CoP), dealing with these common issues (documents CoP13 Doc. 11.2, Doc. 40 and Doc. 57).
4. The current composition of the AC is tabulated below. Immediately after the closure of the 12th meeting of the Conference of the Parties (CoP12, Santiago, 2002), the members and alternate members of the AC and the CITES Secretariat met informally and the AC elected Dr Thomas Althaus (Switzerland, one of the two representatives of Europe) as its Chairman and Dr Rodrigo Medellín (Mexico, the representative of North America) as Vice-Chairman. In the course of 2003, Dr Kurt Johnson (United States of America) relinquished his position as alternate regional representative of North America and, after consultation among the North American Parties, was replaced by Dr Javier Alvarez (also from the United States).

Region	Regional representative	Alternate
Africa	Mr Michael Griffin (Namibia) Dr Edson Chidziya (Zimbabwe)	Dr Richard Kiome Bagine (Kenya) Mr Mustafa Ahmed Mahmoud (Egypt)
Asia	Dr Mohammad Pourkazemi (Iran) Dr Schwann Tunhikorn (Thailand)	Dr Nobuo Ishii (Japan) Dr Choo-Hoo Giam (Singapore)
Central & South America and the Caribbean	Mr Sixto Inchaustegui (Dominican Republic) Dr Marco Polo Micheletti (Honduras)	Mr Roberto Ramos Tangarona (Cuba) Mrs Magaly M. Ojeda (Venezuela)
Europe	Dr Thomas Althaus (Switzerland) Dr Katalin Rodics (Hungary)	Dr Carlos Ibero Solana (Spain) Dr Alexander G. Sorokin (Russian Federation)
North America	Dr Rodrigo Medellín (Mexico)	Dr Javier Alvarez (United States of America) (since November 2003)
Oceania	Dr Rod Hay (New Zealand)	Dr Richard John Watling (Fiji)

5. While the representatives of Africa, Asia, Europe, North America and Oceania were all able to attend AC19 and AC20, the region of Central and South America and the Caribbean was represented at AC19 only. During the whole period, communication with members and alternate members from some regions proved to be very difficult. This – and other issues – led to a general discussion about regional communication and representation, as well as tasks, duties and commitments of regional representatives and their Parties in both scientific committees. This resulted in a common document submitted to CoP13 (document CoP13 Doc. 11.2).
6. The AC has addressed all the tasks referred to it at CoP12 and assumed in addition its regular responsibilities. Issues were tackled at the two AC meetings, and intersessionally by working groups operating through correspondence under the auspices of the AC. In most instances, AC members or alternate members chaired these working groups.
7. The two meetings of the AC were conducted in the three working languages of the Convention. The provision of this service ensures communication and understanding as well as a high level of participation of non-English speaking participants in discussions.
8. In recent years, the nature of the tasks referred to the AC has been such that large numbers of NGOs interested in single issues – some of them to a certain extent ‘non-scientific’ or politically sensitive – have participated in meetings of the AC. The AC however was first and foremost established as a scientific advisory body to serve the Parties to the Convention. In order to ensure a balance between the AC, observer Parties and NGOs, some rules for NGO participation have been implemented, which are based on Resolution Conf. 11.1, Annex 2, first DETERMINES, paragraph f): NGOs have to apply to the AC Chairman in writing for an invitation, and to provide him with the relevant legal instrument (bylaws, statutes, etc.), mission statements, their reasons for wishing to attend the meeting, the contribution they think they could make, and a *curriculum vitae* of the person to represent the NGO. The number of participants per NGO is in principle limited to one. The NGO representative is then invited in his or her personal capacity by the AC Chairman. This not only provides a regulatory mechanism, but also gives the Chairman useful information and insight on the background of the NGO participants. Very few NGOs have been denied access to the meetings. However, this procedure has not caused a substantial reduction of the number of NGOs at AC meetings, but has seemed to result in an increased quality of NGO contributions – in addition to the Parties’ contributions - and the creation of a constructive spirit of cooperation in recent AC meetings, which helped greatly to accomplish a number of difficult tasks in a very limited time period.

9. The Chairman of the Standing Committee (SC) invited the Chairman of the AC to attend the 49th and 50th meetings of the SC (SC49 and SC50). The AC Chairman participated in the SC working group on technical implementation issues (see Decisions 12.23 and 12.24). This working group was tasked with the classification of current technical implementation issues into those that are rather scientific in nature and those that are rather administrative, and to define how the SC could serve as 'clearing house' for directing these issues to the competent bodies within CITES for follow-up. This categorization and the guidelines for the clearing-house mechanism were completed at SC50 and have been submitted for consideration by the Conference of the Parties (see document SC50 Doc. 10). The AC Chairman and his AC colleagues also offered to provide comments to the Export Quota Working Group (see Decision 12.27) and requested to be kept informed about the progress of its work.
10. Since CoP12 the AC Chairman participated in and contributed to the following events: a telephone conference on queen conch (*Strombus gigas*) in February 2003; drafting of a Memorandum of Understanding (MoU) between CITES, the International Air Transport Association (IATA) and the World Association of Zoos and Aquariums (WAZA) in Geneva Switzerland (April 2003); joint meeting of WAZA and the IUCN Species Survival Commission Conservation Breeding Specialist Group (CBSG); legislation working group meeting in Bern, Switzerland (April 2003); CBSG meeting in San José, Costa Rica (November 2003); WAZA meeting in San José Costa Rica (November 2003); CITES Workshop on wildlife trade policies and economic incentives in Geneva, Switzerland (December 2003); Symposium of the European Circus Association (ECA) in Monte Carlo, Monaco (January 2004); and a coordination meeting on CITES matters of the European Region in Brussels, Belgium (January 2004). Owing to other commitments, the Chairman was unable to accept invitations for a presentation at the Animal Transportation Association (AATA) meeting in April 2004 in Vienna, Austria, or an expert workshop promoting CITES-CBD cooperation and synergy in Vilm, Germany, in April 2004. He was replaced at the latter by the other AC representative of the European region, Dr Katalin Rodics. In addition, the Chairman visited the CITES Secretariat six times for preparatory and reporting work for the AC meetings and was twice visited for the same purpose by a representative of the Secretariat.

#### Regional reports

11. Regional reports were provided by the regional representatives in writing at each AC meeting and consequently included in the summary record. It became apparent that communication in the regions with many Parties (Africa, Asia, Europe, and Central and South America and the Caribbean) remained problematic, with only a limited number of Parties providing information on requests from representatives. Regional meetings, as desirable as they might be, are in some regions almost impossible to organize, owing to communication and funding problems. Thus the reports often gave only a partial overview of developments in the respective regions. As stated in paragraph 5 above, the issue of regional communication is taken up in a joint document by the AC and PC (see document CoP13 Doc. 11.2).
12. Some of the regional reports could only be finished at the last minute (sometimes only at the AC meeting itself) and could only be published in one language. There was also some discussion at AC19 and AC20 about the information that should be provided in these reports in view of the fact that regional representatives to the SC also report similar information and that owing to time constraints at the AC meetings, quite often AC regional reports are simply noted without proper introduction, closer examination or discussion. The value as well as the present format of these reports was questioned and it was recommended that the AC clarifies these matters at its 21st meeting to ensure more effective and useful reporting.

#### Activities of the Committee

##### General

13. For AC19, the Chairman produced a paper on the priorities of the Animals Committee, based on the *Strategic Vision through 2005* and the *Action Plan* adopted at CoP11, as well as on the Decisions and elements of Resolutions directed to the AC, and provided comments on the biological relevance

of these issues. In this regard it is worth mentioning that the following mission statement, which was amended at AC16, was still considered to be valid:

*The mission of the CITES Animals Committee is to provide the Conference of the Parties, Parties, other Committees and working groups and the Secretariat, with reliable scientific information and advice on biological matters (including criteria and their application) concerning international trade in animal species included in the Appendices as well as, when applicable, animal species subject to international trade that may be considered for inclusion in the Appendices in the future.*

14. Still, the AC is being asked to deal with a number of items that are implementation issues, rather than scientific issues. Even concerning the biological subjects referred to and dealt with by the AC, it becomes apparent that much time, money and human resources are spent on taxa or entities that are not or not entirely included in the CITES Appendices (e.g. sea cucumbers, sharks, tortoises and freshwater turtles or alien species). In view of the general workload and the financial and the time constraints pertaining to this Committee, it is important that in future the tasks directed to AC and the work to be done by AC be of such nature that it can concentrate primarily on taxa that are listed in the Appendices, i.e. in particular on the two review processes outlined in Resolution Conf. 11.1. (Rev. CoP12) This should be kept in mind by the Conference during its deliberations and decisions.

#### Specific issues

15. The activities of the Committee focused on specific tasks entrusted to it at CoP12, as well as on ongoing tasks pursuant to the Committee's terms of reference. These include providing advice and guidance on all matters relevant to international trade in specimens of animal species included in the Appendices, which may include proposals to amend the Appendices. Thus the AC provided comments on draft amendment proposals from Cuba (*Crocodylus acutus*), Mexico (*Amazona finschi*) and Germany (*Squalus acanthias*, *Lamna nasus*).
16. Some issues dealt with by the Committee (either on its own or in collaboration with the Plants Committee) are the subject of a separate agenda item at CoP13, and results of the Committee's work are presented in the documents pertaining to that agenda point.
17. In some instances the AC recommends specific actions. These are highlighted in bold in this report and for ease of reference are presented together in the Annex to this report.

#### Phases IV, V and VI of the review of animal species included in Appendix-II and subject to significant levels of international trade (Resolution Conf. 12.8 and Decision 12.75)

##### Species reviewed or under review (Phases IV and V)

18. The AC formulated a series of recommendations for *Strombus gigas* at its 19th meeting, directed to those Parties whose populations of this species were deemed to be of 'urgent concern' and of 'possible concern'. The SC adopted these recommendations and they were sent to the range States concerned on 28 August 2003. In the case of the Dominican Republic, Haiti and Honduras, some measures were requested to be taken within four weeks. The Secretariat, in consultation with the AC Chairman, determined that the Dominican Republic and Honduras complied with these short-term recommendations within the agreed time-frame, but not Haiti, resulting in a recommendation to suspend of imports of *Strombus gigas* specimens from this country. This was communicated to the Parties in Notification to the Parties No. 2003/057 of 29 September 2004.
19. At AC19 the Secretariat reported that the AC recommendations for the Eurasian *Acipenser* and *Huso* species, included in the Review of Significant Trade at AC16, were contained in the so-called 'Paris Agreement' that had been adopted by the SC (see SC45 Summary Report). Shortly after AC19, the Secretariat met with FAO to discuss elements of the Paris Agreement. The Secretariat was of the opinion that there had been significant progress in the sturgeon range States concerned by the Paris Agreement, with positive impacts such as a reduction of illegal caviar trade and poaching, regional agreements and management of shared sturgeon stocks, improved transparency and science in the fishery, enhanced restocking programmes, etc. The SC decided that the implementation of the 'Paris

Agreement' recommendations should be evaluated by the end of 2003. At AC19 the Animals Committee took note of this progress report.

20. Concerning the other sturgeon species that had been included in the Review of Significant Trade, the AC agreed to categorize them as of 'least concern'. This was also the case with the North American sturgeon species *Acipenser fulvescens* and *Acipenser oxyrinchus*.
21. As regards to *Naja naja*, all six countries identified with problems at AC18 were requested to establish cautious export quotas and provide information on the scientific basis for those quotas. By AC19, three countries had responded satisfactorily to the Secretariat and were considered to have complied with the recommendations. Three range States (the Lao People's Democratic Republic, Malaysia and Thailand), however, had not responded at all or had provided inadequate information. The AC, in collaboration with the Secretariat, formulated measures for these three countries, which were presented at SC50. The SC adopted the recommendations concerning Laos PDR and Malaysia. The remaining range State, Thailand, had complied with the recommendations shortly before this decision was made.
22. At AC19, the Committee also discussed several species of box turtle of the genus *Cuora* submitted to the Review of Significant Trade and concluded that several species were still of 'urgent concern' or of 'possible concern' and that recommendations needed to be issued. At the time of writing, the AC was still deliberating on the formulation of these recommendations.
23. Concerning musk deer (*Moschus* spp.), AC categorized the species in two range States as of 'urgent concern' at AC18. The Secretariat, in consultation with the Chairman of AC, determined that both range States had complied with the 90-day deadline and one range State (the Russian Federation) with the 12-month deadline. In the case of China, a comprehensive package of measures was requested to be implemented by the end of 2003. China has provided a report on its compliance with these recommendations, which, at the time of writing of this report, was under examination by the Secretariat and the Chairman of AC to determine whether implementation was satisfactory.
24. At AC19 and AC20 there was also some discussion on the saiga antelope (*Saiga tatarica*). The Secretariat reminded participants that, in June 2001, the SC had recommended Parties to refuse import of specimens of *Saiga tatarica* from Kazakhstan and the Russian Federation until the Animals Committee's recommendations had been complied with. The AC agreed however that conservation of this species was a matter of great urgency and that the concerns about the saiga antelope should be sent again as a matter of urgency to the SC for action and follow-up. It agreed further that this was not an issue for the Review of Significant Trade. Poor enforcement in range States and consumer countries, problems with poaching, inadequate management, illegal trade or lack of political support to improve the conservation status of the species should be addressed by the Secretariat and the SC. Consumer countries were to be asked to provide information on what steps they were taking to control illegal trade in this species and range States should be encouraged to sign an MoU with the Convention on Migratory Species (CMS). At its 50th meeting, the SC noted a report by the Secretariat, which stated in particular that trade in saiga products would be addressed at an enforcement workshop in China in July 2004. At SC50 the Russian Federation reported that the MoU with CMS was expected to be finalized in the near future.

#### Progress on the first country-based Review of Significant Trade

25. In view of the generic problems with the implementation of Article IV, AC and PC had agreed to undertake a Review of Significant Trade at the country level in Madagascar, i.e. concerning trade in all its Appendix-II species of animals and plants. At AC19, the observer from Madagascar reported on the progress made since the beginning of 2003. This included: a desk-based review of the conservation and trade status of native Appendix-II animals and plants; an evaluation of captive-breeding facilities and nurseries in the country; and a draft Action Plan that had been produced at a workshop for all stakeholders in the country and organized by the Secretariat. The draft Action Plan, containing a comprehensive package of measures that the country should implement in the short-, medium- and long-terms to improve compliance with CITES, was commented upon by the AC and PC, and adopted by the end of 2003. At AC20, the Committee identified reporting requirements and developed milestones and time-frames for the implementation

of the Action Plan for Madagascar. The Committee focused on short-term activities only and separated them into 'urgent short-term actions' and 'other short-term actions'. Urgent short-term actions will have to be reported on by Madagascar to the Secretariat prior to SC51, while all other Short Term Actions will have to be reported on by Madagascar before AC21 in 2005. Madagascar was requested to develop realistic time-frames for implementing the medium and long term actions by AC21. The AC formulated a number of additional requests to Madagascar, including: clarifying urgently whether there is a moratorium in place for trade in CITES-listed species; that funding be made available to ensure that Madagascar can attend the AC, PC and SC meetings to report on progress with the implementation of the Action Plan; and that efforts to establish a position for a technical adviser in Madagascar to oversee the implementation of the Action Plan should proceed.

#### Selection of new species for review (Phase VI)

26. At AC19 the Committee reviewed information submitted by the United Arab Emirates on the conservation of and trade in the saker falcons (*Falco cherrug*) and decided that in view of its status and trade, it should enter the Review of Significant Trade immediately as an exceptional case. The range States were contacted by the Secretariat regarding possible problems with the implementation of Article IV. On the basis of the replies received, the Committee identified at AC20 those range States for which the implementation of Article IV does not pose a problem, and those which require further action according to paragraph g) of Resolution Conf. 12.8. In addition, the following countries were considered key range States to focus on in the latter category: the Islamic Republic of Iran, Kazakhstan, Mongolia, Pakistan, the Russian Federation, Saudi Arabia, Turkmenistan and Uzbekistan.
27. At AC20, UNEP-WCMC submitted a list of taxa for possible selection under phase VI of the Review of Significant Trade. The AC also took into consideration documents by TRAFFIC and the IUCN/SSC Wildlife Trade Programme on taxa identified as possible candidates for inclusion in the Review of Significant Trade. The Committee selected the following taxa for review: *Poicephalus senegalus* (particular concerns were raised for Guinea, Mali, Senegal and Togo), *Psittacus erithacus* (particular concerns were raised for Cameroon, Congo, Côte d'Ivoire, the Democratic Republic of Congo, Sierra Leone, Guinea, Liberia, and), *Gracula religiosa*, *Callagur borneoensis*, *Phelsuma comorensis*, *Phelsuma dubia*, *Phelsuma v-nigra*, *Uromastyx* spp. (the review to be limited to *U. acanthinura*, *U. benti*, *U. dispar*, *U. geyri* and *U. ocellatus* and a specific inquiry to Mali about trade reported only at the genus level is to be made), *Furcifer cephalolepis*, Tridacnidae (the review to be limited to *Tridacna crocea*, *T. maxima*, *T. squamosa*, *T. derasa*, *T. gigas*) and *Hippopus hippopus*.
28. The following taxa were considered as top priorities: *Psittacus erithacus*, *Callagur borneoensis*, *Uromastyx acanthinura*, *U. benti*, *U. dispar*, *U. geyri*, *U. ocellatus*, *Phelsuma dubia*, *P. comorensis*, *P. v-nigra*, *Furcifer cephalolepis* and Tridacnidae.
29. Although the narwhal (*Monodon monoceros*) was not selected for review in Phase VI, the AC noted that the species remained in Phase III because secondary recommendations for Canada and Denmark (Greenland) had not yet been complied with. It was agreed that these secondary recommendations should be addressed by Canada and Denmark (Greenland) by 31 July 2004. The Secretariat, in consultation with the Chairman of the AC, will then determine whether the recommendations have been implemented and report to the SC accordingly.
30. For mantella frogs (*Mantella* spp.), concerns were noted about the status of several species, including *M. aurantiaca*, *M. cowani*, *M. milotympanum* and *M. viridis*, which may be critically endangered. If Madagascar does not currently have an export moratorium in place, the AC will reconsider whether these species or the entire genus should be included in the Review.
31. The South African fur seal (*Arctocephalus pusillus*) was discussed at length. Based on additional information provided by Namibia, it was not selected for review. The emperor scorpion (*Pandinus imperator*) was also discussed as a potential candidate for review. It was agreed that future trade in this species should be monitored for possible inclusion in the Review at a later date.

#### Evaluation of the Review of Significant Trade

32. Decision 12.75 directs the AC and PC to draft terms of reference for an evaluation of the Review of Significant Trade. At AC19, the Committee discussed draft terms of reference prepared by the

Secretariat and concluded that work – involving the colleagues from PC – should be carried out intersessionally so that this draft could be reviewed at AC20. Colmán Ó Críodáin of the European Commission was elected as the AC contact person.

33. At AC20, Colmán Ó Críodáin presented the revised draft terms of reference, which had previously been discussed and adopted by PC at its 14th meeting. The AC adopted these terms of reference with some minor changes. They are submitted in a joint document by the AC and PC chairmen to this CoP (see document CoP13 Doc. 40).
34. At AC20, TRAFFIC provided information about the development under contract with the Secretariat of a database containing full information on all species that have been assessed by AC and PC since the Review of Significant Trade started in 1989, and that could assist in evaluating the review. The Committee congratulated TRAFFIC for the work done. The Committee noted the report and agreed that a demonstration version of the database should be tested in the near future.
35. The AC considers that it has fulfilled the tasks directed to it through Decision 12.75.

Review of the criteria for amendment of Appendices I and II (Decision 12.97)

36. The Animals Committee gave much consideration to this review, conducted jointly with the Plants Committee. An explanation of the procedure followed and the results proposed for adoption by the Conference of the Parties can be found in document CoP13 Doc. 57.

Periodic review of animal species included in the Appendices [Resolution Conf. 11.1 (Rev. CoP12), Decision 12.96 and document SC49 Doc.20.1]

37. Decision 12.96 directs the SC to develop mechanisms to obtain greater involvement of the range States in the periodic review of the Appendices and provide guidance to reach a clear recommendation after the completion of the review. The SC formulated recommendations in this regard that were communicated to the AC and PC for further comments.
38. At AC19 a Contact Group on the periodic review of the Appendices was formed jointly with the PC. The Committee adopted the approach laid out in document AC19 Doc. 10.1 and agreed to examine the progress made by the Contact Group at AC20. The group was tasked to work intersessionally on the development of standard guidelines for conducting future reviews of taxa in the Appendices (including selection of species, types of information contained in the reviews, and questionnaires and other methods used to gather information from range States), and to provide guidance for a process to select and assess rapidly species to be reviewed.
39. At AC20 the Committee discussed and adopted the result of the intersessional work of this Contact Group, fully taking into consideration the input from the PC, which had dealt with this matter previously at PC14. It thus agreed on guidelines for the periodic review of plant and animal taxa in the Appendices including a flow-chart for a rapid assessment technique for the periodic review of the Appendices. As was requested by the SC, this is to be submitted in a joint document by both the AC and PC Chairmen at SC51 to assist the SC in complying with Decision 12.96.

40. AC considers that its work on this matter, as requested by the SC, has now been completed.

Process for registering operations that breed Appendix-I animal species for commercial purposes [Resolution Conf. 12.10 and Decision 12.78 paragraphs a) and b)]

41. The results of the Committee's deliberations can be found in document CoP13 Doc. 56.1.

Relationship between *ex situ* production and *in situ* conservation [Decision 11.102 (Rev. CoP12) and Decision 12.78 paragraph c)]

42. The results of the Committee's deliberations can be found in document CoP13 Doc. 56.3.1.

Transport of live animals (Resolution Conf. 10.21 and Decisions 12.85-12.86).

43. At its 10th meeting, the Conference of the Parties adopted Resolution Conf. 10.21, giving the AC (Harare, 1997) a series of tasks related to the transport of live animals. The Committee established a transport working group (TWG) to collaborate with the Secretariat in implementing Resolution Conf. 10.21, which *inter alia* directs the Secretariat to monitor implementation of the recommendations contained therein and to report to the Conference of the Parties. The activities and progress of the TWG were presented at AC19 and AC20, and the progress reports are available on the CITES website. Major issues are reflected in the report of the Secretariat (document CoP13 Doc. 21).
44. At AC19, the Chairman of the TWG, Ms Irina Sprotte, advised that a study on transport mortality was available from the CITES Management Authority of Germany. She also informed the Committee that she would step down from her post and thanked the AC, the members of the TWG, the Secretariat and others for their assistance and contributions. The AC Chairman thanked her and her group for their hard work. The Committee decided that the TWG would develop a programme of work and would have to be restructured. At AC19 the TWG reported that the newly appointed Chairman of the TWG was Peter Linhart of Austria.
45. The TWG focused most of its work on the implementation of Decision 12.85, which was both challenging and complex. It was therefore unable to complete all the tasks assigned to it through this Decision. At AC20, the TWG advised the Committee to continue addressing the issues mentioned in paragraphs a), b) and c) of Decision 12.85 after CoP13. AC agreed to this approach.

Trade in hard corals [Resolution Conf. 11.10 (Rev. CoP12) and Decision 12.62]

46. The results of the Committee's deliberations can be found in CoP13 Doc. 38.

Control of captive breeding, ranching and wild harvest production systems for Appendix-II species

47. At AC19 the observer from IUCN introduced a document on captive breeding, ranching and wild harvest production systems for Appendix-II species (document Doc. AC19 Inf. 6). This document was discussed at length and it was concluded that it would need further input and redrafting. The Committee formulated recommendations containing suggestions and proposals pertaining to this redrafting process.
48. At AC20, the Committee upheld the recommendation already made at AC19 that the existing source codes (C, F, D, R, and W) be maintained. However, as source codes seem often not to be used correctly or consistently, it formulated the following recommendations with respect to the use of source codes:
- a) Code C should be used only for: Animals bred in captivity in accordance with Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5 (specimens of species included in Appendix I that have been bred in captivity for non-commercial purposes and specimens of species included in Appendices II and III);
  - b) With regard to code R, the AC concluded that Resolution Conf. 11.16 could be amended to include operations other than those linked to a transfer from Appendix I to Appendix II;
  - c) Furthermore, the question whether the following definition of 'ranching' should be included in the amended Resolution Conf. 11.16, and also in Resolution Conf. 12.3 was raised: "Ranching is defined as the rearing in a controlled environment of specimens, such as eggs or hatchlings, of life stages which suffer high mortality rates in the wild, that are taken from the wild through controlled collection under a management plan that provides for sustainable use of the species". There was however no consensus on this issue, as some felt that the R code should be used only for those species transferred from Appendix I to Appendix II;
  - d) The code F should be defined in Resolution Conf. 12.3 and used for animal specimens resulting from the exchange of gametes under captive conditions or propagated asexually in captivity (F1

or subsequent generations) that do not fulfil the definition of 'bred in captivity' in Resolution Conf. 10.16 (Rev.);

- e) Code D should be used as defined in Resolution Conf. 12.3;
- f) By default, code W would be used for wild specimens of animals, and should refer to those from any source other than those mentioned above.
- g) There was further discussion on whether source code I should be renamed to Y, because there is a large potential for confusion when code I is used, since both source code and Appendix appear together in one box on the permits. In this case the I source code can be mistaken for the 'I' in Appendix I. However, consensus in this issue could not be reached, owing to concerns expressed about the cost implications of the suggested changes;
- h) Source codes O and U have not yet been discussed.

49. AC was made aware that the PC had looked at the issue of source codes too and recognized that although animal and plant production systems are often quite different, they can also have similarities and overlaps. Therefore the AC **recommends that, before any changes in regard to the definition of production systems or source codes are decided, the AC and PC should be jointly involved in examining the definitions of the different production systems for animals and plants and determine the appropriate source codes for each.**

Conservation of and trade in tortoises and freshwater turtles [Resolution Conf. 11.9 (Rev. CoP12) and Decisions 12.41, 12.42 and 12.43]

- 50. Resolution Conf. 11.9 (Rev. CoP12) and Decisions 12.41 and 12.42 are directed to the Parties and the Secretariat (see document CoP13 Doc. 33). The AC has mainly acted as an advisory body in this regard.
- 51. At AC19, the Committee addressed the updating, clarifying and prioritizing of the recommendations from the Kunming workshop and agreed on mid- and long-term conservation measures for Asian tortoises and freshwater turtles, in particular in regard to future inclusions in the Appendices, enforcement, transport, confiscation and disposal, and *in situ* conservation and management. **At AC20, the Committee agreed several draft decisions directed to the Secretariat and to the Parties.**

**Directed to the Secretariat**

- **The Secretariat shall liaise with the World Customs Organization to promote the establishment and use of specific headings within the standard tariff classifications of the Harmonized System for tortoises and freshwater turtles and products thereof.**
- **The Secretariat shall facilitate the development of guidelines for the making of non-detriment findings in compliance with Article IV that are specific to trade in wild tortoises and freshwater turtles. These guidelines should build on the manual on making of non-detriment findings drafted by IUCN, and be developed in consultation with Scientific and Management Authorities of range States that export wild tortoises and freshwater turtles, IUCN and others as appropriate.**
- **The Secretariat shall, subject to external funding, ensure that the proceedings of the technical workshop on conservation of and trade in tortoises and freshwater turtles (Kunming, March 2002) be made available to the general public.**

**Directed to Parties**

- **Parties should ensure that all shipments of live tortoises and freshwater turtles are transported in compliance with relevant IATA guidelines.**
- **Parties should encourage non-governmental organizations to develop, produce and distribute posters and other educational and informative materials aimed at raising the awareness of the general public for tortoise and freshwater turtle conservation.**

- **Parties should facilitate, where necessary, the compilation, dissemination and translation into local languages of information on tortoises and freshwater turtles for use by enforcement officers. This compilation should draw on existing identification and enforcement guides, and primarily provide information on identification, local names and distribution as well as illustrations.**
  - **Parties should facilitate the development of partnerships between interested non-governmental organizations or other bodies to develop and operate rescue centres for seized or confiscated tortoises and freshwater turtles in cooperation with range States and relevant government agencies.**
52. Decision 12.43 directs the AC, in collaboration with the Secretariat and the Management and Scientific Authorities of the known range States of pancake tortoise *Malacochersus tornieri* to review before CoP13, the biology, genetic variability, conservation status and distribution of this species in the wild, to assess the current production systems of this species with the aim of advising on adequate control, management and monitoring practices, to consider appropriate identification and marking systems for specimens in trade and for breeding stocks in captivity in the range States, and to advise on training and capacity-building needs to manage and control the trade in this species.
53. The Committee recommended at AC19: that the issue of genetic identification of separate wild populations and farmed individuals of (*Malacochersus tornieri*) be studied in order to address concerns about control of breeding stocks in breeding operations; that proposals to undertake such a study be invited from suitable institutions; and that the institution chosen should liaise with relevant Management and Scientific Authorities to find reliable sources of genetic material. In addition, it recommended that a desk-based study of the natural history of the species be undertaken, and that countries that have indicated that they are also range States for this species (i.e. Uganda, Mozambique and Zambia) provide detailed evidence that this is the case.
54. The AC considered progress on Decision 12.43 at AC20, including available new information and identified again four priority actions:
- an investigation of genetic variability among wild populations and farm stock;
  - verification of occurrence in States that are not currently accounted as range States;
  - inspection of farms with regard to captive management conditions; and
  - completion of the desk-based review of the species.
55. The Secretariat agreed to work with the AC and Management and Scientific Authorities of all known and unconfirmed range States, as well as with experts and technical specialists, to implement these actions as soon as possible within the available resources.

Seahorses and other members of the family Syngnathidae (Decisions 12.54 and 12.56)

56. While Decision 12.56 is directed to the World Customs Organization, Decision 12.54 directs the Animals Committee to identify a minimum size limit for specimens of all *Hippocampus* species in trade as one component of an adaptive management plan, and as a simple precautionary means of making initial non-detriment findings in accordance with Article IV of the Convention.
57. With respect to Decision 12.56, the Secretariat advised at AC19 that it had contacted WCO, which had asked for additional information. The Committee provided the information needed to answer the queries of WCO.
58. Concerning Decision 12.54, the AC agreed that it would be helpful to have further research available before recommending a specific minimum size limit. In order to incorporate all available biological and trade knowledge it encouraged Parties, IGOs, NGOs and trade sectors as a matter of urgency to offer financial and technical support for undertaking research on size at maturity, maximum adult size and size distributions in trade for all *Hippocampus* species to minimize economic loss while maximizing conservation benefit. It also encouraged Parties to develop

complementary means of making non-detriment findings that might allow smaller *Hippocampus* species to re-enter trade.

59. After reviewing the issue at AC20, the Committee agreed that there should be a minimum size of 10 cm for wild taken specimens with the proviso that this limit could be reviewed in future in the light of new research and that this would be a voluntary measure. It was also noted that the minimum size limit would not apply to captive-bred specimens. The Secretariat informed Parties of this recommendation through Notification to the Parties No. 2004/033 of 30 April 2004.
60. The Animals Committee considers the task directed to it in Decision 12.54 fulfilled and therefore **recommends that Decision 12.54 be deleted.**

Conservation of and trade in seas cucumbers in the families Holothuridae and Stichopodidae

61. The results of the Committee's deliberations can be found in document CoP13 Doc. 37.1.

Biological and trade status of sharks (Resolution Conf. 12.6 and Decision 12.47)

62. The results of the Committee's deliberations can be found in document CoP13 Doc. 35.

Trade in alien species (Decision 10.76)

63. At AC19, the Secretariat reminded the Committee that Decision 10.76 directed the AC to establish cooperation with the IUCN/SSC Invasive Species Specialist Group (ISSG) in the implementation of their document *IUCN Guidelines for the Prevention of Biodiversity Loss due to Biological Invasion*. The representative of Oceania, as intermediary between the AC and IUCN/SSC ISSG, informed the Committee that there had been slow progress with the preparation of a list of CITES invasive species but that the IUCN guidelines were now finalized and available. The Committee recommended that the representative of Oceania submit a document on this issue at AC20.
64. At AC20 the representative of Oceania informed the Committee that the production of a list of invasive CITES species, which was done through the IUCN/SSC Invasive Species Specialist Group, was not completed yet and would not be ready for CoP13. The benefit of liaising with CBD regarding this issue was stressed and it was suggested that CBD and IUCN collaborate to complete the list. **Consequently the Committee considers that Decision 10.76 has been complied with and that no further work is required and recommends therefore that Decision 10.76 be repealed.**

CITES Master's course of the University of Cordoba (Spain)

65. The AC acknowledged the value of the multilingual Master's course on CITES organized by the University of Cordoba in collaboration with the International University of Andalusia in Spain. It confirmed that this course addressed the frequent concerns from Parties, Committees and the Secretariat about the urgent need to strengthen the capacity of Management and Scientific Authorities of CITES Parties. The positive impact of this Master programme is demonstrated by the fact that so far individuals of over 40 Parties have participated and that a substantial number of participants are today working in CITES implementation.
66. The Committee however took note with some concern that the future of this course is not assured, because it has been supported completely for over four years by Spain alone. The Committee therefore **recommends the adoption of the following decisions:**

**Directed to Parties:**

**Parties are called upon to provide financial assistance to the University of Cordoba (Spain) and to the University International of Andalusia (Spain) in order to support the continuation of the Master's course on *Management of, access to and conservation of species in trade: the international framework***

**Directed to the SC and the Secretariat:**

**The Standing Committee and the Secretariat are to seek external funding to support the participation in the Master's Course of students from developing countries and countries with economies in transition.**

AC budget

67. At CoP12, the Parties approved an annual budget of USD 211,000 for the operation of the AC for the years 2003-5 inclusive.
68. Expenses incurred (in USD) for organizing AC meetings in 2002-2004, excluding Secretariat staffing costs, are presented in the table below.

Description	AC18 San José (Costa Rica), 8-12 April 2002	AC19* Geneva (Switzerland), 18-21 August 2003	AC20 Johannesburg (South Africa), 29 March-2 April 2004
Salary/travel of conference staff (rapporteur and interpreters)**	12,183	18,531	22,500
Logistics for AC meeting	9,054	7,183	13,660
External translation of documents	9,709	3,717	350
Travel and DSA of AC members***	13,990	22,529	23,500
Travel and DSA of Secretariat staff****	12,744	0	18,500
<b>TOTAL</b>	<b>57,680</b>	<b>51,960</b>	<b>78,510</b>
<b>Annual budget (in USD)</b>	<b>60,000</b>	<b>64,000</b>	<b>82,000</b>

\* This meeting lasted four days and was held back-to-back with a meeting of the Plants Committee.

\*\* Interpreters were hired locally for AC18 by the host country.

\*\*\* The number of sponsored AC members changes from year to year (2002: 5; 2003: 8; 2004: 9)

\*\*\*\* Rapporteur for AC20 was provided by the Secretariat.

69. For the triennium 2006-2008, the AC requires as a minimum the same support as in the previous three years so that annual meetings can take place, allowing simultaneous interpretation during its regular meetings. Taking into account the change in the way that costs for the AC are calculated in the CITES budget, the maintenance of the same level of activities by the Committee would require USD 253,865 in 2006, USD 241,754 in 2007 and 260,184 in 2008 (see SC50 Doc. 12.4).
70. As already stated at CoP12, the Chairman also recommends that the CoP consider allocating funds (for example USD 20,000 per year) to assist the work of the Chairman of the AC in case this individual is not able to benefit from government or institutional financial and technical support. The chairmanship of the AC is very time-consuming. Without adequate financial and other support by the Chairman's country or institution, it would be impossible to do the work for the Committee efficiently and expeditiously. It is the Chairman's and the Committee's concern that these constraints might in particular prevent AC representatives from certain developing countries from being elected as Chairman of the Committee, or operating effectively in this position. In particular, the extra funds would be required for the following:
- adequate computer hardware and software;
  - access to Internet and e-mail;
  - downloading/printing and sending documents and correspondence electronically transmitted by AC members, working groups and the CITES Secretariat;

- telephone communication with the CITES Secretariat, AC members and others if the need arises;
- printing paper and other office material;
- temporary secretarial work or a temporary assistant for specific short-term jobs (compiling, analysing information, data, comments; preparing documents); and
- participation at workshops or meetings of other CITES bodies (scientific committees, SC) that require the participation of the AC Chairman

It is therefore suggested that the Budget Subcommittee of the SC look into the possibilities of allocating funds that can be used on a case-by-case basis to compensate the Chairman.

71. The AC also agreed to include in the report of the AC Chairman for CoP13 a proposal to extend the mandate of the Committee to allow it to discuss and manage its own budget (see document CoP13 Doc. 11.2).
72. In this regard, the AC wishes to point out in particular that financial aspects are only one element when deciding where to hold the meetings of the Animals Committee. Holding meetings outside Geneva brings CITES to different countries and to different regions of our globe. CITES becomes for a certain period – and hopefully sustainably – a major issue in the media. Holding AC meetings in another country and region is a demonstration of the support the CITES community gives to this region and of the interest CITES has in the implementation of CITES in that region. Often, holding an AC meeting outside Geneva also has the effect of strengthening the reputation of the local CITES Management Authority and the CITES officials and increases their value and importance within their government. Holding AC meetings outside Geneva makes participation of CITES Parties in the region more probable and thus allows for more direct communication and dialogue with the other CITES Parties in the region, in particular with producer countries. It allows AC members (and other participants) to visit institutions, operations and facilities "in the field" and thus to gain more knowledge about specific aspects that pertain to CITES themes.

#### Acknowledgements

73. The considerable assistance from, and the cooperation with, my fellow members of the Committee and all personnel of the Secretariat, especially the Scientific Support Unit, are gratefully acknowledged. I also thank the Chairman and the members of the Plants Committee for their support, cooperation and interest in the activities of the Animals Committee. I extend my thanks to the representatives of observer Parties, and representatives of IGOs and NGOs as well as to the chairmen and members of the different working groups, who, by providing their expertise at the meetings of the AC and intersessionally in a constructive spirit, were of considerable help to the members of the Committee in performing their tasks and making decisions.

Summary of recommendations outlined in the report of the Chairman of the Animals Committee

**Recommendations regarding transport of live animals**

1. Amend paragraph d) of Decision 12.85 on Transport of live animals, to read:
  - d) report at the 14th meeting of the Conference of the Parties on progress with the implementation of paragraphs a) to c) above. (paragraph 45)

**Recommendations regarding production systems and source codes**

2. The AC and PC should be jointly involved in examining the definitions of the different production systems for animals and plants and determine the appropriate source codes for each. (paragraph 49)

**Recommendations regarding trade in Asian tortoises and freshwater turtles**

3. Adoption of the following decisions:

**Directed to the Secretariat**

- 13.xx The Secretariat shall liaise with the World Customs Organization to promote the establishment and use of specific headings within the standard tariff classifications of the Harmonized System for tortoises and freshwater turtles and for products thereof. (paragraph 51)
- 13.xx The Secretariat shall facilitate the development of guidelines for the making of non-detriment findings in compliance with Article IV that are specific to trade in wild tortoises and freshwater turtles. These guidelines should build on the manual on making of non-detriment findings drafted by IUCN, and be developed in consultation with Scientific and Management Authorities of range States that export wild tortoises and freshwater turtles, IUCN and others as appropriate. (paragraph 51)
- 13.xx The Secretariat shall, subject to external funding, ensure that the proceedings of the technical workshop on conservation of and trade in tortoises and freshwater turtles (Kunming, March 2002) be made available to the general public. (paragraph 51)

**Directed to Parties**

- 13.xx Parties should ensure that all shipments of live tortoises and freshwater turtles are transported in compliance with relevant IATA guidelines. (paragraph 51)
- 13.xx Parties should encourage non-governmental organizations to develop, produce and distribute posters and other educational and informative materials aimed at raising the awareness of the general public for tortoise and freshwater turtle conservation. (paragraph 51)
- 13.xx Parties should facilitate, where necessary, the compilation, dissemination and translation into local languages of information on tortoises and freshwater turtles for their use by enforcement officers. This compilation should draw on existing identification and enforcement guides, and primarily provide information on identification, local names and distribution as well as illustrations. (paragraph 51)
- 13.xx Parties should facilitate the development of partnerships between interested non-governmental organizations or other bodies to develop and operate rescue centres for seized or confiscated tortoises and freshwater turtles in cooperation with range States and relevant government agencies. (paragraph 51)

#### **Recommendations regarding Seahorses and other members of the family Sygnathidae**

4. Deletion of Decision 12.54 on Trade in alien species (paragraph 60).

#### **Recommendations regarding trade in alien species**

5. Deletion of Decision 10.76 on Trade in alien species be deleted (paragraph 64).

#### **Recommendations regarding training**

6. Adoption of the following decisions:

##### **Directed to Parties**

- 13.xx Parties are called upon to provide financial assistance to the University of Cordoba (Spain) and to the University International of Andalusia (Spain) in order to support the continuation of the Master's course on *Management of, access to and conservation of species in trade: the international framework*. (paragraph 66)

##### **Directed to the Standing Committee and the Secretariat**

- 13.xx The Standing Committee and the Secretariat should seek external funding to support the participation in the Master's Course of students from developing countries and countries with economies in transition. (paragraph 66)

#### **Recommendations regarding the budget of the Animals Committee**

7. Recommends to the Conference of the Parties that USD 30,000 per year be provided from the CITES Trust Fund to assist the work of the Chairman of the Animals Committee if this person is not able to benefit from government or institutional financial and technical support. (paragraph 70)